

U.S. Department of Education
Washington, D.C. 20202-5335

APPLICATION FOR GRANTS
UNDER THE

Competitive Grants for State Assessments Program

CFDA # 84.368A

PR/Award # S368A220014

Grants.gov Tracking#: GRANT13608343

OMB No. , Expiration Date:

Closing Date: May 03, 2022

PR/Award # S368A220014

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This application was generated using the PDF functionality. The PDF functionality automatically numbers the pages in this application. Some pages/sections of this application may contain 2 sets of page numbers, one set created by the applicant and the other set created by e-Application's PDF functionality. Page numbers created by the e-Application PDF functionality will be preceded by the letter e (for example, e1, e2, e3, etc.).

Application for Federal Assistance SF-424

* 1. Type of Submission:

- ☐ Preapplication
☒ Application
☐ Changed/Corrected Application

* 2. Type of Application:

- ☒ New
☐ Continuation
☐ Revision

* If Revision, select appropriate letter(s):

* Other (Specify):

* 3. Date Received:

05/03/2022

4. Applicant Identifier:

5a. Federal Entity Identifier:

5b. Federal Award Identifier:

State Use Only:

6. Date Received by State:

7. State Application Identifier:

8. APPLICANT INFORMATION:

* a. Legal Name:

N.C. Department of Public Instruction

* b. Employer/Taxpayer Identification Number (EIN/TIN):

56-1492826

* c. UEI:

NJSEDA16EXR3

d. Address:

* Street1:

301 N Wilmington St

Street2:

* City:

Raleigh

County/Parish:

* State:

NC: North Carolina

Province:

* Country:

USA: UNITED STATES

* Zip / Postal Code:

27601-1058

e. Organizational Unit:

Department Name:

Division Name:

f. Name and contact information of person to be contacted on matters involving this application:

Prefix:

* First Name:

Ivanna

Middle Name:

Mann

* Last Name:

Thrower Anderson

Suffix:

Title: ESL/Title III Consultant, Program Quality (W)

Organizational Affiliation:

NC Department of Public Instruction

* Telephone Number:

19842362469

Fax Number:

* Email:

ivanna.anderson@dpi.nc.gov

PR/Award # S368A220014

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Application for Federal Assistance SF-424

* 9. Type of Applicant 1: Select Applicant Type:

A: State Government

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

* Other (specify):

* 10. Name of Federal Agency:

Department of Education

11. Catalog of Federal Domestic Assistance Number:

84.368

CFDA Title:

Competitive Grants for State Assessments (formerly Grants for Enhanced Assessment Instruments)

* 12. Funding Opportunity Number:

ED-GRANTS-021622-002

* Title:

Office of Elementary and Secondary Education (OESE): Office of School Support and Accountability (SSA): Competitive Grants for State Assessments Program, Assistance Listing Number (ALN) 84.368A

13. Competition Identification Number:

84-368A2022-1

Title:

Competitive Grants for State Assessments Program

14. Areas Affected by Project (Cities, Counties, States, etc.):

Add Attachment

Delete Attachment

View Attachment

* 15. Descriptive Title of Applicant's Project:

Multilingual-Multimodal Science Inventory (M2-Si)

Attach supporting documents as specified in agency instructions.

Add Attachments

Delete Attachments

View Attachments

Application for Federal Assistance SF-424**16. Congressional Districts Of:*** a. Applicant * b. Program/Project

Attach an additional list of Program/Project Congressional Districts if needed.

Add Attachment

Delete Attachment

View Attachment

17. Proposed Project:* a. Start Date: * b. End Date: **18. Estimated Funding (\$):**

* a. Federal	<input type="text" value="2,988,951.00"/>
* b. Applicant	<input type="text" value="0.00"/>
* c. State	<input type="text" value="0.00"/>
* d. Local	<input type="text" value="0.00"/>
* e. Other	<input type="text" value="0.00"/>
* f. Program Income	<input type="text" value="0.00"/>
* g. TOTAL	<input type="text" value="2,988,951.00"/>

*** 19. Is Application Subject to Review By State Under Executive Order 12372 Process?**

- ☐ a. This application was made available to the State under the Executive Order 12372 Process for review on .
- ☐ b. Program is subject to E.O. 12372 but has not been selected by the State for review.
- ☒ c. Program is not covered by E.O. 12372.

*** 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)**☐ Yes ☒ No

If "Yes", provide explanation and attach

Add Attachment

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21. *By signing this application, I certify (1) to the statements contained in the list of certifications and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)**

☒ ** I AGREE

** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

Authorized Representative:

Prefix: * First Name:

Middle Name:

* Last Name:

Suffix:

* Title: * Telephone Number: Fax Number: * Email: * Signature of Authorized Representative: * Date Signed:

NOTICE TO ALL APPLICANTS

OMB Number: 1894-0005
Expiration Date: 04/30/2020

The purpose of this enclosure is to inform you about a new provision in the Department of Education's General Education Provisions Act (GEPA) that applies to applicants for new grant awards under Department programs. This provision is Section 427 of GEPA, enacted as part of the Improving America's Schools Act of 1994 (Public Law (P.L.) 103-382).

To Whom Does This Provision Apply?

Section 427 of GEPA affects applicants for new grant awards under this program. **ALL APPLICANTS FOR NEW AWARDS MUST INCLUDE INFORMATION IN THEIR APPLICATIONS TO ADDRESS THIS NEW PROVISION IN ORDER TO RECEIVE FUNDING UNDER THIS PROGRAM.**

(If this program is a State-formula grant program, a State needs to provide this description only for projects or activities that it carries out with funds reserved for State-level uses. In addition, local school districts or other eligible applicants that apply to the State for funding need to provide this description in their applications to the State for funding. The State would be responsible for ensuring that the school district or other local entity has submitted a sufficient section 427 statement as described below.)

What Does This Provision Require?

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted program for students, teachers, and other program beneficiaries with special needs. This provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. Based on local circumstances, you should determine whether these or other barriers may prevent your students, teachers, etc. from such access or participation in, the Federally-funded project or activity. The description in your application of steps to be taken to overcome these barriers need not be lengthy; you may provide a clear and succinct description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may

be discussed in connection with related topics in the application.

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for Federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use the Federal funds awarded to it to eliminate barriers it identifies.

What are Examples of How an Applicant Might Satisfy the Requirement of This Provision?

The following examples may help illustrate how an applicant may comply with Section 427.

(1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.

(2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audio tape or in braille for students who are blind.

(3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it intends to conduct "outreach" efforts to girls, to encourage their enrollment.

(4) An applicant that proposes a project to increase school safety might describe the special efforts it will take to address concern of lesbian, gay, bisexual, and transgender students, and efforts to reach out to and involve the families of LGBT students.

We recognize that many applicants may already be implementing effective steps to ensure equity of access and participation in their grant programs, and we appreciate your cooperation in responding to the requirements of this provision.

Estimated Burden Statement for GEPA Requirements

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. Public reporting burden for this collection of information is estimated to average 1.5 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The obligation to respond to this collection is required to obtain or retain benefit (Public Law 103-382). Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, 400 Maryland Ave., SW, Washington, DC 20210-4537 or email ICDocketMgr@ed.gov and reference the OMB Control Number 1894-0005.

Optional - You may attach 1 file to this page.

1236-7 NCDPI CAL GEPA427 Form Attachment.p

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PR/Award # S368A220014

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**Statement of the North Carolina Department of Instruction (NCDPI) and
The Center for Applied Linguistics (CAL) Plans to Address the Department of
Education's General Education Provisions Act (GEPA)**

**ALN 84.368A
Competitive Grants for State Assessments Program**

In this document, the North Carolina Department of Education (NCDPI) and the Center for Applied Linguistics (CAL) are complying with Section 427 of the Department of Education's General Education Provisions Act, which requires that applicants for discretionary grant awards include in their applications information as to how they intend to address this provision. In particular, applicants are required to describe how they intend to overcome six types of barriers highlighted by the Department that can impede equitable access or participation: gender, race, national origin, color, disability, or age.

With regard to this proposal, participants in the project will be recruited without regard to race, ethnicity, color, national origin, gender, age or disability. To ensure that there are no barriers to participation in the professional development activities, as part of our recruitment materials, we will invite participants to contact us with details of any accommodations which might be needed to participate (e.g. closed captioning for virtual PD delivery), and we will ensure that NCDPI and CAL provide necessary accommodations. All information disseminated by this project will be made available in a variety of formats for participants with varying disabilities and learning needs. Project products and public documents will also be made available in an accessible manner.

The employment policies and practices of the NCDPI and CAL, which have been in place for several years and are continually under review for improvement, have been established to eliminate obstacles to employment or participation in our projects, programs, activities, and publications in the federally mandated categories mentioned above, and in other categories as well, such as sexual orientation and veteran status. NCDPI and CAL are sensitive to the day-to-

day needs of people with disabilities. In addition to adhering to the policy statements mentioned above, DCPI and CAL facilities are made to be accessible and configured to meet ADA requirements.

In summary, NCDPI and CAL anticipate that *no* barriers exist that will exclude any qualified individual from participation in any of the activities of the proposed project or use of the final training products.

CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans, and Cooperative Agreements

The undersigned certifies, to the best of his or her knowledge and belief, that:

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

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

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

* APPLICANT'S ORGANIZATION

N.C. Department of Public Instruction

* PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE

Prefix: * First Name: Middle Name:
* Last Name: Suffix:
* Title:

* SIGNATURE:

* DATE:

U.S. Department of Education Supplemental Information for the SF-424
Application for Federal Assistance

OMB Number: 1894-0007
Expiration Date: 12/31/2023

1. Project Director:

Prefix:	* First Name:	Middle Name:	* Last Name:	Suffix:
	Ivanna	Mann	Thrower Anderson	

Project Director Level of Effort (percentage of time devoted to grant): 20

Address:

* Street1:	301 N Wilmington St
Street2:	
* City:	Raleigh
County:	
* State:	NC: North Carolina
* Zip Code:	27601-1058
Country:	USA: UNITED STATES

* Phone Number (give area code) Fax Number (give area code)

19842362828	
-------------	--

*** Email Address:**

Ivanna.Anderson@dpi.nc.gov

Alternate Email Address:

Ivanna.Anderson@dpi.nc.gov

2. New Potential Grantee or Novice Applicant:

a. Are you either a new potential grantee or novice applicant as defined in the program competition's notice inviting applications (NIA)?

