

U.S. DEPARTMENT OF EDUCATION  
OFFICE OF THE UNDER SECRETARY  
WASHINGTON, DC 20202-6335

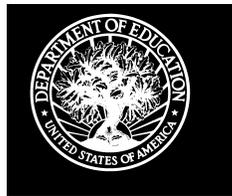
**FY 2004  
APPLICATION FOR GRANT  
FORMULA GRANTS  
TO LOCAL EDUCATIONAL AGENCIES**

**INDIAN EDUCATION PROGRAMS**

CFDA Number: 84.060

FORM APPROVED

OMB No. 1810-0021, EXP. DATE 04/30/2006



*DATED MATERIAL - OPEN IMMEDIATELY*

**Closing Date: 05/10/2004**

### Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1810-0021. The time required to complete this information collection per type of respondent is estimated to average 45 hours for new project applications and 10 hours for continuing project applications, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collected. **If you have comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, DC 20202-4651. **If you have comments or concerns regarding the status of your individual submission of this form, write directly to:** Office of Indian Education, U.S. Department of Education, 400 Maryland Avenue, SW, FOB-6/Room 3W111, Washington, DC 20202-6335.

FORMULA GRANTS TO LEA'S APPLICATION PACKAGE  
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**Note: The page numbers reflected in the Table of Contents are those in the hard copy version and do not correspond to the electronic version of the document. This electronic version does not include the forms and pages that are identified as being available through the Internet links provided. You will need to go to the indicated links in order to view or complete and print those pages.**

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## SECTION A

### U.S. DEPARTMENT OF EDUCATION Office of the Under Secretary

Dear Applicant:

This package contains instructions and forms for the fiscal year (FY) 2004 grant applications for the Formula Grants to Local Educational Agencies Program (CFDA 84.060). The purpose of the Indian Education Formula Grant program, authorized in Part A, Subpart 1 of Title VII of the No Child Left Behind Act, amending the Elementary and Secondary Education Act of 1965 (the Act), is to assist eligible applicants to provide Indian students with the opportunity to meet the same challenging State standards as all other students and meet the unique educational and culturally related academic needs of American Indian and Alaska Native students. The Act and the instructions in this letter and application package are to be used in developing your fiscal year 2004 application.

***The deadline for submission of applications is May 10, 2004.***

Any application that does not meet the deadline will not be considered for funding in the initial allocation of awards. However, if funds become available after the initial allocation of funds, applications not meeting the deadline may be considered for funding if the Secretary determines, under Section 7118(d) of the Act, that reallocation of those funds to late applicants would best assist in advancing the purposes of the program. However, the amount and date of an individual award, if any is made under this provision, may be less than the applicant would have received had the application been submitted on time. In any case, no grant may be awarded unless a completed application has been received, reviewed, and approved by the Department.

#### **Special Instructions:**

- For the 2004-2005 school year, all new projects supported by grants under this program should be planned for a period of 3 years.
- For fiscal year 2004 (the 2004-2005 school year), continuing applicants must submit a continuation application demonstrating substantial progress in meeting the project's objectives in order to receive funding.
- **Applicants that did not participate in the formula grant program and receive an award for school year 2003-2004 (FY 2003) are considered to be new applicants and are required to submit a new application using the forms provided in this application package. Specific instructions are provided on the contents for the application.**
- Applications submitted must address all required information in order to be funded.

#### **New Applicants:**

- For new projects, the funds available under this program have a 5% cap on the use of funds for administrative costs unless a waiver of the requirement is approved. The waiver may be

approved if the applicant can demonstrate that implementation of the requirement will be detrimental to the operation of the program. If a waiver is requested, applicants are required to (1) submit copies of the waiver request to their State Department of Education and provide copies of any comments received; and (2) provide notice to the public that a waiver is being requested. The application provides guidance on requesting a waiver of the 5% cap.

- Applications for new project periods must also provide information that addresses Section 427 of the Department of Education's General Education Provisions Act (GEPA), the requirements of which are enclosed in the application.
- Section 7116 of the Act, allows eligible applicants to submit a plan for the integration of education and related services provided to Indian students. This provision allows, with approval of the Secretary in cooperation with each Federal agency providing grants for the provision of education and related services to the eligible applicant, consolidation of the federally funded education and related services program, or portions of the program, to integrate the program services involved into a single coordinated, comprehensive demonstration program and to reduce administrative costs by consolidating administrative functions. The applicant may include funds for any Federal program exclusively serving Indian children, or the funds reserved under any Federal program to exclusively serve Indian children, that are received under a statutory or administrative formula for the purposes of providing education and related services that would be used to serve Indian students.

#### **Mailing Instructions:**

- **All hard copies (an original and two copies) are to be mailed to the Office of Indian Education at the address shown in the application package.**
- All applicants, **except** Bureau-funded schools and Tribes applying as a LEA, are required to submit a copy of their application to the appropriate State Department of Education for review (required in section 7119 of the Act). The copy should be submitted to the State Department of Education at the same time the application is submitted to OIE.
- **Mail screening procedures used by the government may obliterate some types of mailing labels with the addressee name causing a delay in receipt or an undeliverable application. Applicants are advised not to use address labels on the envelope when mailing application materials.**

For technical assistance concerning completion of the application forms or information to be contained within the application, please contact your program specialist in the Office of Indian Education (see Section C, OIE Contacts).

Sincerely,

Victoria Vasques  
Deputy Under Secretary and Director for Indian  
Education

## **SECTION B**

Contents:

- Closing Date Notice – The official version of this document is published in the Federal Register. An electronic version is available at:  
<http://www.gpoaccess.gov/nara/index.html>
  
- Program Legislation – An electronic version is available at:  
<http://www.ed.gov/policy/elsec/leg/esea02/pg98.html>

## **SECTION C**

### Contents:

- Important Notice to Prospective Participants in U.S. Department of Education Contract and Grant Programs
- Executive Order 12372 and State Single Point of Contact – electronic access at:  
<http://www.whitehouse.gov/omb/grants/spoc.html>
- DUNS Number Instructions
- Performance Indicators – electronic access at:  
<http://www.ed.gov/about/reports/annual/2002report/edlite-indianed.html>
- OIE Contacts – electronic access at:  
<http://www.ed.gov/programs/indianformula/contacts.html>
- Indian Student Eligibility Certification Form (ED Form 506)
- Application Transmittal Instructions

IMPORTANT NOTICE TO PROSPECTIVE PARTICIPANTS  
IN USDE CONTRACT AND GRANT PROGRAMS

GRANTS

Applicants for grants from the U.S. Department of Education (USDE) have to compete for limited funds.

Deadlines assure all applicants that they will be treated fairly and equally, without last minute haste.

For these reasons, USDE must set strict deadlines for grant applications. Prospective applicants can avoid disappointment if they understand that -

**Formula grant applications not meeting the deadline will not be considered for funding in the initial allocation of awards. Applications not meeting the deadline may be considered for funding if the Secretary determines, under Section 7118(d) of the No Child Left Behind Act, that funds are available and that reallocation of those funds to such applications would best assist in advancing the purposes of the program. However, the amount and date of an individual award, if any, made under Section 7118(d) of the Act may not be the same to which the applicant would have been entitled if the application had been submitted on time.**

The rules, including the deadline, for applying for each grant are published, individually, in the Federal Register. A one-year subscription to the Register may be obtained by sending \$340.00 to: Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402-9371. (Send check or money order only, no cash or stamps.)

The instructions in the Federal Register must be followed exactly. Do not accept any other advice you may receive. No USDE employee is authorized to extend any deadline published in the Register.

Questions regarding submission of applications may be addressed to:

U.S. Department of Education  
Office of Indian Education  
400 Maryland Ave., SW  
Washington, D.C. 20202-6335

CONTRACTS

Competitive procurement actions undertaken by the USDE are governed by the Federal Procurement Regulations and implementing ED Procurement Regulations.

Generally, prospective competitive procurement actions are synopsisized in the Commerce Business Daily (CBD). Prospective offerors are therein advised of the nature of the procurement and where to apply for copies of the Request for Proposals.

Offerors are advised to be guided solely by the contents of the CBD synopsis and the instructions contained in the Request for Proposals (RFP). Questions regarding the submission of offers should be addressed to the Contracting Officer identified on the face page of the RFP.

Offers are judged in competition with others, and failure to conform with any substantive requirements of the RFP will result in rejection of the offer without any consideration whatever.

Do not accept any advice you receive that is contrary to instructions contained in either the CBD synopsis or the RFP. No USDE employee is authorized to consider a proposal which is non-responsive to the RFP.

A subscription to the CBD is available for \$208.00 per year via second class mailing or \$261.00 per year via first class mailing. Information included in the Federal Acquisition Regulations is contained in Title 48, Code of Federal Regulations, Chapter 1 (\$49.00). The foregoing publication may be obtained by sending your check or money order only, no cash or stamps, to:

Superintendent of Documents  
U.S. Government Printing Office  
Washington, D.C. 20402-9371

In an effort to be certain this important information is widely disseminated, this notice is being included in all USDE mail to the public. You may, therefore, receive more than one notice. If you do, we apologize for any annoyance it may cause you.

## DUNS NUMBER INSTRUCTIONS

### D-U-N-S Number:

Please provide the applicant's D-U-N-S Number on the application cover page (ED 424 form, item #2). You can obtain your D-U-N-S Number at no charge by calling 1-800-333-0505 or by completing a D-U-N-S Number Request Form. The form can be obtained via the Internet at the following URL:

[http://www.dnb.com/local\\_home/local\\_home\\_US/](http://www.dnb.com/local_home/local_home_US/)

The D-U-N-S Number is a unique nine-digit number that does not convey any information about the recipient. A built-in check digit helps assure the accuracy of the D-U-N-S Number. The ninth digit of each number is the check digit, which is mathematically related to the other digits. It lets computer systems determine if a D-U-N-S Number has been entered correctly.

Dun & Bradstreet, a global information services provider, has assigned D-U-N-S Numbers to over 43 million companies worldwide.

U.S. DEPARTMENT OF EDUCATION  
OFFICE OF INDIAN EDUCATION  
WASHINGTON, DC 20202  
**TITLE VII STUDENT ELIGIBILITY CERTIFICATION**  
Elementary and Secondary Education Act, Title VII, Part A, Subpart 1

**Parents: Please return this completed form to your child's school.** In order to apply for a formula grant under the Indian Education Program, your child's school must determine the number of Indian children enrolled. Any child who meets the following definition may be counted for this purpose. You are not required to complete or submit this form to the school. However, if you choose not to submit a form, the school cannot count your child for funding under the program. **This form will become part of your child's school record and will not need to be completed every year.** This form will be maintained at the school and information on the form will not be released without your written approval.

**Definition: Indian means any individual who is (1) a member (as defined by the Indian tribe or band) of an Indian tribe or band, including those Indian tribe or bands terminated since 1940, and those recognized by the State in which the tribe or band reside; or (2) a descendent in the first or second degree (parent or grandparent) as described in (1); or (3) considered by the Secretary of the Interior to be an Indian for any purpose; or (4) an Eskimo or Aleut or other Alaska Native; or (5) a member of an organized Indian group that received a grant under the Indian Education Act of 1988 as it was in effect October 19, 1994.**

NAME OF CHILD \_\_\_\_\_ Date of Birth \_\_\_\_\_  
(As shown on school enrollment records)

School Name \_\_\_\_\_ Grade \_\_\_\_\_

NAME OF TRIBE, BAND OR GROUP \_\_\_\_\_

Tribe, Band or Group is: (check one)

<input type="checkbox"/> Federally Recognized, Including Alaska Native	<input type="checkbox"/> State Recognized	<input type="checkbox"/> Terminated	<input type="checkbox"/> Organized Indian Group Meeting #5 of the Definition Above
---------------------------------------------------------------------------	----------------------------------------------	-------------------------------------	------------------------------------------------------------------------------------------

Name of individual with tribal membership: \_\_\_\_\_

Individual named is (check one):  Child  Child's Parent  Child's Grandparent

Proof of membership, as defined by tribe, band, or group is:

A. Membership or enrollment number (if readily available) \_\_\_\_\_ **OR**

B. Other (explain) \_\_\_\_\_

Name and address of organization maintaining membership data for the tribe, band or group:

\_\_\_\_\_

I verify that the information provided above is accurate:

PARENT'S SIGNATURE \_\_\_\_\_ DATE \_\_\_\_\_

Mailing Address \_\_\_\_\_ Telephone \_\_\_\_\_

Notice: Public Reporting Burden Notice on Reverse Side

### PAPERWORK BURDEN STATEMENT

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1810-0021. The time required to complete this portion of the information collection per type of respondent is estimated to average: 15 minutes per Indian student certification (ED 506) form; including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4651. **If you have comments or concerns regarding the status of your individual submission of this form, write directly to:** Office of Indian Education, U.S. Department of Education, 400 Maryland Avenue, S.W., FOB-6/Room 3W111, Washington, D.C. 20202-6335.

## **APPLICATION TRANSMITTAL INSTRUCTIONS**

### **INDIAN EDUCATION FORMULA GRANTS**

**An application for an award must be submitted by the closing date.**

#### **TRANSMITTAL INSTRUCTIONS:**

If you want to apply for a grant and be considered for funding, you must meet the following deadline requirements:

#### **(A) If You Send Your Application by Mail -**

You must mail the original and two copies of the application on or before the deadline date to:

U.S. Department of Education  
Office of Indian Education  
Attention: CFDA Number 84.060  
400 Maryland Ave., SW, Room 3W111  
Washington, DC 20202-6335

You 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.
- (3) A dated shipping label, invoice, or receipt from a commercial carrier.
- (4) Any other proof of mailing acceptable to the Secretary.

**Note: Mail screening procedures used by the government may obliterate some types of mailing labels with the addressee name causing a delay in receipt or an undeliverable application. Applicants are advised not to use address labels on the envelope when mailing application materials.**

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

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

#### **(B) If You Deliver Your Application by Hand:**

You or your courier must hand deliver the original and two copies of the application by 4:30 p.m. (Washington, DC time) on or before the deadline date to:

Office of Indian Education  
U.S. Department of Education  
400 Maryland Ave., SW, Room 3W111  
Attention: CFDA # 84.060A  
Washington, DC 20202-6335

The Program Office will accept application deliveries daily between 8:00 a.m. and 4:30 p.m. (Washington, DC time), except Saturdays, Sundays, and Federal holidays. A person delivering an application must show identification to enter the building.

NOTES ON TRANSMITTAL OF APPLICATIONS:

- (1) The U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, you should check with your local post office.
- (2) If you send your application by mail or deliver it by hand or by a courier service, the Program office will mail a Grant Application Receipt Acknowledgment to you. If you do not receive the notification of application receipt within 15 days from the date of mailing the application, you should call the Office of Indian Education at (202) 260-3774.
- (3) You must indicate on the envelope and -- if not provided by the Department -- in Item 3 of the Application for Federal Education Assistance (ED 424) the CFDA number -- and suffix letter, if any -- of the competition under which you are submitting your application.

## **SECTION D**

Contents:

PART 1 – Guidance for All Applicants

PART 2 – Instructions for Standard Forms

PART 3 – Instructions and Program Forms for New Applications

PART 4 – Instructions and Program Forms for Continuation Applications

**Submit applications to:**

**U.S. Department of Education  
Office of Indian Education  
Attention: CFDA #84.060  
400 Maryland Ave., SW, Room 3W111  
Washington, DC 20202-6335**

## **PART 1 – GUIDANCE FOR ALL APPLICANTS**

**The instructions for submission contained in the application package and the closing announcement printed in the Federal Register must be followed.**

**In order to be considered for funding, ALL applicants are to ANNUALLY submit the applicable application information requested.**

These instructions provide supplemental guidance and examples that may be used in completing the program specific forms contained in the application. The terms “local education agencies” and “LEAs” include all eligible applicants for the Indian Education Formula Grant Program.

Applications that have been approved for a multi-year period and whose project period will not end prior to the beginning of next school year are “Continuation Applications.” **Please carefully review the instructions for form completion as specific forms are required for “New Applications” vs. “Continuation Applications.”**

Continuation applications generally address only –

- a new Indian student count (which is the basis for generating next school year’s funds),
- parent committee approval (if applicable),
- updates of the assessments of all Indian students,
- the progress being made in meeting the objectives of the project,
- any changes in the project’s objectives that are proposed (**note: only information that has CHANGED since last submittal need be provided**), and
- an updated budget.

### **Public Hearing**

Prior to submitting an application, **all** applicants must annually conduct at least one public hearing. During the public hearing(s), the applicant must provide parents of Indian students, and the community, an opportunity to understand and offer recommendations on the Title VII program.

The LEA may use the public hearing as an opportunity to present the results of the periodic assessment of all Indian students.

### **Eligible Applicants**

Eligible applicants for the Title VII Indian Education Formula Grant program include these entities according to the following criteria:

1. Local education agency (LEA) means --
  - (a) A public board of education or other public authority legally constituted within a State for either administrative control or direction of, or to perform service functions for, public elementary or secondary schools in:

- (1) A city, county, township, school district, or other political subdivision of a State; or
- (2) Such combination of school districts or counties a State recognizes as an administrative agency for its public elementary or secondary schools; or

(b) Any other public institution or agency that has administrative control and direction of a public elementary or secondary school.

(Authority: 34 CFR Part 77)

2. Schools funded by the Bureau of Indian Affairs (BIA) include --
  - (a) Elementary and secondary schools, operated by the BIA, that offer direct student instruction; and
  - (b) Elementary and secondary schools, operated through a contract or grant from the BIA that offer direct student instruction.
3. Tribes, if --
  - (a) The LEA that is eligible for the grant does not establish a parent committee according to the program's legislative requirements; and
  - (b) The Indian Tribe represents no less than one-half of the eligible Indian children who are served by the LEA.

### **Eligibility of Indian Tribes**

- **To document that an Indian tribe meets the basic criteria for eligibility, the applicant tribe must submit, each year with its application, a signed letter from each affected LEA certifying that:**
- *The LEA has not established a parent committee according to Section 7114(c)(4);*
- *The applicant Indian tribe represents no less than one-half of the eligible Indian children served by the LEA; and*
- *All of the Indian students identified by the tribe were enrolled in the LEAs' schools during the count period indicated by the tribe.*

**Note:** Eligible Indian Children means those children for whom the tribe has a completed Indian Student Eligibility (ED 506) form on file at the time of the count. Of the total number of eligible Indian children counted, the tribe must represent no less than one-half.

It will be the responsibility of the applicant tribe to collect and maintain the Indian student eligibility certification forms on each Indian child. These forms are used to document the total number of Indian students counted to generate funds for the formula grant award.

Applicant tribes must submit to the LEA for verification:

- A list of all students, by tribe, being counted for the purposes of this grant; and
- The count period used in the application.

## **Consortium Applications**

- Local educational agencies may form a consortium for the purpose of obtaining grants under the formula grant program. Consortium applications include more than one distinct organizational entity (e.g., districts, counties, public schools and tribally controlled schools, bureau-operated schools, etc.) in which one of the entities is identified as the "applicant" on behalf of the other entities.
- All entities in the consortium must be eligible to participate in the formula grant program. The regulations in 34 CFR 75.127-129, governing "Group Applications," must be followed in submitting a consortium application.
- Schools directly operated by the Bureau of Indian Affairs (BIA) can only participate in a consortium application with other schools directly operated by the BIA. This restriction is due to the difference in the payment method used for transferring funds to the BIA for schools it operates.
- **Consortium applications are to contain, within the application submitted, a breakdown of the number of Indian students being counted by each entity. Each member of the consortium must meet the basic eligibility requirements for the program.**

## **Student Enrollment Requirements**

In order to participate in the Title VII Indian Education Formula Grant program, eligible applicants must have a minimum of 10 Indian students enrolled in the LEA or not less than 25 percent of the total number enrollment.

***Exceptions*** -- The enrollment requirement does not apply in Alaska, California or Oklahoma or to LEAs located on, or in proximity to, a reservation.

## **Indian Student Count**

Indian student eligibility for the program is determined by a certification (ED 506) form that is signed and dated by the parent. The actual numbers of Indian students for whom the LEA has collected an Indian Student Certification (ED 506) Form is reported to generate a project's funding.

ED 506 forms counted to generate funding must –

- Contain the minimum information as explained in the application package;
- Be signed by the parent and dated *not later than* the last day of the count period specified in the application; and
- Be for Indian children actually enrolled in the LEA's schools receiving a free, public education during the count period specified in the application.

**NOTE:**

**Elementary and secondary schools funded or operated by the Bureau of Indian Affairs (BIA) are may choose to document their Indian student count by maintaining ED 506 forms on their Indian students or using the Indian School Equalization Program (ISEP) count. A combination of the two methods is not permitted. BIA-funded schools must designate on the Student Count Total Form which method is used to count their Indian students.**

All other applicants, including Tribes that apply in lieu of an LEA that has not established a parent committee, are required to collect and maintain ED 506 forms on all Indian students counted to generate Title VII Indian Education Formula Grant program funds.

**Documentation Needed To Verify Indian Student Count**

**A. Local Educational Agencies (LEAs)**

Documentation of count for LEAs:

- A Student Eligibility Certification (ED 506) form (included in this application package) must be collected for each Indian child included in the count.

Note: This requirement applies to Bureau-funded schools if using the ED 506 form as the basis of the Indian student count.

Verification of count for LEAs:

- All Student Eligibility Certification (ED 506) forms used in the count period; and
- A copy of the LEAs student enrollment roster(s), covering the same period of time indicated in the application as the "count period." Each Indian child included in the count for which an Indian Student Eligibility Certification (ED 506) form is on-file must be listed on the LEAs enrollment roster(s).
- All documentation should be maintained in a manner that allows the LEA to be able to discern, for any given year, which students were enrolled in the LEAs school(s) and counted during the count period indicated in the application.

**B. Schools Funded by the Bureau of Indian Affairs (BIA)**

Student eligibility certification (ED 506) forms are not required for schools funded by the Bureau of Indian Affairs (BIA) if the applicant school uses the Indian School Equalization Program (ISEP) count for that year. However, a Student Eligibility Certification (ED 506) form (included in this application package) must be collected for each Indian child included in the count if the Bureau-funded school uses the ED 506 form as the basis of the Indian student count.

### **C. Indian Tribes Applying In Lieu of an LEA**

A student eligibility certification (ED 506) form must be collected for each Indian child included in the count.

Eligible tribes may count all Indian students enrolled in the LEA for whom the tribe obtains an Indian student eligibility certification form and all students included in the count may be included in the project's activities and services. However, for eligibility purposes, of the total number of Indian students counted, not less than half must be from the applicant Indian tribe.

Verification of Count for Indian Tribes Applying in Lieu of an LEA:

- To verify the Indian student count, the following documentation is needed by an Indian Tribe that applies for funding instead of the LEA:
- All Indian Student Certification (ED 506) forms used in the count period;
- The letter and accompanying documents submitted to the LEA for verification, which includes a list of all students, by tribe, being counted for the purposes of this grant and the count period being used by the tribe; and
- The LEA's certification that the Indian children counted by the applicant tribe were enrolled in the LEAs schools during the count period indicated by the tribe.

### **Parent Committee Approval**

With the exceptions identified below, all applicants must establish a parent committee that meets the requirements of the program's legislation. The LEA is to develop the program with the participation and written approval of the parent committee. In order to ensure that the parent committee is aware of their required level of involvement, a form has been provided that informs them of this requirement. By signing the Parent Committee Approval form, members indicate their participation and approval of the application being submitted.

### **Parent Committee Exceptions --**

These applicants are not required to establish a parent committee –

- Elementary and secondary schools funded or operated by the Bureau of Indian Affairs, and
- Tribes that apply when the eligible LEA does not form a parent committee.

### **Use of Project Funds**

#### **Administrative Costs**

Section 7115(d) of the program's legislation limits a grantee from using more than 5% of its

project funds for administrative purposes. However, the legislation does not define what costs should be included or identified as “administrative.” If an applicant determines that this legislative requirement would impede proper implementation of the program, a waiver of this requirement may be requested under the authority of Section 9401, Waivers of Statutory and Regulatory Requirements.