☐ Yes ☒ No

3. Qualified Opportunity Zones:

If the NIA includes a Qualified Opportunity Zones (QOZ) Priority in which you propose to either provide services in QOZ(s) or are in a QOZ, provide the QOZ census tract number(s) below:

4. Human Subjects Research:

a. Are any research activities involving human subjects planned at any time during the proposed Project Period?

☐ Yes ☒ No

b. Are ALL the research activities proposed designated to be exempt from the regulations?

☐ Yes Provide Exemption(s) #(s): ☐ 1 ☐ 2 ☐ 3 ☐ 4 ☐ 5 ☐ 6 ☐ 7 ☐ 8

☐ No Provide Assurance #(s), if available:

c. If applicable, please attach your "Exempt Research" or "Nonexempt Research" narrative to this form as indicated in the definitions page in the attached instructions.

Add Attachment

Delete Attachment

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Abstract

An abstract is to be submitted in accordance with the following:

1. Abstract Requirements

- Abstracts must not exceed one page and should use language that will be understood by a range of audiences.
- Abstracts must include the project title, goals, and expected outcomes and contributions related to research, policy, and practice.
- Abstracts must include the population(s) to be served.
- Abstracts must include primary activities to be performed by the recipient.
- Abstracts must include subrecipient activities that are known or specified at the time of application submission.

For research applications, abstracts also include the following:

- Theoretical and conceptual background of the study (i.e., prior research that the investigation builds upon and that provides a compelling rationale for this study).
- Research issues, hypotheses and questions being addressed.
- Study design including a brief description of the sample including sample size, methods, principals, and dependent, independent, and control variables, as well as the approach to data analysis.

[Note: For a non-electronic submission, include the name and address of your organization and the name, phone number and e-mail address of the contact person for this project.]

You may now Close the Form

You have attached 1 file to this page, no more files may be added. To add a different file, you must first delete the existing file.

* Attachment: 1234-0 Project Abstract NC CAL 5-22.pdf

Add Attachment

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Project Abstract
Competitive Grants for State Assessments – (ALN) 84.368A)
North Carolina Department of Public Instruction
Center for Applied Linguistics

The North Carolina Department of Public Instruction (NCDPI) and the Center for Applied Linguistics (CAL) are joining to address the needs of NC English learners in the 3rd – 5th grades for a performance-based assessment system that addresses the Competitive Grants for State Assessments program, Assistance Listing Number (ALN) 84.368A. The primary purpose of the proposed project is to address the grant announcement absolute priority: “Absolute Priority 1: Measuring student academic achievement using multiple measures of student academic achievement from multiple sources.” The proposed project also addresses a competitive priority for improving assessment information on the achievement of English learners to educators and their family members. The grant announcement invitation priority for “Supporting effective instruction and building educator capacity by developing and implementing high-quality assessments...for student learning.” is also addressed. The North Carolina Department of Public Instruction will serve as the fiscal agent for the proposed project, with the Center for Applied Linguistics providing support through a subcontract. The proposed Principal Investigator will be in the services of the NDPI, and the Co-PI will be in the services of CAL.

The proposed project the development of a multilingual-multimodal Science Inventory (M2-Si) e-portfolio that will have implications for assessing 131,247 English learners in science content knowledge within the NCDPI system and producing enhanced reporting mechanisms for families, educators, and students and will be made available to other states through the project’s dissemination activities for their consideration in utilizing it within their states. There are Nationwide implications for the project results for approximately five million students, or around ten percent of the public-school population, (Irwin et al. 2021) are classified as “English learners.

The proposed project will include educators and students in dual-language immersion programs and in content-based in development programs in science in North Carolina schools. Family members, educators and students will participate in focus groups to provide input and feedback into the proposed formative assessment development effort. The project will also benefit from input and feedback from experts in assessment and the education of English learners and from members of a technical working group (TWG).

The proposed approach draws on the studies related to assessment and formative assessment for English learners. The promise of a multilingual and multimodal assessment for English learners is that of its enhanced usefulness for addressing their language development, full linguistic repertoire, and content acquisition needs for facilitating the teaching and learning process.

The proposed project addresses the following seven goals, which respond to the grant purpose and priorities.

Goal 1: Develop score reporting mechanisms that improve the utility of information about student performance that provides better and more timely information to educators and families.

Goal 2: Produce a classroom rubric that can be used with the range of multilingual and multimodal strategies that upper elementary students use to express science knowledge.

Goal 3: Develop a set of standards-aligned science tasks.

Goal 4: Develop and validate an electronic portfolio process that draws upon multiple observations to provide an interpretable and meaningful score report.

Goal 5. Disseminate project activities and outcomes.

Two additional project goals address project management and project evaluation activities.

Project objectives are developed for each of the seven goals are serve as the basis for developing the proposed project design and implementation of project activities

Project Narrative File(s)

* **Mandatory Project Narrative File Filename:** 1235-1 Final Application Narrative NC CAL 5-22.pdf

Add Mandatory Project Narrative File

Delete Mandatory Project Narrative File

View Mandatory Project Narrative File

To add more Project Narrative File attachments, please use the attachment buttons below.

Add Optional Project Narrative File

Delete Optional Project Narrative File

View Optional Project Narrative File

NORTH CAROLINA

Response to Request for Proposal ALN 84.368A

Competitive Grants for State Assessments Program

Donald Peasley

U.S. Department of Education

400 Maryland Avenue SW, Room 3W106

Washington, DC 20202–6132



May 3, 2022

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(A) SIGNIFICANCE

1. The project will build local capacity to provide, improve, or expand services that address the needs of the target population.

The North Carolina Department of Public Instruction (NCDPI) and the Center for Applied Linguistics (CAL) are joining to address the needs of NC English learners in the 3rd – 5th grades for a performance-based assessment system that addresses the Competitive Grants for State Assessments program, Assistance Listing Number (ALN) 84.368A, priorities below:

- (ALN) 84.368A Absolute Priority 1: Measuring student academic achievement using multiple measures of student academic achievement from multiple sources.
- (ALN) 84.368A Competitive Priority: (a) Propose projects, in consultation with organizations representing parents (including parents of English learners and parents of students with disabilities), students, teachers, counselors, and school administrators to address needs related to score reporting and improve the utility of information about student performance included in reports of assessment results and provide better and more timely information to educators and parents.
- (ALN) 84.368A Invitational Priority: Supporting effective instruction and building educator capacity by developing and implementing high-quality assessments (as defined in the Secretary’s Supplemental Priorities 6) for student learning. For example, curriculum-aligned and performance-based tools aligned with state grade-level content standards.

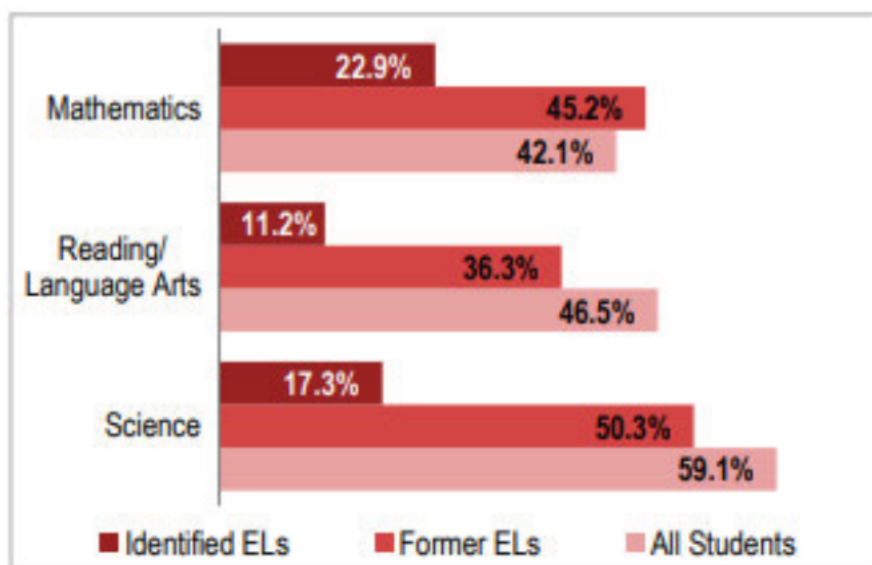
The North Carolina Department of Public Instruction and the Center for Applied Linguistics use the term “multilingual learner” and “multilingual learners” in place of the term “English Learner

that is used in (ALN) 84.368A. For the sake of consistency, we will use the term “English learner” throughout this proposal.

The development of the proposed multilingual-multimodal Science Inventory (M2-Si) e-portfolio will have implications for assessing a large number of students within the NCDPI system and producing enhanced reporting mechanisms for families, educators, and students and will be made available to other states through the project’s dissemination activities for their consideration in utilizing it within their states. Nationwide, approximately five million students, or around ten percent of the public school population, (Irwin et al. 2021) are classified as “English learners” (EL) – students who are identified under the legal definition of the Elementary and Secondary Act (20 USC § 7801(20), and must, by law, be provided with the opportunity to participate in a language support program until such time as the student is no longer classified as an English learner. The number of EL students has been rising steadily, with an increase in approximately 1.3 million students who fit this category over the past 20 years. In addition, under Title 3, 3102(5), a stated purpose is “to promote parental, family, and community participation in language instruction educational programs for the parents, families, and communities of English learners.”

In school year 2021, North Carolina served more than 131,247 students identified as English learners, and the state ranked ninth in the US in terms of numbers of these students served in the state. Of the students identified as ELs in NC, 82% speak Spanish as a home language. English learners in the state (Figure 1, Table 1)—and nationwide (Table 2) — consistently perform less well on standardized content tests than their peers.

Figure 1: North Carolina students' performance on state content assessments, 2017-18



Source: US Department of Education Office of English Language Acquisition (2021)

Table 1: Grade five End-of-Grade Science test performance by subgroup -2021

Student Group	Not Proficient	Level 3	Level 4	Level 5
White	29.4	12.1	41.8	16.8
All Students	46.1	11.8	31.4	10.7
Not English learners	42.4	12.1	33.7	<5
English learners	81.6	8.7	9.1	1.7

Source: North Carolina Department of Public Instruction (2021)

Table 2: Gap in average scale score on NAEP assessments (2019) between students who are and who are not English learners

	4 th grade	8 th grade	12 th grade
Mathematics	23	42	41
Reading	33	45	53
Science	33	46	53

Source: National Center for Education Statistics, National Assessment of Educational Progress (NAEP), 2019 Mathematics, Reading, and Science Assessments.