If a waiver is requested, the applicant must provide information that meets the requirements specified in Section 9401. The application package includes a form (in Part 2 of Section D) that applicants may complete if requesting a waiver; this form is to be submitted with the application. Unless a waiver is requested, administrative costs may not exceed 5% of the budget total.

### **Integration of Services under Section 7116**

Under Section 7116 of the Elementary and Secondary Education Act, projects may consolidate federal funds and program services into a single, coordinated, comprehensive project and reduce administrative costs by consolidating administrative functions.

The only funds that may be integrated are:

- From a Federal program that exclusively serves Indian children, or
- Funds reserved under any Federal program to exclusively serve Indian children, received through a statutory or administrative formula for the purposes of providing education and related services to serve Indian students.

Specific forms are included in the application package for projects that choose to administer an Integrated Services Project.

### **Unallowable Costs**

The cost of the following items will not be allowed within project budgets:

- Student banquets, dinners, ceremonies or other similar social occasions;
- Student incentives, stipends, scholarships or personal articles/items;
- Parental costs or stipends;
- Basic transportation costs of students for the school/LEA;
- Vehicle purchases; or
- Other costs which are not specifically related to an approved project objective or identified as an administrative cost.

## **Examples for Determining Mid-Year and Substantial Progress**

**The objectives in your initial application require you to identify the level of progress students are to achieve by mid-year and end-of-year. Mid-year progress of student achievement is to be reviewed to determine if project services are having a positive impact on student learning. Services that are not increasing student performance are to be re-evaluated to determine if changes are needed in project services (e.g., duration, frequency, or timing) prior to the end of the project. Services that do not demonstrate an improvement in student achievement should not be continued.**

**In maintaining data on student progress, data on individual students must be tracked. However, only aggregate (total) data is reported in the application.**

**For example:**

**Project services are targeted for 20 fourth-grade students identified as partially proficient in math. End of year progress is anticipated to be an increase of at least one-letter grade in math for each student.**

**Progress data reports that by mid-year (end of 1<sup>st</sup> semester), 16 of the 20 students receiving services increase math grades by one-half letter grade; the remaining 4 students increase by 75% of a letter grade.**

**The following examples may be used as a guide to identify anticipated progress students may reach based on end-of-year achievements commonly identified by applicants.**

### **Student Grades**

Substantial progress anticipated: One (1) letter grade by end of school year:

9 months or end of school year – one letter grade

(Example: Grade C to Grade B or better)

6 months or end of 3<sup>rd</sup> grading period – 75% of a letter grade

(Example: C to B- or better)

4.5 months, end of 2<sup>nd</sup> grading period or end of first semester (mid-year) – 50% of a letter grade

(Example: C to C+ or better)

Note: Student Grades should only be used to determine progress through the school year and cannot be relied upon to determine student progress towards meeting State standards.

## Test Results using Percentiles

Example: Proficiency Levels by Percentiles –  
Advanced Proficiency – 75<sup>th</sup> percentile and above  
Proficient – 50<sup>th</sup> percentile to 74<sup>th</sup> percentile  
Partially Proficient – 49<sup>th</sup> percentile and below

For students scoring in the Partially Proficient range at the 25<sup>th</sup> percentile, the goal may be to achieve the Proficient range within a five year period.

Year 1 – students scoring at the 25<sup>th</sup> percentile increase by 5 percentiles by end of year (reaching the 30<sup>th</sup> percentile)  
Year 2 – students scoring at the 30<sup>th</sup> percentile increase by 5 percentiles by end of year (reaching the 35<sup>th</sup> percentile)  
Year 3 – students scoring at the 35<sup>th</sup> percentile increase by 5 percentiles by end of year (reaching the 40<sup>th</sup> percentile)  
Year 4 – students scoring at the 40<sup>th</sup> percentile increase by 5 percentiles by end of year (reaching the 45<sup>th</sup> percentile)  
Year 5 – students scoring at the 45<sup>th</sup> percentile increase by 5 percentiles by end of year (reaching the 50<sup>th</sup> percentile (proficiency level))

Note: Using standardized tests to evaluate student progress will only be possible in LEAs that test annually at sequential grade levels (for example, grades 3, 4, 5, 6, etc.). Other measures to evaluate student progress will be needed when sequential grade levels are not tested. For example, alternative measures would be required for grades 4, 5, 6, and 7 if only grades 3 and 8 are currently tested).

If practice tests are utilized, you may be able to project progress by the end of school year. For example, a goal of student increases of 5 percentiles is anticipated:

9 months or end of school year – 5 percentiles  
(Example: 35<sup>th</sup> percentile to 40<sup>th</sup> percentile)

Practice tests taken at 6 months or end of 3<sup>rd</sup> grading period – 3.75 percentiles  
(Example: 35<sup>th</sup> percentile to 38-39<sup>th</sup> percentile)

Practice tests taken at 4.5 months, end of 2<sup>nd</sup> grading period or end of first semester (mid-year) – 2.5 percentiles  
(Example: 35<sup>th</sup> percentile to 37-38<sup>th</sup> percentile)

**Note: These assessments will not provide data on annual progress of student achievement in all cases. Please note that if testing is not conducted at each grade level, other measures are needed to determine student progress in meeting the project's objectives.**

## Test Results using Scale Scores

Example of Proficiency Levels by Scale Scores –

Advance Proficiency – scale scores of 250 and above

Proficient – scale scores of 200 to 249

Partially Proficient – scale scores of 199 or less

For scores in the Partially Proficient range, with a scale score of 125, students may be expected to progress to the Proficient range within a five year period.

Year 1 – Scale score of 125 to increase by 10% by end of year to 138

Year 2 – Scale score of 138 to increase by 10% by end of year to 152

Year 3 – Scale score of 152 to increase by 10% by end of year to 167

Year 4 – Scale score of 167 to increase by 10% by end of year to 184

Year 5 – Scale score of 184 to increase by 10 % by end of year to 202 (Proficient Level)

Substantial progress anticipated: 10% improvement of score by end of school year:

9 months or end of school year – 10% increase in scale score of student

(Example: Scale score of 125 to increase by 10% to scale score of 138)

Practice tests taken at 6 months or end of 3<sup>rd</sup> grading period – 7.5% increase in scale score of student

(Example: Scale score of 125 to increase by 7.5% to scale score of 134)

Practice tests taken at 4.5 months, end of 2<sup>nd</sup> grading period or end of first semester (mid-year) – 5% increase in scale score of student

(Example: Scale score of 125 to increase by 5% to scale score of 131)

Note on Assessment Tools: Using normed tests to evaluate end of year student progress will only be possible if LEAs test annually at sequential grade levels (for example, grades 3, 4, 5, 6, etc.) in the same core subject areas. Additional measures will be needed to evaluate student progress sequential grade levels are not tested (for example, alternative measures would be required for grade 4, 5, 6, and 7 if only grades 3 and 8 are currently tested).

## **PART 2 – INSTRUCTIONS FOR STANDARD FORMS**

Note: Specific instructions for completion are provided on the back of each form; only those items that are frequently completed in an incorrect manner or general guidance that may be needed are addressed here.

### **Cover Page (ED Form 424)**

- **Item #1 Legal Name is the name of the entity applying for the grant. Names of individuals are listed only in item #4 (Project Director) and #14 (Authorized Representative).**
- Item #2 -- ALL applicants (except BIA-operated schools) must have a DUNS number. Instructions for obtaining a DUNS number are included under Section C.
- Item #4 -- Be sure to include an e-mail address if one is available.
- Item #10, Proposed Project Dates -- Include dates, from the beginning year to ending year, that are being requested through this application.

### **Budget Information (ED FORM 524)**

- Budget Information (ED Form 524) --identify the name of the applicant entity in the space provided on the pages for Section A and Section B.
- Section A --The totals for each budget category (per year) should correspond with the totals on the Budget Detail Summary forms.
- Section B --Identify any non-Federal Funds that will be used to support the program according to the budget categories and years of the program. If this form is not applicable, the applicant should indicate “N/A” on the form.

*Note: All budget information identified is based on estimates. The applicant will have an opportunity to revise the budget after the award is made based on actual fund availability.*

### **Budget Detail Summary Forms**

- The Budget Detail Summary forms are required for all applicants.
- The Budget Detail Summary forms are comprised of two parts—
  - Personnel funded by the project
  - Budget Categories
- If an Integrated Services Project is requested, complete only those detail budget summary forms that are indicated for an Integrated Services Project.

NOTE: The legislation imposes a 5% cap on administrative costs for this program. Unless a waiver of this requirement is requested and approved, administrative costs beyond the 5% cap cannot be approved.

### **Certification, Assurance and Survey Forms**

#### **(REQUIRED ONLY FOR NEW APPLICATIONS)**

ALL assurance and certification forms included in the application package must be signed and dated by the individual authorized by the LEA and included in the application submitted. If the individual signing the forms is not one of the top agency officials, a letter of authorization may be requested authorizing the individual to sign on behalf of the LEA.

### **Section 427 OF GEPA**

#### **(REQUIRED ONLY FOR NEW APPLICATIONS)**

Address the requirements of Section 427 of the Department of Education's General Education Provisions Act (GEPA) as explained in the instructions.

## PART 2 -- STANDARD APPLICATION FORMS

The following forms are required. Access for downloading an electronic version of these forms can be found at:

<http://www.ed.gov/fund/grant/apply/appforms/appforms.html>

- ED Form 424 – Application for Federal Education Assistance (Form and Instructions)
- ED Form 524 – Budget Information, Non-Construction Programs
- ED Form 524 – Instructions
  
- Standard Form 424B – Assurances, Non-Construction Programs **(required only for new applications)**
- ED 80-0013 – Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements **(required only for new applications)**
- ED 80-0014 – Certification Regarding Debarment, Suspensions, Ineligibility and Voluntary Exclusion – Lower Tier Covered Transactions **(required only for new applications)**
- Standard Form LLL – Disclosure of Lobbying Activities **(required only for new applications)**
- Survey on Ensuring Equal Opportunity for Applicants **(required only for new applications)**

These program forms are also required:

- Indian Student Count Total
- Parent Committee Approval
- LEA Grant Program Assurances Form
- Budget Detail Summary Forms (2 types)
  - (1) Programs that are a regular Title VII project; **or**
  - (2) Programs that are submitted as an Integration of Services Project

**Submit applications by the closing date to:**

**U.S. Department of Education  
Office of Indian Education  
Attention: CFDA #84.060  
400 Maryland Ave., SW, Room 3W111  
Washington, DC 20202-6335**