The proposed project also addresses the need for improved assessments for English learners. Since the early 2000's, approaches to assessment for English learner students have been embedded in accountability practices, in which students' content area assessments in mathematics, language arts, and later in science, have been aligned to content standards and disaggregated by student demographic groups (Boals et al., 2015). Furthermore, the American Institutes for Research found that, as of 2018, more than half the states offered mathematics assessments in Spanish, only 5 states offered language arts and only 12 offered science assessments in languages other than English (Tabaku, Carbuccia-Abbot, & Saavedra, 2018). The report notes additionally that, while states may offer these assessments, there is no data available on the uptake within districts, and further that there are limited circumstances under which states offer these alternate versions to students.

Currently, there are mounting concerns over the validity of content area assessments delivered in English to students who are not fully fluent in English (ELL Working Policy Group,

2011, 2015; Robinson-Cimpian et al, 2016). Menken (2008) questions the “covert language policy” of English-only content assessments, and others have questioned whether tests in English only are able to fully capture what students know and can do in content areas such as science. In more theoretical work, researchers have examined the constructs underpinning understandings of language and content proficiency, and the relationships of that construct to socially constructed understandings of identity and ability. In foundational work, Shohamy (1998) writes that, “the act of testing is not neutral. Rather, it is both a product and an agent of cultural, social, political, educational and ideological agendas,” and Chalhoub-Deville and Tarone (1996) remind us that “the nature of the language proficiency construct is not constant; difference linguistic, functional, and creative proficiency components emerge when we investigate the proficiency construct in different contexts” (Chalhoub-Deville & Tarone, 1996, p.5).

Recently, researchers and practitioners have begun exploring multilingual approaches to assessment. More comprehensive in their approach to multilingualism than simply translation or adaptation of assessments into another language, this multilingual turn in theory pushes beyond the notion of “two monolinguals in one brain” to an understanding that bilingualism is a fluid and adaptive set of practices embedded in sociocultural interactions, and in the contexts and communities in which students live (García, 2009; Lopez et al., 2015).

The promise of a multilingual and multimodal assessment for English learners is that of its enhanced usefulness for addressing their language development and content acquisition needs for facilitating the teaching and learning process. Further this approach to assessments accounts for multilingualism as an asset that students bring into the classroom – not a deficiency to be overcome. As several researchers (Lopez, Turkan, and Guzman-Orth, 2017; Chalhoub-Deville, 2019) have noted, multilingual assessments allow for students to control the language choices

that they bring to the assessment, providing a degree of agency over how to approach the demonstration of content mastery. The approach for the development of the proposed assessment will include working with teachers and students in dual language instruction programs and in content-based English development science classrooms.

Researchers have noted, however, that there are some critical challenges with the implementation of multilingual testing. Perhaps the most challenging is that of rater consistency. Lopez, Turkan, and Guzman-Orth (2017) in their frank appraisal of these challenges, note that the locus that provides the best likelihood of developing useful multilingual assessments is that of “classroom-based assessments that inform teachers of students’ skills and needs.” These challenges will also be addressed in the development of the proposed assessment.

In summary, the proposed project will address a large and growing number of English learners within North Carolina public schools and nationally. It is significant that through their joint effort, the NCDPI and CAL will collaborate in developing, pilot testing and field testing an improved multilingual, multimodal formative assessment science e-inventory for students in dual language instruction programs and for English learners in content-based English-language development science programs that will result in providing enhanced information on their content achievement in science to their families, educators and the students themselves.

(2) The project product results (such as information, materials, processes, or techniques) will include the potential to be used effectively in a variety of other settings.

The results of the project will include the potential to be used effectively in a variety of settings. Access to the project results will be made available through its website. Information about the product results will also be presented in national conferences. Outreach information produced and disseminated by project staff will further provide access to information on the

project results.

The design of the proposed assessment project will be guided by foremost experts in the combined areas of teaching and learning approaches for English learners as well as assessment. Their guidance in validity and reliability procedures for development for the proposed assessment will contribute to results that can be utilized in a variety of other settings. The assessment development efforts will be further guided by members of the proposed technical working group (TWG) with expertise in developing assessments for English learners in a variety of settings.

The design of the proposed project assessment development is inclusive of students in dual language programs (L1 and L2 students) as well as English learners in content-based English language development science. The pilot and field test results will guide an assessment development process that will produce results that can be used in a variety of settings.

(B) PROJECT DESIGN

Our proposed project is part of a comprehensive effort to improve teaching and learning and support rigorous academic standards for students. By providing teachers with useful and timely information about students' performance, tied to academic standards, they will have the ability to tailor teaching and learning experiences to students' specific needs. By improving the validity of measurement for English learners, content area teachers can ensure that these students are provided with rigorous academic learning opportunities that meet their instructional needs.

The development of the proposed Multilingual-Multimodal Science inventory (M2-Si) will be informed by information gathered from: (1) a series of focus groups conducted with families, students and educators; (2) a conceptual framework on performance based and cognitive-based formative assessment and the merit of family involvement in promoting student achievement; (3) studies on the benefits of utilizing a student's full linguistic repertoire in instructional and

assessment activities; (4) guidance provide by experts in assessment systems for English learners; (5) guidance provided by a technical working group with expertise in assessment, the education of English learners; and science education; (6) guidance provided by North Carolina educators and administrators involved with the education of English learners in general and in science instruction, specifically and (7) data collected and analyzed through a series of pilot and field test activities with NC students, family members, and educators.

The development of the proposed assessment for English learners considers the involvement of English learner families at the local school level. As part of the assessment development project, the project with collaborate with local schools in communicating with English learner parents to inform them about the proposed project activities and of the relevance to their children's socio-academic achievement. The parents of English learners will be invited to participate in the project's proposed focus groups and to form a core group to review and discuss ongoing aspects of the proposed assessment development process. A primary function of the proposed e-portfolio will be to engage family members with their children's science activities using timely and relevant information.

The test development activities will focus on 3rd – 5th grade English learners, non-English learners, and former English learners in public schools in North Carolina in science instruction in dual language programs, content-based second language instruction programs and in science instructional programs. The 2021 enrollment within the NCDPI system includes 131, 247 English learners, an increase of 6,742 from 2020. There are 86 two-way immersion programs in North Carolina public schools, where 83 are Spanish-English dual language programs, two are Chinese English and 1 is Urdu. The NCDPI has access to an online directory that contains

information on schools with dual language programs and contact information that will be used to assist in identifying teachers, students, and family members to participate the proposed project.

Up to 10 teachers in dual language immersion and content based English development programs for each of the grade levels 3rd to 5th grade involved in teaching science will participate in the proposed project activities. Up to 20 English learners, non-English learners and former English learners receiving science instruction will be identified to participate in focus groups per grade level to gather input for the development of the proposed assessment. In addition, up to 20 parents per grade level of the proposed student groups will also participate in focus groups. A core group of up to 20 parents total will be invited to continue as a core group to review the progress and provide feedback on the development of the proposed assessment. Up to 100 English learners, non-English learners and former English learners will participate in the proposed projects pilot and field tests.

The selection of students, family members and teachers to participate in the proposed assessment development project will be made by the Project Principal Investigator in collaboration with school principals and teachers with dual language immersion programs and in schools with content based English language development programs. This process will be facilitated using a NCDPI online database with information on schools with dual language programs.

The approach for developing the proposed assessment will be guided by studies on English learner teaching, learning and formative assessment provided in the section below and in the “Significance” section above. It will also be guided by guidance provided by the English learner and assessment experts and the project’s technical working group. The information gathered

from the proposed focus groups, the core family group, and pilot and field test activities will also contribute to the development of the proposed assessment.

The proposed project will engage in disseminating information on the project's activities locally and nationally for families and educators interested in the education of English learners. Weekly conversations between the NCDPI Principal Investigator and CAL Co-Principal investigator will contribute to an efficient and effective management of the project's activities. A project evaluator will engage in conducting monthly formative evaluation activities that will also contribute to the efficient and effective management of project activities.

The result of the proposed project will be a multimedia, multimodal formative assessment e-portfolio that can be used with English learners, non-English learners and former English learners engaged in science learning activities in dual language programs and in content-based English development programs. Additional details are provided below.

At the heart of our approach is the evidence of the assets that English learners and multicultural students bring into their educational endeavors. We recognize the multiple strengths that bilingual and multilingual students bring to the classroom, the rich translanguageing (Otheguy, García, and Reed, 2015; García & Lin, 2016) practices of students who can move between, across, and through their multiple social identities and relationships as they learn in school, and the way linguistic and cultural practices are integral to students' funds of knowledge and funds of identity in their agentic construction of self (Moll, et al, 1992; Esteban-Guitart and Moll, 2014).

The research base on the benefits of bilingualism is clear. Numerous studies have shown the enhanced executive functioning associated with bilingualism (Esposito & Baker-Ward, 2013; Ball, 2010; Espinosa, 2013; Sandhofer & Uchikoshi, 2013; Barac et al., 2014). Developing

proficiency in more than one language enhances career opportunities, promotes cross-cultural understanding, and improves communication skills (Tochon, 2009; Rumbaut, 2014). Research shows that English learners (ELs) benefit from continuing to learn in their native language (Ball, 2010; Lindholm-Leary & Genesee, 2014); oral proficiency and literacy in a student's first language facilitates English literacy development (August & Shanahan, 2006); and ELs are less likely to fall behind in core subject areas if they are able to continue learning grade-level content in their home language while acquiring proficiency in English (Lindholm-Leary & Genesee, 2014).

Our approach centers on holistic or integrated understandings of bilingualism and multilingualism (Grosjean, 1985, 2010; MacSwan 2020; Canagarajah, 2011) that stand in contrast to notions that the languages of multilingual individuals are socially and cognitively distinct and discrete. We argue that the most valid way to understand what an English learner knows and can do is one which allows for the “deployment of a speaker’s full linguistic repertoire” (Otheguy, García, and Reed, 2015, p. 3). As García & Lin, (2016, p.7) put it, “[w]hereas monolingual students are usually allowed the full use of their linguistic repertoire in assessment and in learning, bilinguals are seldom permitted to do so, thus keeping them silent and unengaged in teaching and assessment activities.”

The work of Moll and colleagues (1992) underscores the importance of understanding the funds of knowledge that minoritized English students bring to classrooms, and later work (Esteban-Guitart and Moll, 2014) positions English learners as agents constructing their own identities based upon their own “funds of identity” that draw upon culturally developed and socially distributed resources. Allowing students, the opportunity to access their full linguistic repertoire allows students to engage in these agentic practices in the learning process.

Classroom assessment can be a powerful linguistic and culturally-sustaining process for both English learners and their teachers. Integral to educational parity, classroom assessment that is multilingual and multimodal and addresses a student's full linguistic repertoire can stimulate English learner engagement and represent the interplay between content and language as a means of advancing student learning. At the other end of the spectrum, classroom assessment can be a tool that reinforces English learners' academic deficits and underscores stark differences in their performance with that of other student groups.

Recently, classroom assessment has come to occupy an increasingly visible and valued space as educators critically examine how it can be interwoven into instruction to support students' language and conceptual development (Davison & Leung, 2009). Envisioning classroom assessment as interactive and dynamic, it has been moving from one of technical qualities associated with producing scores (reflective of socio-cognitive learning theory) to that of a socially embedded process associated with sociocultural learning theory (Bachman & Dambeck, 2017; Kang & Furtak, 2021). To that end, we broadly define classroom assessment as what teachers and students do on a continuous basis to plan, gather, analyze, and interpret information to improve teaching and learning (Gottlieb & Katz, 2020).

When English learners are part of the student population, classroom assessment becomes a complex undertaking. In essence, classroom assessment must embrace an array of views and perspectives where English learners are able to utilize their multiple languages and cultures as resources for learning.

The mid-1990s ushered in the institutionalization of accountability for student achievement. Established by U.S. federal legislation (i.e., Improving America's School Act, 1994), students have been taking standardized tests ever since. With the new millennium (i.e.,

No Child Left Behind, 2002), annual standardized English language proficiency assessment for K-12 English learners joined the ranks of required measures.

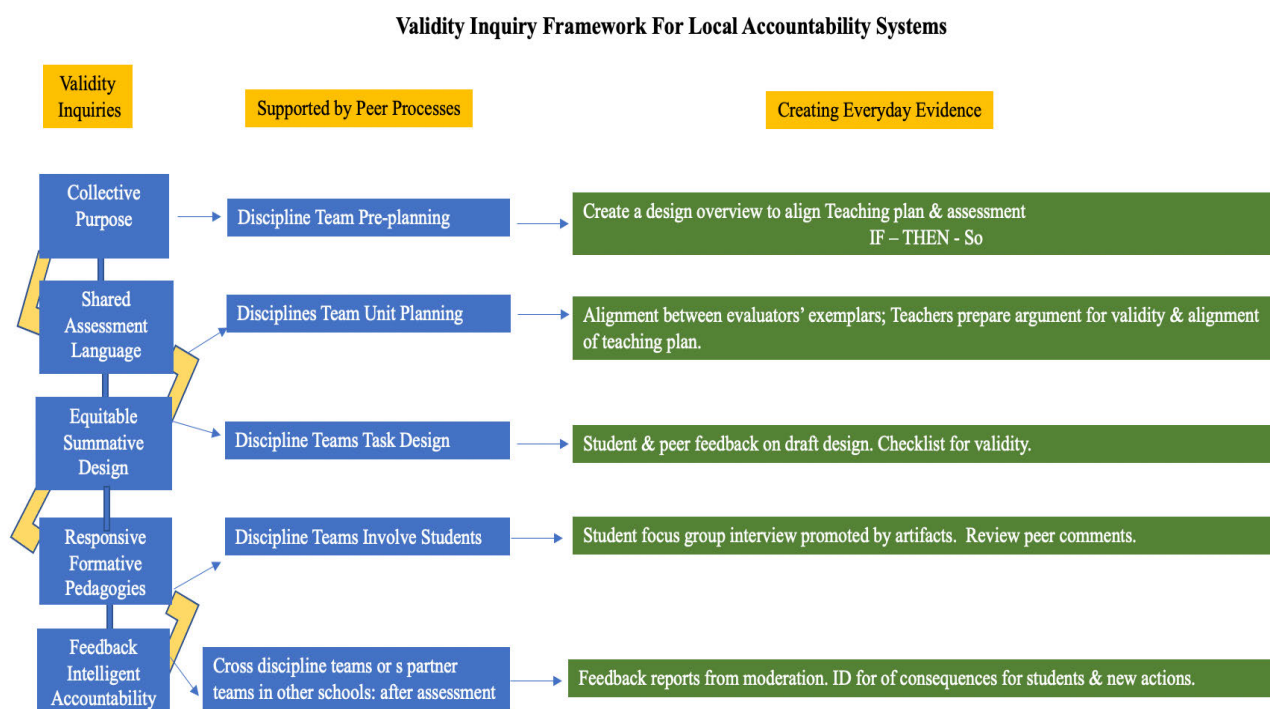
In contrast to requirements for standardized testing, the seminal research of Black and Wiliam (1998) sparked the rise in the status of classroom performance assessment while Stiggins & Chappulis (2011), among others, proposed and advocated for student-involved assessment for learning. O'Malley & Valdez Pierce's 1996 ground-breaking book on authentic assessment for English language learners underscored the importance of performance assessment within the classroom routine. Grounded in the premise that teaching and learning is social in nature and therefore, must be interactive, the research undeniably attributes growth in student achievement to classroom assessment for formative purposes.

The proposed formative assessment of English learners in science classrooms draws from the work in formative assessment studies that focus on the different types of contexts, issues, uses, stakeholders, and cautions. (Heritage (2010); Llosa (2022); Kane & Wools (2009); Nichols (2009); Sheppard (2005, 2018); and Trumbull (2013). Trumbull cites Black and Wiliam (1998a) who see formative assessment in the classroom as “activities undertaken by teachers and/or by their students [that] provide information to be used as feedback to modify the teaching and learning activities in which they are engaged.” Trumbull further sees formative assessment as not having the form of a particular instrument or task but that is defined by its purpose (2013). Llosa views formative assessment as “an essential practice for supporting all students, including English learners in the science classroom” and that “takes place during instruction with the goal of improving teaching and learning (2022).

Nichols observes that in formative assessment, validity claims mostly “emphasize test score use over test score interpretation.” However, he further states that in formative assessment,

interpretation should take precedence over test scores in supporting validity claims: “The claim for formative assessment is that the information derived from students’ assessment performance can be used to improve student achievement. It is how that information is used, not what the assessment tells us about current achievement, that impacts future achievement. Therefore, use, based on a valid interpretation, [should be] the primary focus of the validity argument for formative assessments.” (2009).

Willis, McGraw, and Graham (2019) focus on the process for making credible claims about classroom assessments and their results. In approaching the issue of validity for classroom assessments, they conducted a study on validity for local accountability assessments that resulted in a validity inquiry framework to use with local accountability systems that is presented below.



Adapted from: Willis, J; McGraw, K; Graham, L. (2017) Designing New Senior Assessment: Designing for Validity In Local accountability systems. QUT Education.

Conversely, Margaret Heritage (2010), argues that formative assessment is erroneously conceptualized as a “test.” She states that “This stands in contrast to other forms of assessment, which evaluate learning after a period of teaching. Formative assessment practice operates as a feedback loop in which both teachers and students can play active, distinctive, yet complementary roles in enabling learning by consistently working to build and consolidate student understanding and skills during the course of a lesson.” She also points out that “The essential purpose of formative assessment as a practice is to move students’ learning forward while their learning is still in the process of developing.” And that, “When formative assessment is conceived as a practice implemented by teachers, in collaboration with their students, then its promise as an enabler rather than an evaluator of learning can be realized.”

Consequently, there is not a single standardized assessment tool that can replace timely concrete feedback from a caring teacher. By drawing on the attributes and expertise of students, teachers can readily integrate English learners’ languages, cultures, and experiences into projects and products. Accentuating English learners’ assets and engaging students in identifying evidence of learning enables to design and enact linguistically and culturally sustainable curriculum, instruction, and assessment.

Assessments for student content learning are more beneficial when they are relevant, timely, and frequent and highlight data that are meaningful and useful to both students and teachers. Offering English learners, the opportunity to shape and fulfill their own learning goals authenticates assessment in one or more languages. Throughout the teaching, learning and assessment cycle, English learners should be linguistically advantaged, for example, in conducting research, viewing videos, interacting with peers of their partner language, and self-

reflecting in multiple languages. In finding meaning in their own data, English learners are more apt to be motivated to learn, build self-confidence, and achieve new heights.

Assessments are also more beneficial for student content learning when they embed assessment “*as, for, and of learning*” into curriculum and instruction to gain an expansive view of student engagement. Three approaches – Assessment *as* learning (centering on student-student interaction), assessment *for* learning (highlighting student-teacher relationships), and assessment *of* learning (fostering teacher collaboration with student input) – converge in forming a dynamic and inclusive assessment system (Gottlieb, 2016, 2021a, 2021b). When students contribute to determining and meeting unit-level expectations across assessment approaches, their linguistic and cultural assets become ingrained in the process and high-stakes decisions are no longer contingent on a single data point.

When curriculum, instruction, and assessment form a seamless, intentional, meaningful, and aligned system they provide more meaningful and useful feedback for teaching and learning activities. Classroom assessment with English learner engagement should be an extension of curriculum and instruction. When students interact with each other, (co)construct models, or access digital resources, teachers can assess learning firsthand. In the process, teachers should make every attempt to safeguard English learners’ languages, cultures, and identities. This more personalized classroom information, when coupled with reliable common grade-level or school-based data sensitive to English learners, offers strong evidence to complement that of standardized achievement tests to form a robust assessment system.

Incorporating multimodalities as scaffolds as part of the assessment process is an additional consideration enhancing assessment activities for English learners (Sheppard, 2005). Multiple modes of communication look beyond language as the sole source of eliciting meaning;

for example, English learners, as other students, often rely on visuals and gestures as well as speech and written text (Kress, 2010). Multimodality, that is, the combined use of modes, allows students to use multiple means of communication to engage, interpret, represent, act, and express their ideas (WIDA, 2020). Grapin (2018) suggests that multiple modes are essential for engaging in disciplinary practices articulated in state academic content standards by allowing English learners to draw from a variety of meaning-making resources. In this next challenge we explore the use of multimodalities in assessment.