DEPARTMENT OF EDUCATION  
 OFFICE OF INDIAN EDUCATION

INDIAN STUDENT COUNT - LEA TOTAL

LEA Name:	LEA Mailing Address:				
<p><b>Instructions:</b> This form is used to establish the total Indian student count of the LEA for the purpose of generating funds under the Indian education formula grant program. The information from the individual ED 506 forms on file during the count period for Indian students enrolled in the LEA during the designated count period is to be compiled and reported on this form.</p> <p>In Section A or B below, breakdown the <i>number</i> of eligible Indian children according to their eligibility status as indicated on the ED 506 form. <i>Count each child only once according to the categories shown.</i> <b><u>Complete only Section A or Section B, as appropriate.</u></b></p>					
<p><b>A. Public Schools or BIA Funded Schools, complete this section with <u>numbers</u> of Indian students by category: (total of all students counted in Section A must match total shown in Section C)</b></p> <p style="margin-left: 40px;"> <input type="checkbox"/> Federally recognized, including Alaska Natives  <input type="checkbox"/> State Recognized  <input type="checkbox"/> Terminated Tribes  <input type="checkbox"/> Organized Indian Group meeting the definition of "Indian"         </p> <p style="text-align: center;"><b>For BIA Funded Schools, Indian student count method is based on: (check <u>only one</u>)</b></p> <p style="text-align: center;"> <input type="checkbox"/> 506 Forms                      <input type="checkbox"/> ISEP         </p>					
<p><b>B. Tribes that apply instead of an LEA, complete this section with <u>numbers</u> of Indian students by category: (total of all students counted in Section B must match total shown in Section C)</b></p> <table style="width: 100%; border: none;"> <tr> <td style="width: 50%; border: none;"><b><u>Number of Students of Applicant Tribe:</u></b></td> <td style="width: 50%; border: none;"><b><u>Number of Students of Other Tribes:</u></b></td> </tr> <tr> <td style="border: none;"> <input type="checkbox"/> Federally recognized, including Alaska Native  <input type="checkbox"/> State Recognized  <input type="checkbox"/> Terminated Tribe  <input type="checkbox"/> Organized Indian Group meeting definition of "Indian"         </td> <td style="border: none;"> <input type="checkbox"/> Federally recognized, including Alaska Native  <input type="checkbox"/> State Recognized  <input type="checkbox"/> Terminated Tribe  <input type="checkbox"/> Organized Indian Group meeting definition of "Indian"         </td> </tr> </table>		<b><u>Number of Students of Applicant Tribe:</u></b>	<b><u>Number of Students of Other Tribes:</u></b>	<input type="checkbox"/> Federally recognized, including Alaska Native <input type="checkbox"/> State Recognized <input type="checkbox"/> Terminated Tribe <input type="checkbox"/> Organized Indian Group meeting definition of "Indian"	<input type="checkbox"/> Federally recognized, including Alaska Native <input type="checkbox"/> State Recognized <input type="checkbox"/> Terminated Tribe <input type="checkbox"/> Organized Indian Group meeting definition of "Indian"
<b><u>Number of Students of Applicant Tribe:</u></b>	<b><u>Number of Students of Other Tribes:</u></b>				
<input type="checkbox"/> Federally recognized, including Alaska Native <input type="checkbox"/> State Recognized <input type="checkbox"/> Terminated Tribe <input type="checkbox"/> Organized Indian Group meeting definition of "Indian"	<input type="checkbox"/> Federally recognized, including Alaska Native <input type="checkbox"/> State Recognized <input type="checkbox"/> Terminated Tribe <input type="checkbox"/> Organized Indian Group meeting definition of "Indian"				
<b>SECTION C. TO BE COMPLETED BY ALL APPLICANTS</b>					
Total number (section A or B) of all eligible Indian children enrolled in the LEA's schools during the count period:	Count Period (Period may be up to 31 consecutive days)	Total number of <u>all</u> students enrolled in the LEA's schools (Indian and non-Indian):			
<p><i>The LEA certifies that the above count represents the number of eligible Indian students enrolled in its schools and for whom a Student Eligibility Certification (ED 506) form <b><u>was on file</u></b> during the count period indicated. It is understood that this count will be used to calculate an award of Federal Assistance and that it is subject to audit.</i></p>					
Signature of Authorized LEA Representative	Telephone number with Area Code:	Date signed:			

## **Form Completion Instructions:**

### *INDIAN STUDENT COUNT - LEA TOTAL*

1. Insert the LEA's name and mailing address in the appropriate space. Please fully complete this item, as school district names are often similar.
  
2. **Complete Section A or B, as appropriate --**
  - Section A is to be filled out by public schools and those schools funded by the Bureau of Indian Affairs (BIA).  
  
Note: BIA funded schools must identify the count method being used – either 506 forms or ISEP.
  
  - Section B is to be filled out by Indian Tribes that apply instead of the LEA, breaking out the numbers of Indian students being counted according to categories listed for the Applicant Tribe and those Indian students from Other Tribes.
  
3. Section C is to be completed by all applicants and contain the following information:
  - The total number in Sections A or B of all eligible Indian children that were enrolled in the LEA's school(s) during the count period;
  - The period (inclusive of all dates) during which the Indian student count was taken. (This may be up to 31 consecutive (i.e., calendar) days. Example: Oct. 1-31, 2003).
  - The total number of students enrolled in the LEA's school(s) – include all students, both Indians and non-Indian students.
  - An authorized representative of the LEA must sign the form. If someone other than the person signing the application cover page signs the form, a letter of authorization is to be provided with the application.
  - Provide the telephone number with area code of the person signing the form.
  - Identify the date the form is signed.

**PARENT COMMITTEE APPROVAL OF A  
TITLE VII FORMULA GRANT PROGRAM**

(Note: Not applicable to elementary and secondary schools funded by the Bureau of Indian Affairs or tribes that apply in lieu of an LEA)

LEA Name: \_\_\_\_\_

Address: \_\_\_\_\_

City/State: \_\_\_\_\_  
Zip

This certifies that the Parent Committee for the above LEA has participated in the development of the application herein submitted and approves the proposed project.

**(Note: The LEA and Parent Committee (PC) are to locally determine the number of PC members that are required for PC approval of the application.)**

\_\_\_\_\_  
Signature, Title Date

**Check the type of application submitted. Check only one box:**

- The application submitted is for a regular formula grant project.
- The application submitted will include project funds in a Title I school-wide program. The Parent Committee also certifies it had an opportunity to review the program in a timely fashion and determines that the school wide program is consistent with the purpose of the formula grant program and does not diminish the availability of culturally relevant activities.
- The application submitted will consolidate Federal programs funded for the purpose of providing education and related services to Indian students. The Federal funds identified within the budget to be consolidated are those that are allocated under a statutory or administrative formula for the purposes of providing education and related services that would be used to Indian students.

## **Form Completion Instructions:**

### *Parent Committee Approval*

1. Obtain the dated signature of the Parent Committee members, including name and title, authorized to sign the approval form.

(Note: The LEA and Parent Committee are to locally determine the number of members and/or those members authorized to sign the form.)

2. Identify the type of approval given for this application as one of the following:
  - Approval for a regular program that will be operated by the LEA;
  - Approval for a program that will consolidate the project funds into a Title I schoolwide program;
  - Approval for a program to Integrate Services and federal funds.

Check only one box as appropriate for your application.

**Additional Program Assurances for 84.060 - Indian Education Formula Grants**  
**Required for ALL NEW Applications**

1. If the applicant is an LEA, it assures that funds received under this program will be used only to supplement the level of funds that, in the absence of the Federal funds made available under this program, the LEA would make available for the education of Indian children, and not to supplant such funds. (Section 7114(c)(1) of Part A, Title VII)
2. It assures that it will submit a performance report, or, for the last year of a project, a final report, that evaluates at least annually: (a) the grantee's progress in achieving the objectives in its approved application; (b) the effectiveness of the project in meeting the purposes of the program; and (c) the effect of the project on participants being served by the project. (34 CFR 75.590)
3. It assures that it will cooperate in any evaluation of the program by the Secretary. (34 CFR 75.591)
4. It assures that the program for which funds are sought is based on a comprehensive local assessment and prioritization of the unique educational and culturally related academic needs of the American Indian and Alaska Native students for whom the LEA is providing an education. (Section 7114(c)(3) of Part A, Title VII)
5. It assures that it will use the best available talents and resources, including persons from the Indian community. (Section 7114(c)(3) of Part A, Title VII)
6. It assures that it has developed the project for which application is made (a) in open consultation with parents of Indian children and teachers and, if appropriate, Indian students from secondary schools, including through public hearings held to provide a full opportunity to understand the program and to offer recommendations regarding the program; and (b) with the participation of a parent committee selected in accordance with section 7114(c) of the statute; and (c) with the written approval of that parent committee. (Section 7114(c)(3)(4) of Part A, Title VII)
7. It assures, if it is a local educational agency, which the parent committee will adopt and abide by reasonable by-laws for the conduct of the activities of the committee. (Section 7114(c)(4) of Part A, Title VII)
8. It assures that the policies and procedures, and sets forth such policies and procedures, including policies and procedures relating to the hiring of personnel, will ensure that the program will be operated and evaluated in consultation with, and with the involvement of, parents of the children, and representatives of the area, to be served. (Section 7114(c)(4) of Part A, Title VII)
9. It assures that an application for inclusion of these program funds in a Title I school-wide project, has been approved, in writing, by the parent committee and that the parent committee was allowed to review the application in a timely fashion, has determined that the program will not diminish the availability of culturally related activities for American Indians and Alaska Native students, and has determined that the Title I school-wide project meets the purpose of the Indian education formula grant program. (Sections 7114(c)(4)(D) and 7115(c) of Part A, Title VII)
10. It assures that it will directly administer or supervise the administration of the project. (34 CFR 75.701)

11. It assures that it will keep records related to grant funds, program compliance and program performance and will afford the Secretary access to these records as the Secretary may find necessary to assure the correctness and verification of reports made by the applicant. (34 CFR sections 75.730-.732)
12. It assures that it has fiscal control and fund accounting procedures that insure proper disbursement of and accounting for Federal funds. (34 CFR 75.702)
13. Pursuant to Section 9306(a) of the Elementary and Secondary Education Act, it assures that:
  - The program will be administered in accordance with all applicable statutes, regulations, program plans, and application;
  - The control of funds provided under the program and title to property acquired with program funds will be in a public agency or in a nonprofit private agency, institution, organization, or Indian tribe, if the law authorizing the program provides for assistance to those entities and who will administer these funds and property to the extent required by the authorizing statute;
  - The applicant will adopt and use proper methods of administering the program, including -- the enforcement of any obligations imposed by law on agencies, institutions, organizations, and other recipients responsible for carrying out the program; and the correction of deficiencies in program operations that are identified through audits, monitoring, or evaluation;
  - The applicant will cooperate in carrying out any evaluation of the program conducted by or for the State educational agency (SEA), the Secretary or other Federal officials;
  - The applicant will use fiscal control and funds accounting procedures that will ensure proper disbursement of, and accounting for, Federal funds paid to the applicant under this program;
  - The applicant will make reports, maintain records, provide information, and afford access to the State educational agency and the Secretary as may be necessary to enable the SEA and the Secretary to carry out and perform their duties under this program; and
  - Before the application is submitted, the applicant affords a reasonable opportunity for public comment on the application and has considered those comments.

Title of Authorized Official	Organization
Signature of Authorized Official	Date

**BUDGET DETAIL SUMMARY  
PERSONNEL FUNDED BY PROJECT**

**Required for ALL applications applying for a “regular” formula grant project.**

Note: Unless a waiver is requested, administrative costs may not exceed 5% of the total budget. Costs for personnel are to be broken out by “administrative costs” vs. “programmatic costs” which represent direct services.

**Instructions: Complete all columns for each type of personnel to be funded by the program.**

(1) PERSONNEL FUNDED BY TITLE VII	(2) #	(3) % OF TIME	(4) ADMIN. COST	(5) PROGRAM COST	(6) FRINGE COST
Title(s):					
<b>TOTAL</b>					

**Form Completion Instructions:**

**(Instruction number corresponds with the column number on the form)**

*PERSONNEL FUNDED BY PROJECT*

1. Identify the personnel to be funded by the project according to the position titles you plan to employ.
2. For each position title listed, identify the number of personnel to be employed with project funds.
3. Identify the percent of time those persons will be employed with project funds.
4. Identify the amount of funds needed to pay any portion of a salary of a person performing administrative functions for the project.
5. Identify the amount of funds needed to pay any portion of a salary of a person performing programmatic functions for the project.
6. Identify the total of all fringe costs for the positions identified.

**BUDGET DETAIL SUMMARY**  
**BUDGET CATEGORIES FUNDED BY PROJECT**

**BUDGET CATEGORIES:** For each major budget category, identify the item(s) to be purchased with Title VII funds (broken out between administrative costs vs. programmatic costs), the costs basis for the item(s), the project objective(s) that is supported by the proposed cost, and the amount per item.

**Note:** Unless a waiver is requested, administrative costs may not exceed 5% of the budget total.

(1) ITEMS	(2) COST BASIS*	(3) OBJECTIVE THAT COST IS RELATED TO	(4) AMOUNT ADMIN. COST	(5) AMOUNT PROG. COST	(6) TOTAL AMOUNT
<b>TRAVEL:</b>					
<b>EQUIPMENT:</b>					
<b>SUPPLIES:</b>					
<b>CONTRACTUAL:</b>					
<b>OTHER:</b>					
<b>INDIRECT COSTS (Identify rate): _____%</b>					
<b>Training Stipends (Indirect not charged on stipends)</b>					
<b>TOTAL</b>					

\*Provide basis of cost if not explained elsewhere in the application.

**Form Completion Instructions:**

**(Instruction number corresponds with the column number on the form)**

*BUDGET CATEGORIES*

1. Identify the items to be paid by the project according to the appropriate budget categories listed.
2. For each item listed identify the basis for estimating the cost.
3. Identify the performance objective that is directly related to the proposed cost.
4. Identify the total amount for the line items in each budget category if it will be used for administrative purposes.
5. Identify the total amount for the line items in each budget category if it will be used for program purposes.
6. Total all items in each budget category and complete the remainder of the page.



**Instructions: Complete all columns for each type of personnel to be funded by the program:**

(1) PERSONNEL FUNDED THROUGH INTEGRATION OF SERVICES	(2) #	(3) % OF TIME	(4) ADMIN. COST	(5) PROG. COST	(6) FRINGE COST
<b>Project Director</b>					
<b>Project Coordinator</b>					
<b>Certified Staff: (specify by type or title)</b>					
<b>Non-certified Staff: (specify by type or title)</b>					
<b>TOTAL</b>					

**Form Completion Instructions:**

**(Instruction number corresponds with the column number on the form)**

*INTEGRATION OF SERVICES - PERSONNEL*

1. Identify the personnel, by type of position, to be paid from the Integrated Services Project.
2. Identify the number personnel to be funded by the program with each of the categories.
3. Identify the percentage of time for each position listed.
4. List the amount (or portion) of a salary for any position that will perform administrative functions.
5. List the amount (or portion) of a salary for any position that will perform programmatic functions.
6. Calculate the cost of fringe benefits for the individuals employed.

Please provide a Total of all costs for the appropriate columns.

**INTEGRATED SERVICES  
BUDGET CATEGORIES FUNDED**

**BUDGET CATEGORIES:** For each major budget category, identify the item(s) to be purchased with integrated funds (broken out between administrative costs vs. programmatic costs), the cost basis for the item(s), the project objective(s) supported by the proposed cost, and the amount per item.

**Note:** Unless a waiver is requested, administrative costs may not exceed 5% of the budget total.

(1) ITEMS	(2) COST BASIS*	(3) OBJECTIVE THAT COST IS RELATED TO	(4) AMOUNT ADMIN. COST	(5) AMOUNT PROG. COST	(6) TOTAL AMOUNT
<b>TRAVEL:</b>					
<b>EQUIPMENT:</b>					
<b>SUPPLIES:</b>					
<b>CONTRACTUAL:</b>					
<b>OTHER:</b>					
<b>INDIRECT COSTS (Identify rate): _____ %</b>					
<b>Training Stipends (Indirect not charged on stipends)</b>					
<b>TOTAL</b>					

\*Provide basis of cost if not explained elsewhere in the application.

**Form Completion Instructions:**

**(Instruction number corresponds with the column number on the form)**

*INTEGRATION OF SERVICES - BUDGET CATEGORIES*

1. Identify the items to be paid by the project according to the appropriate budget categories listed.
2. For each item listed identify the basis for estimating the cost.
3. Identify the performance objective that is directly related to the proposed cost.
4. Identify the total amount for the line items in each budget category if it will be used for administrative purposes.
5. Identify the total amount for the line items in each budget category if it will be used for program purposes.
6. Total all items in each budget category and complete the remainder of the page.

## PART 3 – INSTRUCTIONS FOR NEW APPLICATIONS

### **Student Needs Addressed by LEA Programs:**

The Indian education formula grant program legislation requires that the program be based on a local assessment and prioritization of the unique educational *and* culturally related academic needs of the American Indian and Alaska Native students for whom the LEA provides an education. Each application shall include a comprehensive program for meeting the needs of Indian children served by the LEA, including the language and cultural needs of the children.

In order to determine that a comprehensive program is provided and all student needs are addressed (i.e., academics, language and culture) a comprehensive needs assessment must be conducted. The application forms have been designed to capture available assessment data in each of these areas.

Specific instructions for completion are located on the back of the form.

### **Student Data and Objectives:**

The purpose of the form is to identify the performance levels of Indian students and the objectives to be targeted by the project.

**Note: Data on student performance in the areas of Reading (or Language Arts) and Math are required. Additional student performance data are to be provided in the content areas of Writing or Language Arts, Science, Social Studies or History if the applicant plans to address the area(s) in an objective. Report only the data for the content areas and grades that are required to be assessed according to State or local standards.**

*Projects having cultural data on student performance may report data on the Academic Objective forms.*

### **Student Data**

The levels of student academic performance to be reported are divided into three areas --

- A = Advanced
- P = Proficient
- N = Partially Proficient

These levels of student performance relate to the requirements of Title I that require States to have challenging content standards in academic subjects, challenging student performance standards that are aligned with the State's content standards, and have student performance standards that are based on three levels of performance. The highest two levels of performance are to be described as proficient and advanced, to determine how well children are mastering the material in the State content standards. The third level of performance is described as "partially proficient" and is to provide information about the progress of lower performing children toward achieving the proficient and advanced levels of performance. At a minimum, each State participating in the Title I program must:

- annually determine student progress in a manner similar to the three levels described;
- assess student proficiencies in academic subjects (mathematics and reading or language arts, at a minimum);
- involve multiple up-to-date measures of student performance, including measures that assess higher order thinking skills and understanding; and
- have assessments that enable the results to be disaggregated within each State, LEA, and school by --
  - gender,
  - each major racial and ethnic group\*,
  - English proficiency status,
  - migrant status,
  - students with disabilities as compared to nondisabled students, and
  - economically disadvantaged students as compared to students who are not economically disadvantaged.

\*Note: Although all states must disaggregate their assessment data, disaggregated data for the American Indian and Alaska Native student population may not yet be available in all states. As an alternative, the LEA may want to look at the Indian student population to see if there are any links or correlations between this student population and those that fall into the “economically disadvantaged” data being disaggregated. (Note: This would also include students that are eligible for the Free and Reduced Price Lunch Program.) If that correlation exists (i.e., the majority of the AI/AN student population are also those that have been identified as “economically disadvantaged”), then the LEA may use that data if the Indian population is not specifically disaggregated as a discreet student population on test data.

Although student performance levels are to be based on the three levels described, individual States may use similar but different terminology. LEAs should determine which of their performance level descriptions most closely correspond with the descriptions given for Advanced (A), Proficient (P) and Partially Proficient (N) on the Academic Student Needs Summary Form and provide data accordingly.

**LEAs are to review the types of academic performance data available within the LEA for core subject content areas and grade levels.**

*Each State must have an assessment system that meets the requirements of Title I and that measure student progress in meeting content and performance standards at specific grade levels. In addition to the State developed assessment procedures, some States and LEAs also use standardized achievement tests, criterion-reference tests, and multiple assessment tools to determine student progress. Any of these assessment tools may yield results in a format different than Advanced, Proficient or Partially Proficient. In those instances, the LEA may determine which scores would fall into the three performance levels.*

**For example**, using norm referenced tests, students scoring less than the 50<sup>th</sup> percentile could be considered as Partially Proficient, those scoring in the 50<sup>th</sup> to 75<sup>th</sup> percentiles could be considered Proficient, and those scoring above the 75<sup>th</sup> percentile could be considered Advanced. If your LEA or State uses other percentile ranges to determine the three levels of performance, you should use those that are locally specified.

***Using the descriptions for State or local assessments or other available assessment data, determine how many of the LEA's Indian students are performing at the Advanced, Proficient and Partially Proficient levels in the core subject areas and grade levels.***

Note: All applicants are to report data in the content areas of math and reading (or language arts), at a minimum.

***Complete the columns indicating Indian student performance levels for applicable grade levels and core subject areas.***

*Note: Report only on those core content areas and grade levels that are assessed within the LEA using the State (or local) assessment procedures for student content and performance standards, as well as any other assessment procedures that are used in addition to the State required assessments.*

Specific instructions for completion are located on the back of the form.

### **Behavioral Student Needs**

The applicant should utilize all available sources of data, including data from other programs, to complete the summary pages for behavioral student needs. *Complete all rows for grades that are applicable to the LEA and for which data are available from last school year.*

**At a minimum, applicants are to provide data for the following areas, even if an objective is not planned for the project:**

- **Attendance Data (all applicants)**
- **Drop-out Data (only applicants with secondary schools)**

Specific instructions for completion are located on the back of the form.

**Detailed examples for completion of the forms are on the following pages:**



**EXAMPLE** for an Elementary School District, grades K-5

**STUDENT DATA AND OBJECTIVES**

Content Area: Reading

----- **STEP 2** -----

**(Reminder: Data will be from last School Year)**

Specify Grades	# Ind. Stud. Tested	Proficiency Level %'s Of Indian Students			Data Source	Project Objective for Grade?		Estimated # IS Targeted for Services	Mid-Year Increase Anticipated	Mid-Year Measure For Progress	End of Yr. Increase Anticipated <i>(including summer school)</i>	Measure for End of Yr. Progress <i>(including summer school)</i>
		A	P	N		Yes	No					
<b>K</b>	0											
<b>1</b>	0											
<b>2</b>	54	2%	66%	32%	<b>SAT9</b>							
<b>3</b>	76	3%	67%	30%	<b>SAT9</b>							
<b>4</b>	67	1%	66%	33%	<b>ITBS</b>							
<b>5</b>	92	1%	24%	75%	<b>AIMS</b>							
Service & Frequency for Objectives Shown		No. Staff		Staff Title		Cost Basis		Activities			Cost Basis	

**NOTE: The types of assessments shown in the example may be different than the assessment procedures used within your State or LEA. Applicants are to identify the assessment(s) used at the LEA for the grade level(s) tested and report the proficiency levels of Indian students as they are established with your State.**

# COMPREHENSIVE PLAN SUMMARY

## Indian Student Needs Addressed by LEA Programs

**INSTRUCTIONS:** Indicate with a check (✓) which of the LEA's programs is addressing the needs of the Indian students in the content/topic areas shown. *Complete the two questions below the table identifying with a check (✓) to indicate which need area(s) will be targeted by the project.*

School Type: ELEMENTARY  MIDDLE SCHOOL \_\_\_\_\_ HIGH SCHOOL \_\_\_\_\_

PROGRAMS:	Reading	Math	LA/ Writing	Science	Soc. Stud./ History	Attend.	Drop Out	Disruptive Behavior	Violent Behav.	Drugs/ Sub. Abuse	Other
Regular/Basic Program	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	
Title I School Wide	✓	✓	✓	✓							
Title I Targeted Services											
Reading First (K-3)	✓										
Teacher Quality Program											
Safe & Drug Free Schools Program								✓	✓	✓	
Migrant Education Program							✓				
Johnson-O'Malley						✓					
Bilingual Education											
Special Education Program											
21 <sup>st</sup> Century		✓		✓							
Other State Program											
Gifted/Talented Program											
Other/Specify:											

----- **STEP 3** -----

Check (✓):

Are additional services needed to address any content/topic area?  Yes  No

Which area(s): Reading

Will the project target this need with objectives and services?  Yes  No

**EXAMPLE** for an Elementary School District, grades K-5

**STUDENT DATA AND OBJECTIVES**

Content Area: Reading

----- STEP 4 -----

If an Objective is checked Yes, complete all remaining columns for that grade.  
If all Objectives are checked No, go to next content/topic area.

(Grades to be targeted next school year)

(Reminder: Student population to be served next school year will be two grades ahead of test data being shown; estimate number to be served accordingly)

Specify Grade(s)	# IS Tested	Proficiency Level %'s of Indian Students			Data Source	Project Objective for Grade?		Estimated # IS Targeted for Services	Mid-Year Increase Anticipated	Mid-Year Measure For Progress	End of Yr. Increase Anticipated (including summer school)	Measure of End of Yr Progress (including summer school)
		A	P	N		Yes	No					
K	0											
1	0											
2	54	2%	66%	32%	SAT9		No					
3	76	3%	67%	30%	SAT9		No					
4	67	1%	66%	33%	ITBS	Yes		17 (32% of 54 in 2 <sup>nd</sup> grade)	50% letter grade increase; 5% increase on State practice tests	Student grades in Reading; State practice tests	One letter grade; 10 percentiles in scores; 30% increase in pre/post scores for summer school	Student grades; SAT9; pre test & end skill tests summer school
5	92	1%	24%	75%	AIMS	Yes		23 (30% of 76 3 <sup>rd</sup> grade)	12.5% increase in scale scores; 50% letter grade increase	State practice tests; student grades in reading	25% increase in scale scores; 30% increase in pre/post scores for summer school; One letter grade.	AIMS; student grades; pre test & end skill tests summer school
Service & Frequency for Objectives Shown		No. Staff			Staff Title			Cost Basis	Activities			Cost Ba

See General Guidance for examples on how to identify student outcomes expected by mid-year and year-end based on the type of assessments used.