Accepting a student's full linguistic repertoire in instructional, learning and assessment activities contributes to the assessment construct for English learners. As opposed to thinking that English learners occupy two linguistic spaces – a home language and a second language – English learners occupy a third linguistic space that incorporates elements from the home language and the second language. The English learners' lived experiences in this linguistic third space represent a social activity between bilinguals with shared languages that revolves around natural interaction occurring in schools, homes, and communities. Otheguy, García, and Reid (2015) define this phenomenon as the full idiolect or linguistic repertoire of English learners.

To summarize, classroom assessment is a student-driven dynamic process that is often interchangeable with and indistinguishable from instruction. In classrooms where linguistic and cultural relevance prevails, every student is viewed as a learner with inherent strengths and teachers are advocates who leverage each student's assets to gently push their learning forward. Assessments that are based on assessment as learning (centering on student-student interaction), assessment for learning (highlighting student-teacher relationships), and assessment of learning (fostering teacher collaboration with student input) converge in forming a dynamic and inclusive assessment system

(Gottlieb, 2016, 2021a, 2021b). In addition, assessments that take place multiple times over a given period of instruction; that accept a student's full linguistic repertoire; and that are multimodal, not only provide useful information on content acquisition but also contribute to the learning process. A summary checklist of attributes of linguistically and culturally sustainable classroom assessment is included as an attachment in this proposal.

(1) The project goals, objectives, and outcomes to be achieved by the proposed project are clearly specified and measurable.

The project goals and objectives have been delineated in the section below. The ultimate project outcome is that educators and families will be provided with accurate and relevant information that can inform instruction, regarding what English learners know and can do in third, fourth and fifth grade science. This will be achieved via the development of a formative academic assessment, in the domain of science, which is performance-based, multilingual and multi-modal, and which considers the full linguistic repertoire of English learners in the teaching, learning and assessment process. The proposed assessment activities will be accomplished through four clearly specified and measurable goals, each informed by research, which together work to build out the final assessment instrument. Three additional goals and objectives are included that relate to the project planning and management; project dissemination and outreach; and project evaluation.

Additional information for each of the first five project goals and objectives is provided below. Moreover, associated outcomes are included for each of the four objectives. Goal 6 will be addressed in the project management plan and goal 7 will be addressed in the evaluation section.

Goal 1: Develop score reporting mechanisms that improve the utility of information about student performance that provides better and more timely information to educators and families

Objective 1.1. Conduct focus groups with up to 60 NC third, fourth and fifth grade science educators to understand how teachers use classroom assessment data to differentiate instruction for English learners

Objective 1.2. Conduct focus groups with up to 60 parent and guardian representatives to understand what parents and guardians of English learners want to know about what their children know and can do in upper elementary school science

Objective 1.3. Conduct focus groups with up to 60 third, fourth and fifth grade ELs to understand what students want to know about what they know and can do in science

Objective 1.4. Based on analyses of focus groups, develop a score report template that is responsive to the needs of parents and guardians of English learners

The project team will work to recruit representatives from the three groups outlined above to support of score reports that are valid and meaningful for educators, families, and students. We will work to create a focus group protocol that includes collaborative think-aloud reviews of current representative score reports from assessments used in NC schools, and will elicit interpretations, concerns, and impressions of score reports. Our focus group protocol will also probe what kind of information is most important to each of these three stakeholder groups.

Using open coding and emergent themes, CAL's qualitative research team will analyze and synthesize the input of the focus groups. Our goal is to work toward a score report that allows for interpretations that are meaningful, decisions that are values-sensitive and equitable, and consequences that are beneficial (CAL validation framework, Levels 1 & 2). Based on the

findings of CAL's analysis, CAL will craft specifications and criteria for score reports that meet the needs of students and their parents and guardians, and CAL will draft a score report template that meets these criteria.

Objective 1.4. Pilot test score report mockups with stakeholder focus groups

After the design of the score report, we will engage in iterative pilot testing and revision of the score report template, using mockup data, to understand the degree to which our proposed score report provides meaningful, useful, and interpretable information to MLL students and their families. We propose three rounds of examination and review.

Outcomes: Outcomes of Goal 1 will be a pilot-tested and validated score report template that includes information about what students know and can do in upper elementary school science, and that provides meaningful and timely information to educators, families, and students.

Additional outputs will include a written technical report on the methods used to develop and validate the score report.

Goal 2: Produce a classroom rubric that can be used with the range of multilingual and multimodal strategies that upper elementary students use to express science knowledge.

Multilingual students may express their science knowledge in multilingual and multimodal ways. For instance, a student may incorporate translanguaging within a written response, relying on English vocabulary learned in the classroom for technical concepts, alongside home language to express, for instance, causal relationships between phenomena. Or a student may express a complex physical process, such as the carbon cycle, using a graphic approach. Students may also demonstrate their mastery of content knowledge through self-assessment activities, group activities, peer assessments, project-based activities in addition to

other type of activities. Understanding the breadth of student strategies for expression is critical to producing assessment tools that can measure across these strategies.

To accomplish this goal, we will collect examples of student work, analyze the data using quantitative and mixed-method methodologies, and produce a comprehensive schema of student response types. Working from this schema, we will develop, pilot, refine, and validate an extensible rubric that can be used by teachers to assess classroom outputs. The rubric is extensible in the sense that it can be extended for use across any science standards.

Objective 2.1. Collect examples of work in science from up to 100 English learner students

Data collection for goal 3 will involve sampling across multiple dimensions to ensure that we collect sufficient tokens of student work product to understand the breadth of students' strategies for expression. We will construct a corpus of tokens of student classroom work that is representative across classrooms and districts, that samples across multiple standards, and that includes students at varying levels of English language proficiency, and from diverse language backgrounds. A key element of this data collection will include, for each example of a student work product, the collection of the standard(s) that the educator has planned the work to align to. To ensure a comprehensive sampling of standards across the curriculum, we will sample across a full school year.

Objective 2.2. Analyze examples and produce a comprehensive schema of response types from up to 100 students

Based on the data collected under objective 2.1, we will first conduct a pilot analysis to examine the types of multilingual and multimodal strategies that students use to express their science knowledge. Based upon the initial analysis, we will construct a schema of types of multilingual and multimodal strategies. We will then test the application of the schema across a

larger dataset, refining and revising the model. The next step will be to code the entire dataset for multilingual and multimodal strategy type.

Objective 2.3. Develop an extensible rubric that collects information on science performance and on the language and modality of the performance.

Once we have completed the step of coding the student work product data set for strategy types, we will work with trained science teachers to understand the student work in terms of understanding and performance with respect to the science content. We will develop a rubric scale for students' performance on science concepts that can be used across multiple multilingual and multimodal communication strategies, focusing on the degree to which students were able to demonstrate understandings as required in the relevant science standards. We will invite the teachers to rate a subset of the dataset, with each token in the subset double-rated and then we will examine inter-rater agreement rates. We will engage in up to three rounds of rubric revision and rater testing at this phase. At the end of this phase, we will have both a draft rubric and also a rated dataset with which to support further analyses.

Objective 2.4. Pilot and refine the rubric

Once the initial rubric is developed, we will work through a series of rigorous steps to pilot and refine the rubric so that it can be used easily by classroom teachers.

The first step will be to identify exemplars of student work across (a) each of the rubric scale points, and for each scale point, (b) across each of the multilingual and multimodal strategy types that we have identified. These exemplars will be key training materials to support apprenticing teachers into using the rubric.

Next, we will construct a short training on how to use the rubric. This training will be pilot-tested and refined with a group of novice raters. The novice raters will then be invited to

review and rate the previously coded dataset of student work tokens. Subsequent to gathering this data, we will examine rates of novice rater agreement with the previously coded dataset. We will also collect feedback on the training and on the ease of use of the rubric.

After pilot testing, we will conduct a final revision of the rubric. Additionally, we will use the identified exemplars and the tested training materials to produce a training packet for using the rubric, including a video-recorded training.

Outcomes: Outcomes of Goal 2 will include:

- (i) A validated rubric for classroom outputs that provides information about a students' performance relative to a particular science standard and provides information about the multilingual and multimodal strategies that the student employed.
- (ii) A set of high-quality tested materials to train teachers on how to use the rubric.

Goal 3: Develop a set of standards-aligned science tasks

The NCDPI science standards are grouped into seven areas: (1) Forces and motion; (2) Matter – Properties and Change; (3) Energy – Conservation and Transfer; (4) Earth in the Universe; (5) Earth Systems, Structures and Processes; (6) Structures and Functions of Living Organisms; and (7) Ecosystems. We will collaborate with the Project PI in identifying teachers who offer science instruction to English learners in developing and aligning tasks to science standards in these seven areas for each of the grade levels.

Objective 3.1. Develop a set of up to 35 performance tasks for each grade level aligned to selected NC state science standards.

- Our team will collaborate with Project PI in identifying teachers to participate in developing tasks aligned to the state science standards in collaboration with project staff.
- Teachers will receive an orientation on the project purpose and goals.

- Teachers in collaborations with project staff prepare draft performance tasks.
- Performance task will be further refined by project staff and provided back to teachers to confirm acceptability.

Objective 3.2. Pilot test the performance tasks with up to 200 student participants

- Project PI and Co-PI will collaborate in creating criteria for selecting students to participate in the pilot test of the performance tasks.
- Project PI will collaborate with campus administrators and family in contacting students to participate in the pilot test activities.
- Project PI and Co-PI will collaborate with additional project staff and school personnel in addressing the logistics for piloting the performance tasks and conducting the pilot test.

Objective 3.3. Review pilot test results and revise the tasks

- Project PI, Co-PI, and project staff will finalize methodology for reviewing and analyzing pilot test data.
- Pilot test data will be analyzed using a mixed-method methodology.
- Pilot test result will be reviewed, interpreted, and utilized to modify performance tasks.
- Select educators and students will review revised performance tasks for acceptability.

The outcome for goal 3 will be a set of science-aligned tasks that will contribute to creating a performance-based e-portfolio assessment system in science for English students in 3rd grade through 5th grade.