EXAMPLE for an Elementary School District, grades K-5

STUDENT DATA AND OBJECTIVES

Content Area: Reading

Specify Grade(s)	# IS Tested	Proficiency Level %'s of Indian Students			Data Source	Project Objective for Grade?		# IS Targeted for Services	Mid-Year Increase Anticipated	Mid-Year Measure For Progress	End of Yr. Increase Anticipated (including summer school)	Measure for End of Yr. Progress (including summer school)
		A	P	N		Yes	No					
K	0											
1	0											
2	54	2%	66%	32%	SAT9		No					
3	76	3%	67%	30%	SAT9		No					
4	67	1%	66%	33%	ITBS	Yes	17 (32% of 54 in 2 <sup>nd</sup> grade)	50% letter grade increase; 5% increase on State practice tests	Student grades in Reading; State practice tests	One letter grade; 10 percentiles in scores; 30% increase in pre/post scores for summer school	Student grade SAT9; pre- to end of skill test for summer school	
5	92	1%	24%	75%	AIMS	Yes	23 (30% of 76 3 <sup>rd</sup> grade)	12.5% increase in scale scores; 50% letter grade increase	State practice tests; student grades in reading	25% increase in scale scores; 30% increase in pre/post scores for summer school; One letter grade.	AIMS; student grades; pre- to end of skill test for summer school	
<b>Service &amp; Frequency for Objectives Shown</b>		<b>No. Staff</b>			<b>Staff Title</b>			<b>Cost Basis</b>	<b>Activities</b>			<b>Cost Basis</b>
Provide homework assistance grades 4-5; 3 hrs. daily after school		4			Homework assistance aids (paraprofessionals)			4 @ \$12 per hour	Provide skill level appropriate computer assisted instruction; individual and/or small group assistance to students; provide materials and resources to parents on helping with homework.			\$2,250 CAI Software; \$1 Resource materials for parents
Summer program w/ reading specialists for incoming 4-5 grades; 3 weeks		6			2 Reading Specialists and 4 Teacher assistants			2 @ \$4,500 4 @ \$3,000	3 week _ day summer reading program, _ day learning activities to incorporate journal, creative writing, storytelling and art on experiences to local museums, historical sites, etc.			\$2,000 reading instructional materials; \$1,500 student lunches & snacks; \$1,200 transportation

[ STEP 5 ]

## **PROFESSIONAL DEVELOPMENT**

The purpose of this form is to describe the professional development opportunities that will be provided by the LEA to ensure that –

- teachers and other school professionals who are new to the Indian community are prepared to work with Indian children, and
- all teachers who will be involved with the programs have been properly trained to carry out the program.

## **WAIVER ON USE OF FUNDS**

The funds available under this program have a 5% cap on the use of funds for administrative costs unless a waiver of the requirement is approved. The waiver may be approved if the applicant can demonstrate that implementation of the requirement will be detrimental to the operation of the program.

If a waiver is requested, applicants are required to:

2. submit copies of the waiver request to their State Department of Education and provide copies of any comments received; and
3. provide notice to the public that a waiver is being requested.

In addition to the information on the LEA such as name, address, and dated signature, two statements must be provided. These statements are to be completed in full sentences and provide information on how this waiver will –

- Increase the quality of instruction for students, and
- Improve the academic achievement of students.

The duration of the approved waiver is for a period of four years. An extension of one year may be requested to complete the approved project period.

### **PART 3 – FORMS FOR NEW APPLICATIONS**

In addition to the forms identified in Part 2, the following are required for new applications:

- Comprehensive Plan Summary –
  - Student Needs Addressed by LEA Programs
  - Student Data and Objectives
  - Professional Development
  
- Waiver Requests (if a waiver is requested)

**Submit applications by the closing date to:**

**U.S. Department of Education  
Office of Indian Education  
Attention: CFDA #84.060  
400 Maryland Ave., SW, Room 3W111  
Washington, DC 20202-6335**

## COMPREHENSIVE PLAN SUMMARY

### STUDENT NEEDS ADDRESSED BY LEA PROGRAMS

**INSTRUCTIONS:** Indicate with a check (✓) which of the LEA's programs is addressing the needs of the Indian students in the content/topic areas shown. *Complete the two questions below the table identifying with a check (✓) to indicate which need area(s) will be targeted by the project.*

Complete a separate sheet for each type of school checked.

School Type: ELEMENTARY \_\_\_\_\_ MIDDLE SCHOOL \_\_\_\_\_ HIGH SCHOOL \_\_\_\_\_

PROGRAMS:	Reading	Math	LA/ Writing	Science	Soc. Stud./ History	Attend.	Drop Out	Disruptive Behavior	Violent Behav.	Drugs/ Sub. Abuse	Other
Regular/Basic Program											
Title I School Wide											
Title I Targeted Services											
Reading First (K-3)											
Teacher Quality Program											
Safe & Drug Free Schools Program											
Migrant Education Program											
Johnson-O'Malley											
Bilingual Education											
Special Education Program											
21 <sup>st</sup> Century											
Other State Program											
Gifted/Talented Program											
Other/Specify:											

Check (✓):

Are additional services needed to address any content/topic area? \_\_\_\_\_ Yes \_\_\_\_\_ No  
Which area(s): \_\_\_\_\_

Will the project target this need with objectives and services? \_\_\_\_\_ Yes \_\_\_\_\_ No

**Form Completion Instructions:**

*STUDENT NEEDS ADDRESSED BY LEA PROGRAMS*

- Identify the areas (e.g., reading, math, attendance, native language, etc.) that are addressed by the various programs operated and administered by the LEA.
- Based on the assessment data you show for each of these areas on the student data and objectives page, complete the two questions at the bottom to indicate if additional services are needed to meet the needs of Indian students in any of these areas.
- School readiness or similar areas for Pre-Kindergarten students may be specified under “Other” if desired.

**STUDENT DATA AND OBJECTIVES (ACADEMIC)**

(1) SPECIFY CONTENT AREA: \_\_\_\_\_

Specify State Standard:

(2) Specify Grade(s)	(3) # IS Tested	(4) Proficiency Level %’s of Indian Students			(5) Data Source	(6) Project Objective for Grade?		(7) # IS Targeted for Services	(8) Mid-Year Increase Anticipated	(9) Mid-Year Measure For Progress	(10) End of Yr. Increase Anticipated (including summer school)	(11) Measure for End of Yr. Progress (including summ school)
		A	P	N		Yes	No					
(12) Service & Frequency for Objectives Shown		(13) No. Staff			(14) Staff Title			(15) Cost Basis	(16) Activities			(17) Cost Basis

Form Completion Instructions:

*STUDENT DATA AND OBJECTIVES (ACADEMIC)*

Use a separate sheet for content/topic area objective; make additional copies as needed.

NOTE: DATA ON STUDENT PERFORMANCE IN READING (OR LANGUAGE ARTS) AND MATH MUST BE PROVIDED FOR THE GRADES REQUIRING ASSESSMENTS FOR YOUR STATE'S STANDARDS EVEN IF AN OBJECTIVE FOR THESE CONTENT AREAS IS NOT PLANNED.

***For each grade and core subject area tested according to State and local assessment requirements, complete the rows that are applicable to the LEA for last school year. The instructions correspond with the column numbers.***

1. Specify the content area and the corresponding State Standard.
2. Specify the grade(s) or grade level(s) for the data being reported.
3. Identify in the "# IS Tested" column, the total number of Indian students who were tested at each grade level in the subject area within your LEA.
4. Using available data, determine the current academic performance levels of the LEA's Indian students according to the descriptions for "A", "P", and "N" as shown below. Indicate, in the appropriate columns, the percentage of Indian students that are performing at each level for the content/topic area listed.  
  
A = Advanced      P = Proficient      N = Partially Proficient
5. Identify in the "Data Source" column, the name or acronym of the assessment tool(s) used to determine student levels of academic performance. Examples of State Assessment Tools: SAT9, ITBS, CAT, AIMS, PASS
6. Check the appropriate (Yes or No) column, by grade level, if the project will have an objective for this content/topic area. If NO is checked for each grade level, do not complete the remainder of the page for this subject area.
7. Identify the estimated number of Indian students that will be targeted for service in this content/topic area.
8. Identify the level of increase that is to be achieved by mid-year by the students being targeted.
9. Identify the measure(s) that will be used to determine the level of progress being made by mid-year.
10. Identify the level of increase that is to be achieved by the end of the year by the students being targeted (including any summer school sessions planned).
11. Identify the measure(s) that will be used to determine the level of progress being made by the end of year (including summer school).
12. List the services that will be provided to address this student need and the frequency of the service.
13. Identify the number of staff to provide the services.
14. Identify the type of staff (by title or position) who will be providing the services.
15. Identify the basis of the cost of the staff listed.
16. List the activities that will be provided to support this objective.
17. Identify the cost basis of the activities listed.

(A "cost basis" breaks out or identifies how you arrived at the total amount of the projected expenditure.)

**STUDENT DATA AND OBJECTIVES (ATTENDANCE)**

**(1) Specify State or local requirements:**

(a)	(b)	(2)		(e)	(3)	(4)	(5)	(6)
GRADES (specify grade or grade level(s))	Total # All Students Attending (ADA)	% of # IS Attending	% of IS not meeting District Require-ments	Data Source	# IS Targeted by Objective	Mid-Year Improvement Expected	End of Yr. Improvement Expected	Data to be used to be used to measure student improvement
(7) Service and Frequency for Objective Shown	(8) No. & Title of Staff	(9) Personnel Cost Basis		(10) Activities	(11) Cost Basis for Activities	(12) Total Cost of Activities		

**(13) If data for this page are not disaggregated for the Indian student population, LEA total numbers of incidences for the last school year may be used.**

\_\_\_\_\_ Check (✓) if LEA total numbers are used for this page.

## Form Completion Instructions:

### *STUDENT DATA AND OBJECTIVES (ATTENDANCE)*

NOTE: ATTENDANCE DATA ARE REQUIRED FROM ALL APPLICANTS EVEN IF THE PROJECT DOES NOT HAVE AN ATTENDANCE OBJECTIVE.

1. Specify the State or local requirements for Attendance.
2. Identify in the appropriate columns:
  - (a) The grades or grade levels being reported.
  - (b) The Average Daily Attendance or Membership (ADA) of all students for last school year by grade.
  - (c) The percentage of Indian students who attended.
  - (d) The percentage of Indian students not meeting the State or local requirement due to truancy, etc.
  - (e) Identify the "Data Source" used. For example: School records or school data for State reporting.
3. If the project will develop an objective for this area, identify the number of Indian students that will be targeted for services. If an objective is not planned, go to the next form.
4. Identify the level of improvement that is to be achieved by mid-year by the students being targeted.
5. Identify the level of improvement that is to be achieved by the end of the year by the students being targeted.
6. Identify the measure(s) that will be used to determine the level of progress showing student improvement.
7. List the services that will be provided to address this student need and the frequency of the service.
8. Identify the number and type of staff to provide the services.
9. Identify the cost basis of the staff providing services.
10. List the activities that will be provided to support this objective.
11. Identify the cost basis for the activities listed.
12. Identify the total cost of the activities listed.
13. If your school data does not disaggregate data for the Indian student population, check if LEA total numbers are being used.

(A "cost basis" breaks out or identifies how you arrived at the total amount of the projected expenditure.)