Goal 4: Develop and validate an electronic portfolio process that draws upon multiple observations to provide an interpretable and meaningful score report

Goal 4 of our project design works to connect the individual rubric observations with the synthesized score report. The proposed project will also produce an e-portfolio for students to

engage with assessment tasks aligned to the states' science standards, for teachers to review the results of the student assessments to inform their instruction, and for the students' family members to engage with their children's academic activities, and receive information about students' performance across multiple observations. (See e-portfolio concept in the appendix.)

Objective 4.1. Develop an electronic portfolio protocol that draws upon multiple observations and provides an output aligned to the previously developed score report.

Our team will develop an e-portfolio that meets the following specifications:

- Project staff will collaborate with the I/T e-portfolio integration design team in all aspects of creating performance assessment activities such as focus groups, rubric development, performance task development, and all piloting, field testing activities, as well as planning meetings, including technical working group meetings.
- Project PI, Co-PI, and project staff in collaboration with I/T e-portfolio design team will develop specifications for the e-portfolio in areas related to the following features: input; output; data security; data integration processes; data storage; e-portfolio system maintenance, upgrades, and storage; data report content for multiple stakeholders; data report access for multiple stakeholders.
- The e-portfolio features will be piloted as part of the performance assessment pilot test and field test activities, including review by different groups including students, parents, guardians, and educators.
- Teachers and students will use the e-portfolio performance assessment system for multilingual and multimodal data entry and diversified access features according to stakeholders' interests and access parameters.

- The e-portfolio performance assessment system will have the capability to aggregate rubric scores and additional performance data across multiple observations to produce assessment results for individual students as well as groups of students.
- The assessment record will be integrated into a score report template based on the analysis conducted with parent, guardian, and student focus groups.

Objective 4.2. Pilot test classroom use of the e-portfolio with a sample of up to 10 teachers of English learners per grade level involved in teaching science per grade-level.

After the first round of development, we will conduct a small-scale pilot of the e-portfolio with up to 10 teachers per grade level, using data in the English learners' work product dataset. We will examine interrater agreement on both individual work products, and on the aggregated rubric observation scores. Based on usability feedback, we will refine the e-portfolio interface. We will use inter-rater agreement data to conduct final fine-tuning of the rubric and potentially of the score aggregation results.

Objective 4.3. Field test classroom use of the e-portfolio with a sample of up to 10 teachers per grade level involved in teaching science per grade level

Our project team proposes a year-long field test of the classroom e-portfolio, allowing teachers to collect multiple samples of each students' work. We will field test across approximately 10 ELs teachers per grade level, with each teacher collecting weekly observations from a total of up to 10 students. The field test sample will be constructed to sample across grade levels (3, 4 and 5), languages, and districts. The most common language among ELs students is Spanish at 75%. We will collect additional information on the students and teachers who participate in the field test, such as years of teaching experience, language backgrounds of the teachers, EL status of the students

(including former EL status), and for each student, for the prior academic year, their EL level (on the WIDA scale) and their level of performance on the state science assessment.

Objective 4.4 Analyze field test results and create validity report

Our field test analysis will aim toward developing a technical report to support the assessment validity. Elements of the analysis will include:

1. Fidelity of implementation – for each teacher-student pair, we will examine fidelity of implementation. Did the teacher capture the expected number of examples of student work products in the e-portfolio, and did the teacher enter valid observations?
2. Rater review – for a sample of student work product, the expert team who developed the rubric will serve as a “read-behind” team and re-rate the student work product. We will review and report interrater agreement statistics for this sample.
3. Quality control for aggregate scores – we will conduct an end-to-end replication of the aggregation of scores for a subset of student observations to ensure that the performance assessment is correctly and accurately aggregating student progress.
4. Quality control for e-portfolio design integrity; fidelity of utilization; and consistency, accuracy, and reliability in data reporting among the different stakeholders.

Outcomes: Outcomes of goal 4 will be:

- A rigorously tested e-portfolio of student assessment performances, rated on a well-tested rubric and related student data and aggregates these performances to produce stakeholder related reports that are meaningful and useful.
- A technical report to support the design, useability, reporting and validity of the e-portfolio.

- (1) The proposed project is part of a comprehensive effort to improve teaching and learning and support rigorous academic standards for students.

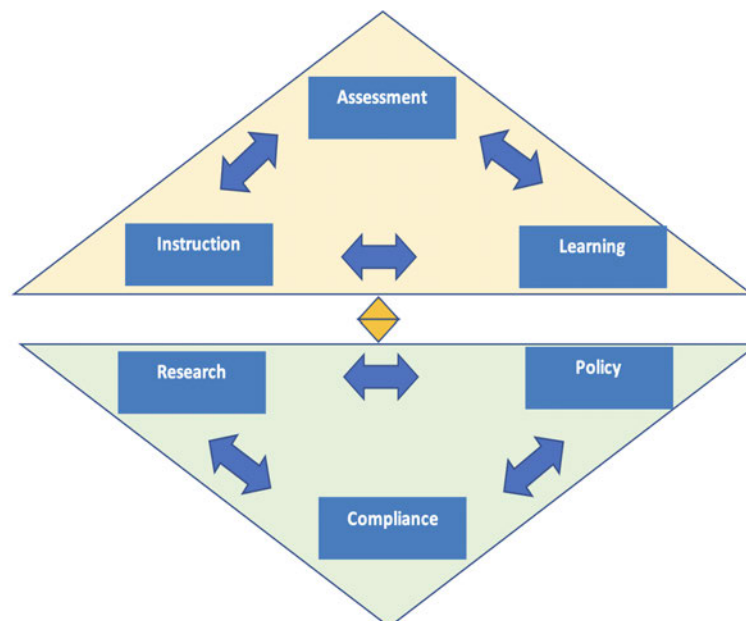
The proposed project will result in an English learner performance-based e-portfolio inventory that is supported by the North Carolina Department of Public Instruction (NCDPI) experience with previous online assessment efforts such as LinguaFolio, an online assessment for World Languages and English learners and with additional student assessment efforts at the state and local school district efforts. The proposed English learner assessment system will be performance-based, which will allow students to participate in assessment activities that will assess the level of content acquisition in science as well as provide a “learning by recall” opportunity for them while engaged in the performance-based science assessment activity. Concurrently, the performance-based science assessment activity will provide feedback to the teacher, who can use the feedback information to determine the extent to which each student and all students participating in the assessment have acquired the content presented by the teacher. The assessment system will further inform parents and/or guardians of the progress made by their child in acquiring the most recent science content that was taught, and to provide them the opportunity to reinforce the learning process at home, or to communicate with the child’s teacher to assist the teacher to better meet the learning needs of the child or to acquire additional information that can help them with the learning process at home.

The proposed performance-based assessment system for English learners will also aggregate data in the assessment system’s background that may be used by school researchers, policy makers and compliance staff in supporting the teaching, learning, assessment process by planning professional development opportunities for teachers, reviewing and revising the science

curriculum, and revising policies and activities that improve communication between educators and the parents and/or guardians of English learners.

Further, the proposed English learner performance-based assessment system will be aligned with the strategies outlined in the Secretary's Supplemental Priorities and Definitions for Discretionary Grant Programs (Supplemental Priorities), which include developing and implementing high-quality assessments of student learning (for example, curriculum-aligned and performance-based tools aligned with State grade-level content standards and, for career and technical education, relevant industry standards) and strategies that allow educators to use the data from assessments to inform instructional design and classroom practices that meet the needs of all students and providing high-quality professional development to support educators in implementing these strategies.

The graphic below represents the how the interactions created by the proposed English learners' performance-based e-portfolio system will contribute to a comprehensive effort to improve teaching and learning and support rigorous academic standards for students.



(2) The extent to which the proposed project demonstrates a rationale (as defined in this notice).

In general, the rationale for the proposed English learner performance-based e-portfolio assessment system is informed by the U. S. Department of education guidelines that “recognizes the importance of high-quality assessment systems, which include diagnostic, formative, interim, and summative assessments that are valid and reliable for the purposes for which they are used and that provide relevant and timely information to help educators, parents or caregivers, and policymakers support students at the student, classroom, school, and system levels.”

Further, the rationale for the proposed performance-based assessment system is based on the absolute priority, the competitive priority and invitational priority as defined by grant announcement ALN84.368A and by the significance and needs for this project described in the “Significance” section of this narrative section. The priorities informing the rationale for this project are provided below.

- (ALN) 84.368A Absolute Priority 1: Measuring student academic achievement using multiple measures of student academic achievement from multiple sources.
- (ALN) 84.368A Competitive Priority: (a) Propose projects, in consultation with organizations representing parents (including parents of English learner s and parents of students with disabilities), students, teachers, counselors, and school administrators to address needs related to score reporting and improve the utility of information about student performance included in reports of assessment results and provide better and more timely information to educators and parents.
- (ALN) 84.368A Invitational Priority: Supporting effective instruction and building educator capacity by developing and implementing high-quality assessments (as defined

in the Secretary's Supplemental Priorities 6) student learning for example, curriculum-aligned and performance-based tools aligned with State grade level content standards.

Moreover, the proposed assessment system rationale is supported by Section 1203(b)(1)(A) of the ESEA that identifies the following allowable uses for funds under CGSS – (1) developing or improving assessments for English learners and (2) measuring student academic achievement using multiple measures of student academic achievement from multiple sources

Goal 5. Disseminate project activities and outcomes

Goal 5 addresses the requirements to create a dissemination plan and to present on the project assessment activities in at least three national education conferences during the project period.

Objective 5.1 Present project assessment activities at national education conferences

Project staff are active members of national professional organizations such as National Association of Bilingual Education (NABE); TESOL; AERA special interest groups such as the Second Language Research SIG and the Bilingual SIG and will use their affiliations and experience in these organizations to submit proposals to present in their annual conferences. In addition, project staff also have experience presenting at the National Association of English learner Administrators (NAELPA) and La Cosecha annual dual language conference, which will facilitate preparing proposals for presenting at their annual conferences. Staff will also consider applying for presentations at the CCSSO Annual National Conference on Student Assessment and the annual WIDA assessment conference.