**STUDENT DATA AND OBJECTIVES (DROP OUT)**

(1) Specify State or local requirements:

(a)		(b)	(2) (c)	(d)	(3) # IS Targeted by Objective	(4) Mid-Year Improvement Expected	(5) End of Yr. Improvement	(6) Measures to be used
High School Grades	Total # All Students Dropped Out	% of # IS Dropped Out	Data Source					
9	9-12							
10								
11								
12								
(7) Service and Frequency for Objective Shown		(8) No. and Title Of Staff Staff	(9) Cost Basis	(10) Activities			(11) Cost Basis	

(12) If data for this page are not disaggregated for the Indian student population, LEA totals (Indian and non Indian students) for the last school year may be used.

\_\_\_\_\_ Check (✓) if LEA total numbers are used for this page.

## **Form Completion Instructions:**

### *STUDENT DATA AND OBJECTIVES (DROP OUT)*

***NOTE: DROP-OUT DATA ARE REQUIRED FROM ALL APPLICANTS WITH SECONDARY GRADES EVEN IF THE PROJECT DOES NOT HAVE AN OBJECTIVE TO REDUCE THE DROP-OUT RATE.***

1. Identify the State or local requirements.
2. Identify in the appropriate columns:
  - (a) The data reported will be for grades 9-12 only. If these grades are not applicable, do not complete this page.
  - (b) Identify the total number of all students who dropped out last school year by grade.
  - (c) Using available data from last school year, identify the percentage of Indian students who dropped out.
  - (d) Identify the data source(s) used. For example: School records or school data for state reporting.
3. If the project will develop an objective for this area, identify the number of Indian students that will be targeted for services. If an objectives for this area is not planned, go to the next form.
4. Identify the level of improvement that is to be achieved by mid-year by the students being targeted.
5. Identify the level of improvement that is to be achieved by the end of the year by the students being targeted.
6. Identify the measure(s) that will be used to determine the level of student progress.
7. List the services that will be provided to address this student need and the frequency of the service.
8. Identify the number and type of staff that will provide the services.
9. Identify the cost basis of staff that will be charged to the program.
10. List the activities that will be provided to support this objective.
11. Identify the cost basis and total cost of the activities listed.
12. If your school data does not disaggregate data for the Indian student population, check if LEA total numbers are being used.

(A “cost basis” breaks out or identifies how you arrived at the total amount of the projected expenditure.)

**STUDENT DATA AND OBJECTIVES (BEHAVIORAL AREAS)**

(1) SPECIFY BEHAVIORAL AREA TARGETED:

---

Specify State or local requirements:

(2) Specify grade or grade level(s)	(3)					(4) # IS Targeted by Objective	(5) Mid-Year Improvement Expected	(6) End of Yr. Improvement	(7) Measures to be used
	(a) Total Offenses/ Suspension	(b) # IS	(c) Total Offenses/ Expulsion	(d) # IS	(e) Data Source				
(8) Service and Frequency for Objective Shown			(9) No. and Title of Staff		(10) Cost Basis	(11) Activities			(12) Cost Basis

(13)

**Note: If data for this page are not disaggregated for the Indian student population, LEA total numbers of incidences for the last school year may be used.**

\_\_\_\_\_ Check (✓) if LEA total numbers are used for this page.

## **Form Completion Instructions:**

### *STUDENT DATA AND OBJECTIVES (BEHAVIORAL AREAS)*

PLEASE USE A SEPARATE PAGE FOR EACH BEHAVIORAL AREA WITH AN OBJECTIVE. If an objective is not planned for a behavioral area, skip this form.

1. Identify the type of behavioral area being targeted. For example: **Drug Use, Disruptive Behavior, or Violent Behavior.** For the area listed, specify the State or local requirement.
2. Specify the grade level(s) being targeted.
3. In the appropriate columns, using available data from last school year, identify:
  - (a) The total number of offenses resulting in suspension for this behavior last school year by grade.
  - (b) The number of Indian students who committed these offenses resulting in suspension (note: duplicates may exist).
  - (c) The total number of offenses resulting in expulsion last school year, by grade.
  - (d) The number of Indian students who committed offenses resulting in expulsion (note: duplicates may exist).
  - (e) The data source(s) used. For example: School records or school data for state reporting.
4. Identify the number of Indian students that will be targeted by this objective
5. Identify the level of improvement that is to be achieved by mid-year by the students being targeted.
6. Identify the level of improvement that is to be achieved by the end of the year by the students being targeted.
7. Identify the measure(s) that will be used to determine the level of progress being made.
8. List the services that will be provided to address this student need and the frequency of the service.
9. Identify the number and type of staff that will provide the services.
10. Identify the cost basis of those staff that will be charged to the program.
11. List the activities that will be provided to support this objective.
12. Identify the cost basis for the activities listed.
13. If your school data does not disaggregate data for the Indian student population, check if LEA total numbers are being used.

(A "cost basis" breaks out or identifies how you arrived at the total amount of the projected expenditure.)

**PROFESSIONAL DEVELOPMENT**

Complete the table showing Professional Development activities that are planned:

(1) Staff	(2) Area of Professional Development to be Provided	(3) Timeframe/Frequency of Activity	(4) Source of Professional Development Activity	(5) Objective that training is related to
<i>Example -- Elementary Teachers (15)</i>	<i>Teaching reading in all subjects</i>	<i>2 One day sessions in Sept. and Jan.</i>	<i>Reading Consultants</i>	<i>Reading</i>
<b>Professional Staff (identify title and numbers of staff):</b>				
<b>Paraprofessional Staff (identify):</b>				
<b>School Administrators (identify title and number):</b>				
<b>Other Staff (identify by title and number of staff):</b>				

Duplicate and add additional pages as needed.

**Form Completion Instructions:**

*PROFESSIONAL DEVELOPMENT*

1. Identify the various LEA staff that may be involved in professional development activities according to the categories of positions indicated.
2. Identify the area(s) of professional development that will be provided to each group or category of employee.
3. List the timeframe and the frequency of the planned activities.
4. Specify who will provide the specific professional development activities listed for staff.
5. Identify the student objective that the training is supporting or relating to.

Examples of professional development activities are provided on the form.

**WAIVER REQUEST**

To be submitted with the Indian Education Formula Grant Application  
if a Waiver is requested.

U.S. Department of Education  
Office of Indian Education  
400 Maryland Ave., SW  
Washington, DC 20202

To the Director, Office of Indian Education:

Under the authority of Section 9401, a waiver is requested of the following statutory requirement(s):

Administrative cap of 5% on grant funds under the Indian Education Formula Grant Program to Local Educational Agencies (section 7115(d)).

This waiver is requested by:

---

Local Educational Agency (LEA) or School Name

---

Mailing Address

---

City/State/Zip

The waiving of this requirement will:

(1) Increase the quality of instruction for students by:

(2) Improve the academic achievement of students as follows:

The methods for measuring and evaluating the educational goals of the program are described within the accompanying application for the Indian Education Formula Grant Program. Approval of this waiver will not affect the population to be served by this application. The students to be served are those students certified as Indian according to the Indian Student Eligibility Form (ED 506 form) and for whom the services of this project are targeted according to the project's objectives.

The applicant will comply with the following requirements:

- Submit a copy of this waiver request to the State educational agency (SEA) (note: this does not apply to schools funded by the Bureau of Indian Affairs or Tribes applying in lieu of an LEA);
- Submit any comments received from the SEA on this waiver request to the U.S. Department of Education; and
- Provide notice and information regarding the waiver request to the public.

The duration of this waiver will be for a maximum period of four years. An extension of one year may be requested, if needed, to complete the project period of the application approved by the U.S. Department of Education.

Waiver Requested By:

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date

## **PART 4 – INSTRUCTIONS FOR CONTINUATION APPLICATIONS**

In addition to the standard forms identified in Part 2, the following are required for continuation applications:

- Substantial Progress Summary
- Revised Needs and Objectives (required only if changes are proposed)
- Indian Student Assessments

### **SUBSTANTIAL PROGRESS SUMMARY**

- This form is required for all Continuation Applications. Continuation applications will not be approved if this information is not submitted.
- The purpose of this form is to document the substantial progress of the project in meeting each objective of the current application.

#### **NOTE:**

As applications must be submitted before the end of the school year, final information on student progress in meeting the objectives of the project will not be available at the time your new application is submitted. However, interim assessments of student progress are to be planned and conducted throughout the school year. The objective form in your initial application required applicants to identify the level of progress students are to achieve by mid-year. The results of that mid-year progress are to be reported as your project's substantial progress. The final data on progress made during the year will be reported on your Annual Performance Report. For examples of how to determine mid-year progress, see the General Guidance provided in Part 1 of these instructions.

### **STUDENT DATA AND AND REVISED OBJECTIVES**

The purpose of the form is to identify any changes that are being proposed for the project. This form is needed only if there are changes proposed to the objectives or services of your last approved application.

- ***If NO changes are planned, DO NOT SUBMIT.***
- ***Complete only those pages that apply to any changes being made; if there are no changes, DO NOT SUBMIT.***
- ***If objectives of the project will be changed for next school year, complete only the pages for the areas and grades that are applicable to the LEA for last school year that are being changed.***

## **INDIAN STUDENT ASSESSMENTS**

The purpose of this form is to meet the legislative requirement for LEAs to periodically assess the progress of all Indian students – this applies to **ALL** Indians enrolled in the LEAs schools, not just those being served by the project. The information on the periodic assessment is to be shared annually with the Parent Committee and community.

If the applicant is not required to have a Parent Committee (for example, Tribes that apply in lieu of a LEA or a school funded by the BIA), then the remaining requirement for sharing the information with the community still applies.

## **PART 4 – FORMS FOR CONTINUATION APPLICATIONS**

In addition to the standard forms identified in Part 2, these are forms required for a continuation application:

- Substantial Progress
- Revised Student Objectives (Submit only if changes are needed)
- Indian Student Assessments
- Waiver Use Report (Submit only if a waiver was requested and approved)

**Submit applications by the closing date to:**

**U.S. Department of Education  
Office of Indian Education  
Attention: CFDA #84.060  
400 Maryland Ave., SW, Room 3W111  
Washington, DC 20202-6335**

**SUBSTANTIAL PROGRESS**

**Instructions** -- Complete the table for each current objective of the project indicating the progress achieved to date.

(1) Content/Topic Area: \_\_\_\_\_

Grade(s) Targeted: \_\_\_\_\_

(2) Beginning Performance Levels of Indian Students Targeted	(3) % of Indian Students at Levels Targeted	(4) Level of Improvement to be Achieved by Mid-Year	(5) Measure(s) to be used for Mid-Year Evaluation	(6) Est. # of IS to be Served	(7) Actual # of Indian Students Served	(8) Actual Level of Improvement Made by Mid- Year Evaluation & No. Achieving	(9) Proposed changes to be made if Substantial Progress has not been met

**PROGRESS MUST BE REPORTED FOR EACH OBJECTIVE OF THE PROJECT.**

## **Form Completion Instructions:**

### *SUBSTANTIAL PROGRESS*

Add additional pages as needed. The instruction number corresponds to the column number.

1. Identify the Content or Topic Area and the grade level(s) targeted by the objective. (Submit a separate page for each objective in an academic content area, behavioral area, or cultural content area.)
2. Identify the beginning performance levels for these students.
3. Identify the percentage of Indian students being targeted for services under this objective.
4. List the targeted level of increase or improvement that you projected these students to achieve by mid-year for this objective.

Note: As a reminder, the mid-year level of achievement is the project's benchmark for determining whether students are making substantial progress in meeting the objective.

5. Identify how the achievement was assessed at each grade level served.
6. Identify the number of Indian students originally estimated to be served under this objective.
7. Provide the actual number of Indian students served under this objective.
8. Specify the actual level of progress achieved to date and the actual number of students achieving that level.
9. Specify the changes to be made, if any, to the project objectives based on the results achieved. (Note: changes are required if substantial progress is not being made.)

**STUDENT DATA AND REVISED OBJECTIVES (ACADEMIC AREAS)**

(1) SPECIFY CONTENT AREA: \_\_\_\_\_

Specify State Standard:

(2) Specify Grade(s)	(3) # IS Tested	(4) Proficiency Level %'s of Indian Students			(5) Data Source	(6) # IS Targeted for Services	(7) Mid-Year Increase Anticipated	(8) Mid-Year Measure For Progress	(9) End of Yr. Increase Anticipated (including summer school)	(10) Measure of End of Yr. Progress (including summer school)
		A	P	N						
(11) Service & Frequency for Objectives Shown		(12) No. Staff			(13) Staff Title		(14) Cost Basis	(15) Activities		(16) Cost Basis

## **Form Completion Instructions:**

### *STUDENT DATA AND REVISED OBJECTIVES (ACADEMIC AREAS)*

***Submit only if revisions are being made to the project's objectives.***

Use a separate sheet for each content/topic area objective; make additional copies as needed.

***For each grade and core subject area tested according to State and local assessment requirements, complete the rows that are applicable to the LEA for last school year. The instructions correspond with the column numbers.***

1. Specify the content area and the corresponding State Standard.
2. Specify the grade(s) or grade level(s) for the data being reported.
3. Identify in the “# IS Tested” column, the total number of Indian students who were tested at each grade level in the subject area within your LEA.
4. Using available data, determine the current academic performance levels of the LEA’s Indian students according to the descriptions for “A”, “P”, and “N” as shown below. Indicate, in the appropriate columns, the percentage of Indian students that are performing at each level for the content/topic area listed.

**A** = Advanced      **P** = Proficient      **N** = Partially Proficient

5. Identify in the “Data Source” column, the name or acronym of the assessment tool(s) used to determine student levels of academic performance. Examples of State Assessment Tools: SAT9, ITBS, CAT, AIMS, PASS
6. Identify the estimated number of Indian students that will be targeted for service in this content/topic area.
7. Identify the level of increase that is to be achieved by mid-year by the students being targeted.
8. Identify the measure(s) that will be used to determine the level of progress being made by mid-year.
9. Identify the level of increase that is to be achieved by the end of the year by the students being targeted (including any summer school sessions planned).
10. Identify the measure(s) that will be used to determine the level of progress being made by the end of year (including summer school).
11. List the services that will be provided to address this student need and the frequency of the service.
12. Identify the number of staff to provide the services.
13. Identify the type of staff (by title or position) who will be providing the services.
14. Identify the basis of the cost of the staff listed.
15. List the activities that will be provided to support this objective.
16. Identify the cost basis of the activities listed.

(A “cost basis” breaks out or identifies how you arrived at the total amount of the projected expenditure.)

**STUDENT DATA AND REVISED OBJECTIVES (ATTENDANCE)**

**(1) Specify State or local requirements:**

(a)	(b)	(2)		(e)	(3)	(4)	(5)	(6)
GRADES (specify grade or grade level(s))	Total # All Students Attending (ADA)	% of # IS Attending	% of IS not meeting District Require-ments	Data Source	# IS Targeted by Objective	Mid-Year Improvement Expected	End of Yr. Improvement Expected	Data to be used to be used to measure student improvement
(7) Service and Frequency for Objective Shown	(8) No. & Title of Staff	(9) Personnel Cost Basis		(10) Activities	(11) Cost Basis for Activities	(12) Total Cost of Activities		

**(13) If data for this page are not disaggregated for the Indian student population, LEA total numbers of incidences for the last school year may be used.**

\_\_\_\_\_ Check (✓) if LEA total numbers are used for this page.

## **Form Completion Instructions:**

### *STUDENT DATA AND REVISED OBJECTIVES (ATTENDANCE)*

***Submit only if revisions are being made to the project's objectives.***

1. Specify the State or local requirements for Attendance.
2. Identify in the appropriate columns:
  - (a) The grades or grade levels being reported.
  - (b) The Average Daily Attendance or Membership (ADA) of **all** students for last school year by grade.
  - (c) The percentage of Indian students who attended.
  - (d) The percentage of Indian students not meeting the State or local requirement due to truancy, etc.
  - (e) Identify the "Data Source" used. For example: School records or school data for State reporting.
3. Identify the number of Indian students to be targeted for services.
4. Identify the level of improvement that is to be achieved by mid-year by the students being targeted.
5. Identify the level of improvement that is to be achieved by the end of the year by the students being targeted.
6. Identify the measure(s) that will be used to determine the level of progress showing student improvement.
7. List the services that will be provided to address this student need and the frequency of the service.
8. Identify the number and type of staff to provide the services.
9. Identify the cost basis of the staff providing services.
10. List the activities that will be provided to support this objective.
11. Identify the cost basis for the activities listed.
12. Identify the total cost of the activities listed.
13. If your school data does not disaggregate data for the Indian student population, check if LEA total numbers are being used.

(A "cost basis" breaks out or identifies how you arrived at the total amount of the projected expenditure.)

**STUDENT DATA AND REVISED OBJECTIVES (DROP OUT)**

**(1) Specify State or local requirements:**

(a)		(b)	(2) (c)	(d)	(3) # IS Targeted by Objective	(4) Mid-Year Improvement Expected	(5) End of Yr. Improvement	(6) Measures to be used
High School Grades	Total # All Students Dropped Out	% of # IS Dropped Out	Data Source					
9	9-12							
10								
11								
12								
(7) Service and Frequency for Objective Shown		(8) No. and Title Of Staff Staff	(9) Cost Basis	(10) Activities			(11) Cost Basis	

**(12) If data for this page are not disaggregated for the Indian student population, LEA totals (Indian and non Indian students) for the last school year may be used.**

\_\_\_\_\_ Check (✓) if LEA total numbers are used for this page.

## **Form Completion Instructions:**

### *STUDENT DATA AND REVISED OBJECTIVES (DROP OUT)*

*Submit only if revisions are being made to the project's objectives.*

1. Identify the State or local requirements.
2. Identify in the appropriate columns:
  - (a) The data reported will be for grades 9-12 only. If these grades are not applicable, do not complete this page.
  - (b) Identify total number of all students who dropped out last school year either by grade.
  - (c) Using available data from last school year, identify the percentage of Indian students who dropped out.
  - (d) Identify the data source(s) used. For example: School records or school data for state reporting.
3. Identify the number of Indian students that will be targeted for services.
4. Identify the level of improvement that is to be achieved by mid-year by the students being targeted.
5. Identify the level of improvement that is to be achieved by the end of the year by the students being targeted.
6. Identify the measure(s) that will be used to determine the level of student progress.
7. List the services that will be provided to address this student need and the frequency of the service.
8. Identify the number and type of staff that will provide the services.
9. Identify the cost basis of staff that will be charged to the program.
10. List the activities that will be provided to support this objective.
11. Identify the cost basis and total cost of the activities listed.
12. If your school data does not disaggregate data for the Indian student population, check if LEA total numbers are being used.

(A "cost basis" breaks out or identifies how you arrived at the total amount of the projected expenditure.)

**STUDENT DATA AND REVISED OBJECTIVES (BEHAVIORAL AREAS)**

(1) SPECIFY BEHAVIORAL AREA TARGETED:

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Specify State or local requirements:

(2) Specify grade or grade level(s)	(3)					(4) # IS Targeted by Objective	(5) Mid-Year Improvement Expected	(6) End of Yr. Improvement	(7) Measures to be used
	(a) Total Offenses/ Suspension	(b) # IS	(c) Total Offenses/ Expulsion	(d) # IS	(e) Data Source				
(8) Service and Frequency for Objective Shown		(9) No. and Title of Staff		(10) Cost Basis		(11) Activities			(12) Cost Basis

(13)

**Note: If data for this page are not disaggregated for the Indian student population, LEA total numbers of incidences for the last school year may be used.**

\_\_\_\_\_ Check (✓) if LEA total numbers are used for this page.

## **Form Completion Instructions:**

### *STUDENT DATA AND REVISED OBJECTIVES (BEHAVIORAL AREAS)*

PLEASE USE A SEPARATE PAGE FOR EACH BEHAVIORAL AREA WITH AN OBJECTIVE.

1. Identify the type of behavioral area being targeted. For example: **Drug Use, Disruptive Behavior, or Violent Behavior**. For the area listed, specify the State or local requirement.
2. Specify the grade level(s) being targeted.
3. In the appropriate columns, using available data from last school year, identify:
  - (a) The total number of offenses resulting in suspension for this behavior last school year by grade.
  - (b) The number of Indian students who committed these offenses resulting in suspension (note: duplicates may exist).
  - (c) The total number of offenses resulting in expulsion last school year, either by grade.
  - (d) The number of Indian students who committed offenses resulting in expulsion (note: duplicates may exist).
  - (e) The data source(s) used. For example: School records or school data for state reporting.
4. Identify the number of Indian students that will be targeted by this objective.
5. Identify the level of improvement that is to be achieved by mid-year by the students being targeted.
6. Identify the level of improvement that is to be achieved by the end of the year by the students being targeted.
7. Identify the measure(s) that will be used to determine the level of progress being made.
8. List the services that will be provided to address this student need and the frequency of the service.
9. Identify the number and type of staff that will provide the services.
10. Identify the cost basis of those staff that will be charged to the program.
11. List the activities that will be provided to support this objective.
12. Identify the cost basis for the activities listed.
13. If your school data does not disaggregate data for the Indian student population, check if LEA total numbers are being used.

(A "cost basis" breaks out or identifies how you arrived at the total amount of the projected expenditure.)

**INDIAN STUDENT ASSESSMENTS**

***Instructions*** -- Identify how the LEA has periodically assessed the progress of all Indian children enrolled in the schools of the LEA (including Indian children who do not participate in the activities funded under this program), shared the results with the Indian community and Parent Committee, and how the LEA is responding to results of previous assessments.

***Note:*** Applicants not required to have a Parent Committee (for example, Tribes that apply in lieu of a LEA or a school funded by the BIA) must still meet the requirement for sharing the assessment data with the community.

(1) Assessment Procedure(s) Used	(2) Timeframe of Last Assessment(s) Conducted	(3) Method of Dissemination to Indian Community and Parent Committee	(4) How is LEA responding to findings of previous assessment(s)?
<i>Example:</i> State assessments for grades 5, 8 and 11	Spring 2004	Parent Committee Meeting in September 2003; Public Hearing for Title VII Application conducted in March 2004.	Modification to current objectives and service delivery; Improved coordination with other programs on skill levels to be targeted.

## **Form Completion Instructions:**

### *STUDENT ASSESSMENTS*

1. Identify the assessment procedure(s) used and the grade levels. (The assessment procedures that are used to assess the academic achievement of all students according to State or local assessment procedures may be used to meet this requirement.)
2. Identify the timeframe of the last assessments that were conducted. (The timeframe and frequency of the evaluation(s) meeting State or local assessment procedures should be identified in this column. Generally such assessments will have been used in the spring of the preceding school year.)
3. Identify briefly the methods that were used to disseminate the performance data on ALL Indian students of the LEA to the Parent Committee and the Indian community.

**Note: Applicants that are exempt from the Parent Committee requirement must still address how the assessment information is distributed to the community.**

4. Describe how the LEA is responding to the results of the last assessment(s).

## WAIVER USE REPORT

The following LEA received a waiver of the requirement restricting use of programs funds for administrative purposes to 5%.

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LEA Name

---

LEA Address

---

LEA Address

Complete the following statements:

Under the waiver, the grantee --

- Utilized this percentage of the total funds received for administrative purposes: \_\_\_\_\_%
- Used these funds for administrative purposes to increase the quality of instruction to students as follows:

- Is improving the academic achievement of students as follows:

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Signature of Authorized Representative

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Date

# **GRANT APPLICATION RECEIPT ACKNOWLEDGEMENT**

If you fail to receive the notification of application receipt within fifteen (15) days from the closing date, call:

U.S. Department of Education  
Office of Indian Education  
202-260-3774

## **GRANT AND CONTRACT FUNDING INFORMATION**

The Department of Education provides information about grant and contract opportunities electronically in several ways:

ED Internet Home Page	<a href="http://www.ed.gov/">http://www.ed.gov/</a>
OCFO Web Page Internet	<a href="http://www.ed.gov/about/offices/list/ocfo/grants/grants.html">http://www.ed.gov/about/offices/list/ocfo/grants/grants.html</a>
OCFO Contracts Page	<a href="http://www.ed.gov/about/offices/list/ocfo/contracts/contracts.html">http://www.ed.gov/about/offices/list/ocfo/contracts/contracts.html</a>