Objective 5.2 Create project website

The project PI and the Co-PI will collaborate in creating a project website that will provide a description of the project as well as updates to project activities. The project website

will also provide project related information on English learners formative assessment, alternative assessment, and performance-based information from diverse sources such as journal articles, conference presentations, webinars, blogs and additional virtual sources.

Objective 5.3 Create project branding & outreach materials

Project staff will create outreach materials focusing on project activities targeted to stakeholders specific to the proposed project. The materials will mostly be presented in a digital format tailored to the specific stakeholders, such as parents, guardians, students, and educators. Outreach materials will also be created targeted for a non-project specific audience. The digital outreach materials for this group will provide general project updates as well as information on formative assessments, alternative assessments, and performance-based assessments for English learners. The outreach materials may include webinars, blogs, fact sheets, infographics, etc.

The outcome for this goal five will consist of digital materials in different formats to be used with local project stakeholders and disseminated through the project's outreach activities to educators nationally who are interested in diverse forms of assessments for English learners and in science education in the primary grades.

(C) QUALITY OF PROJECT SERVICES

(1) Project services ensuring equal access and treatment for eligible project participants who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability. (10 points)

The proposed performance-based assessment system for English learners will provide an opportunity for all members of groups that have been traditionally underrepresented based on race, color, national origin, gender, age, or disability. The proposed assessment will be developed and implemented with the same documented processes and procedures as those North Carolina

adheres to for its statewide assessments. This includes processes that ensure universal design and accessibility by all students, including students with disabilities and English learners.

As required for this grant competition under (ALN) 84.368A, the NCDPI addresses the requirements for testing of children with disabilities as provided in the North Carolina General Statute §115C-174.12 that states, “(a) . . . The State Board of Education’s policies regarding the testing of children with disabilities shall: (i) provide broad accommodations and alternate methods of assessment that are consistent with a student’s Individualized Education Program and Section 504 (29 U.S.C. § 794) plans....” State Board of Education (SBE) policy TEST-011 states that “students identified as English learners shall participate in the statewide testing program using either the standard test administration or the standard test administration with accommodations.”

The local education agency (LEA)/charter schools will be provided an opportunity to select eligible students, including those identified as students with disabilities or English learners who have the appropriate documentation to participate in the proposed project. To ensure communication of the appropriate procedures, the North Carolina Department of Public Instruction (NCDPI) publishes the Testing Students with Disabilities and Guidelines for Testing Students Identified as English Learners documents annually.

Individualized Education Program teams and English learner teams/committees must review these publications before making decisions about testing accommodations for students identified as students with disabilities and English learners. Districts and charter school test coordinators must train local staff on the material in these documents and disseminate any subsequent published supplements or updates to these publications that provide additional

information for decision making in testing students identified as a student with disabilities or an English learner.

Among the accommodations students with disabilities may need are (a) special print versions, (b) assistive technology devices/special test arrangements, and/or (c) a special test environment. A student may require the combined use of any number of these accommodations to obtain access to a given test. Accommodations designated for the tests should be consistent with accommodations used routinely during classroom instruction and similar classroom assessments.

The state accommodations available for English learners are (1) Word-to-Word Bilingual (English/Native Language) Dictionary/Electronic Translator, (2) Multiple Testing Sessions, (3) Scheduled Extended Time, (4) Testing in a Separate Room, (5) Student Reads Test Aloud to Self, and (7) Test Read Aloud (in English). Use of the Test Read Aloud (in English) accommodation during the administration of a state test that measures reading comprehension invalidates the results from the test.

(2) The extent to which the services to be provided by the proposed project are appropriate to the needs of the intended recipients or beneficiaries of those services.

The NCDPI and CAL are proposing a performance-based e-portfolio assessment system that addresses the assessment and content achievement needs of more than 131,247 English learners in North Carolina public schools and over five million English learners nationwide. The narrative under the “Significance Section” above provides support for the appropriateness and relevance of the proposed project in meeting the needs of English learners. In summary, the proposed performance-based assessment system addresses the need for an improved assessment

tool that provides relevant information to educators, and family members about their achievement in content areas.

The data provided above in the proposal “Significance” section, show that English learners in North Carolina Public Schools consistently perform lower on state standardized content tests than their non-English learner peers. For example, for grade five end-of grade science scores, 81.6 percent of English learners performed at the “not proficient” level compared to only 29.4 percent of the White student group and 46.1 percent of all students participating in the test. The evidence presented above also strongly suggests that the use of a multilingual-multimodal formative assessment type test in science provides timely and useful information to educators and the family members of English learners to assist them in support with content knowledge acquisition.

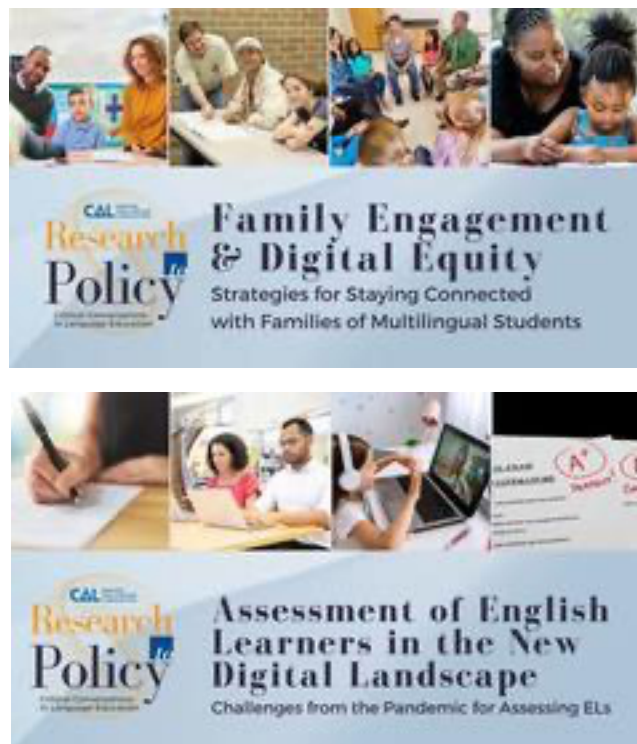
Moreover, the utilization of an e-portfolio framework to support the performance-based assessment system will make it possible to engage the students in assessment for learning activities. It will also provide tailored, timely, and useful information to teachers, other educators and family members to assist students in their acquisition of science content by improving instructional strategies. The proposed e-portfolio framework will also yield tailored reports to different stakeholders to allow them to enhance professional development opportunities for teachers and family members, and changes to the curriculum and policies.

(2) The project provides training or professional development services that are of sufficient quality, intensity, and duration to improve the practice among the project recipient of services.

In providing professional development opportunities to educators and family members that are of sufficient quality, intensity, and duration to improve the practice among the

project recipient of services, the Project PI and Co-PI will collaborate in developing professional development activities for the family members English learners participating in this project, as well as for students and educators. As a starting point, the project principal investigator and NCDPI Science Expert will collaborate with the CAL Co-PI and CAL project staff in using the NCDPI ELD Family/Caregiver Guide in unpacking and mapping appropriate sections for connections with the proposed family member professional development activities. for family members. The project principal investigator and the Co-PI will identify professional development resources for proposed project participants from among the myriad of project related resources already available through the Center for Applied Linguistics.

Below is a small sample of webinars available from CAL that can be used for the purpose of professional development activities in the proposed project.





In addition to the sampling of CAL webinars above, CAL offers a repository of documents that will be made available or adapted for professional development activities related to this proposed performance-based assessment project for English learners.

- **Ask a Test Developer**

This commentary provides answers to frequently asked questions about test development from CAL's assessment specialists. Topics covered include fairness and item refreshment with takeaways for consideration when developing language proficiency tests.

- **Culture, Language, and Learning in the Age of the Diversity Explosion**

This commentary addresses key challenges educators face in understanding the social, cultural and linguistic backgrounds of the children they serve. Select resources for developing and maintaining culturally responsive schools and classrooms are provided.

- **Ensuring Fairness in Language Proficiency Assessments: Q&A**

The document addresses the importance of ensuring that language proficiency assessments are bias-free, and the steps that are taken to ensure that tests measure students' language proficiency in a way that is fair to students who are diverse across language, culture, ethnicity, gender, and physical ability. These considerations help ensure that CAL's assessments are fair, valid, and reliable.

- **Translanguaging: Theory, Concept, Practice, Stance... or All of the Above?**

This CAL Commentary from CAL staff person, Marybelle Marrero-Colón, examines emergent practices, debates, and examples of translanguaging in the classroom and highlights the educational advantages and benefits of translanguaging in multiple contexts: dual language immersion, English as a Second Language, and more!

- **Dual Language Education - Answers to Questions from the Field**

This CAL commentary provides an orientation and a brief description of one-way and two-way dual language programs. The authors of this brief travel across the country providing professional development, technical assistance, and job-embedded support for dual language educators and administrators. This brief was written to respond to some of the most frequently asked questions they encounter from the field.

- **Foundations of Dual Language Education: Principles of Successful Bilingual Programs**

This 90-minute webinar provides an overview of how using CAL's highly acclaimed Guiding Principles for Dual Language Education, 3rd edition, provides information on improving DL programs to ensure bilingualism, biliteracy, high academic achievement and sociocultural competence for emergent bilingual students.

A CAL blog created by Dr. Margo Gottlieb also will serve as a further resource for professional development activities for the proposed project educators and family members of English learners. Among the topics discussed in the blog dealing with assessment issues for English learners are included: (1) “Should we expand or diminish the role of assessment for multilingual learner?” (2) How can we offset “COVID slide” for multilingual learners through classroom assessment?” (3) “Should multimodalities be incorporated into testing and assessment for multilingual learners?” (4) “Is it counterintuitive to assess in multiple languages when accountability rests in English?”

In offering opportunities for professional development related to this proposed project, the Project PI and C0-PI will review CAL’s repository of professional development resources and match them with professional development activities to be offered and resources to be made available.

(D) ADEQUACY OF SERVICES

The proposed project has developed a workplan and budget that are reasonable in relation to the number of participants served and of the anticipated benefits and results. The proposed workplan addresses the needs of more than 131,247 currently identified English learner students in North Carolina Department of Public Instruction schools. Through the project dissemination proposed website, presentation and outreach activities, project staff will also provide information on the project’s activities and results to educators who are meeting the needs of over 5 million English learner students nationally.

The approach identified for improving assessment reporting information by creating an e-portfolio assessment to use with English learners in dual language programs and in science classrooms that incorporate content language approaches for teaching is supported by studies that

indicate that formative in its different forms can produce positive results for English learners. Furthermore, the proposed project focuses on an area of need for English learners in science instruction where 81.6% of English learners scored “not proficient” in the State’s Grade five End-of-Grade Science Test Performance. NAEP 2019 national results in science also provide evidence that Els nationally are performing at the lowest level in science.

In addition, the Center for Applied Linguistics’ capacity in the area of test assessment and in supporting schools through English learner professional development and technical assistance activities brings an efficiency to planning and implementing the proposed project activities. This is also the case for the NCDPI that has a built-in infrastructure for supporting schools with English learner programs and that has prior experience in developing and utilizing online assessment solutions like “Linguafolio” that is used primarily with world language and English learners.

(E) QUALITY OF MANAGEMENT PLAN

(1) The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines, and milestones for accomplishing project tasks.

The North Carolina Department of Public Instruction (NCDPI) will be the fiscal agent for the proposed project and will team with the Center for Applied Linguistics (CAL) in addressing (1) the ALN 84.368A absolute priority #1; (2) the competitive priority for addressing needs related to score timely and useful score reporting to educators and English learner family members; and (3) the invitational priority for supporting effective instruction and building educator capacity by developing and implementing high-quality assessments.

The project's principal investigator will be an NCDPI staff person who has experience in monitoring and supporting programs for English learners within the state's school districts and in the development of portfolio assessments for English learners. Between 2009 and 2018, the proposed principal investigator was the Co-lead for LinguaFolio with the world languages consultant, Dr. Ann Marie Gunter. During this period, she helped develop the ESL version of LinguaFolio and related professional development modules. The proposed project will also support a senior advisor in science with experience working with dual language programs and who monitors and supports services in science programs in school districts throughout the state.

The NCDPI will team with the CAL in addressing the proposed assessment project priorities stated above. The CAL project lead will be the project Co-PI. The Project Co-PI has ample experience with test development for English learners and experience in providing technical assistance and professional development services at local, regional, and national levels. The CAL Co-PI will be joined by CAL staff also with experience in test development activities for English learners.

The NCDPI and CAL teams will collaborate in all aspects of developing the proposed performance-based assessment e-portfolio. All design, planning, development, pilot testing, field testing, professional development and dissemination will be performed collaboratively and all final decisions in these areas will be reviewed and approved by the NCDPI PI in a timely manner before the activities are implemented or finalized.

The NCDPI and CAL assessment development teams will each have clear and defined primary responsibilities in the planning and implementation of the project to achieve the objectives, goals, and outcomes of the proposed project within an agreed-upon timeline and budget.

The NCDPI has teamed with CAL in the proposed assessment development effort because of CAL's history, experience, and expertise in developing assessments for English learners at the Pre-K, primary, secondary, and adult education levels. For more than 20 years, CAL has provided exemplary support in assessments for English Learners. These include: 1) the Wisconsin Center for Education Research (WCER) for the WIDA assessments; 2) New York State Department of Education for the New York State English as a Second Language Achievement Test (NYSESLAT) speaking test; and 3) the BEST Plus and BEST Literacy Assessments for adult English learners. As the test development partner for the WIDA suite of assessments, CAL provides support for the EL assessment used by 40 states, two territories, the District of Columbia, the Department of Defense Schools, and the Bureau of Indian Education. CAL also has over ten years of experience in developing classroom level assessments for us in world language classrooms.

CAL continues its ongoing relationship with the WIDA Consortium, serving as the test developer for ACCESS for ELLs, a high stakes English proficiency assessment administered annually to +2 .1 million students across 40 states. CAL's success in the area is characterized by events such as the following:

- Participating in external reviews by WIDA and four State Education Agencies ensure that ACCESS maintains the highest quality. In 2019, CAL passed the review averaging nearly 100% pass rate of the criteria reviewed.
- Creating print and digital content for the 2019–2020 ACCESS included hundreds of thousands of printed tests, 350 new items & tasks, +1,000 original graphics, +500,000 lines of code.
- Conducting field tests for the new WIDA Screener for Kindergarten.

- Completing the initial development of a new speaking task for an online assessment and conducting a related field test.

CAL's staff demonstrates its mastery in assessment development through their participation in conferences, presentations, and panel participations such as those below:

- Participating in an expert panel recommending updates to the WIDA alternate performance definitions for students with the most profound cognitive disabilities.
- Understanding young learners' spoken academic language development through analyzing oral proficiency test responses.
- Using multistage testing to enhance measurement of English language proficiency.
- Task and rubric design for assessing professional communication in writing.
- Evidence-based model for classroom assessment development.

While CAL has extensive experience in assessment development for English learners, NCDPI also has assessment development experience, especially in formative assessments. Previously, NCDPI participated in the development of online NC Falcon professional development modules for a formative assessment system. It also participated in the development of LinguaFolio for use in world language classrooms and on an online version for world language education and for English learners. This NCDPI experience and resources will also be used to inform the proposed formative assessment project. Some of the resources, for example, that may be referenced will be NCDPI professional development modules in formative assessment. Currently, the NCDPI has access to professional development modules in formative assessment such as the following.

- Importance of Formative Assessment—An introduction to formative assessment and its role in North Carolina's 21st century balanced assessment system.

- Collecting and Documenting Evidence—An exercise in collecting and documenting evidence of learning to help students answer the question, Where am I now?
- Analyzing Evidence and Descriptive Feedback—An exercise in analyzing evidence and providing descriptive feedback to help students answer the question, how do I close the gap?

The NCDPI PI and CAL Co-PI will meet on a weekly basis to address the project status, determine progress on project activities, address challenges and confirm plans for the following week activities. The proposed project is planned as a joint effort between the NCDPI and CAL. Therefore, planning and implementation of project activities will involve staff from both organizations. While the NCDPI PI will primarily serve as the facilitator for implementing the proposed project activities, the CAL Co-PI and respective staff will primarily serve as the implementers of the project activities. The timeline below will guide the weekly PI and Co-PI discussions in managing activities and resources for the project.

Timeline: Project Goals and Objectives	Year 1				Year 2				Year 3				Year 4			
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Goal 1: Create reports on student ability for teachers, families & students																
Recruit participants for Focus Groups	x															
Create protocols for Focus Groups	x									x	x					
FG with educators		x								x	x			x	x	
FG with families		x								x	x			x	x	
FG with MLL students		x								x	x			x	x	
FG analysis & results		x								x	x			x	x	
Create draft reporting template			x	x	x											
Pilot test reporting template; can teachers use it?				x	x	x	x									
Revise/refine				x										x	x	x
Goal 2: Rate MLL student science multilingual & multimodal performances																
Collect examples of MLL science student work			x	x	x											
Develop a schema of student response types				x	x											
Develop an extensible rubric				x	x											
Revise/refine rubrics						x	x	x						x	x	
Goal 3: Develop standards-aligned science tasks																
Standards analysis			x	x												
Develop task specifications				x	x											
Develop tasks					x	x										
Pilot tasks using rubric							x	x								
Refine tasks								x	x	x					x	x
Goal 4: Combine template, tasks & rubric into an electronic portfolio solution																
Develop an electronic portfolio solution			x	x	x											
Pilot test the electronic portfolio						x	x	x								
Field test the electronic portfolio								x	x	x						
Analyze field test results											x	x				
Revise/refine e-portfolio solution														x	x	x
Goal 5: Dissemination																
Present at National Conference			x		x		x		x		x			x		x
Create maintain Project Website			x	x	x	x	x	x	x	x	x	x	x	x	x	x
Create outreach materials		x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
Goal 6: Goal Evaluation																
Evaluate T behaviors											x	x	x	x		
Evaluate construct validity											x	x	x	x		
Evaluate rater reliability											x	x	x	x		
Evaluate S and family response											x	x	x	x		
Goal 7: Project Planning																
Kickoff & planning w NC	x															
Coordinate project activities with NC Staff		x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
Meet with Technical Working Group Quarterly				x			x				x				x	

- (1) The extent to which the time commitments of the project director and principal investigator and other key project personnel are appropriate and adequate to meet the objectives of the proposed project

The NCDPI and CAL will allocate adequate time for the Principal Investigator and the Co-Principal investigator, who will also serve as key personnel for the project. The additional personnel and staff positions shown in the table below are not key personnel in the project but will serve on the project for the percentage of time shown.

Proposed Project Staff	% Time Year 1	% Time Year 2	% Time Yr. 3	% Time Yr. 4
Ivanna Mann Thrower Anderson, PI-NCDPI	20%	20%	20%	20%
Charles Aiken, Sr. Science Expert -NCDPI	20%	20%	20%	20%
Keira Ballantyne, CO-PI - CAL	46%	39%	30%	36%
Justin Kelly, Internal Sr. Advisor - CAL	4%	4%	4%	4%
Project Manager - CAL	51%	50%	50%	50%
Sr. Research Associate - CAL	44%	39%	22%	27%
Research Associate 1 - CAL	49%	38%	31%	37%
Research Associate 2 - CAL	36%	33%	26%	32%

The proposed project Principal Investigator, Ivanna Mann Thrower Anderson, currently serves as Education Consultant II (ESL/Title III) in the North Carolina Department of Instruction (NCDPI). In this capacity, Ivanna provides results-driven program administration, leadership, and technical assistance for K-12 English as a Second Language (ESL) programs and English Learner (EL)/Multilingual Learner (ML) and Dual Language/Immersion (DL/I) services. Ivanna has an MA in Teaching with a concentration in teaching English as a second language, from the

School for International Training, Brattleboro, VT. She also received a Certificate in Language Immersion Administration from East Carolina University, Greenville, NC. Relevant to the purpose of this proposal, Ivanna has worked on the development and support for the NCDPI formative assessment tools, including the NC FALCON professional development modules and the LinguaFolio student portfolio and online system. Among her responsibilities during her tenure in her current position are the following:

- Oversee Title III compliance including monitoring, guidelines, statutes, applications, and budgets
- Enhance data procedures for usability, collection, and corrections for the NCDPI Consolidated Federal Data Collection platform through the development of a detailed user handbook and the Record Change Request (RCR) process, leading to improvement in statewide EL data reliability
- Collaborate internally: accountability, federal programs, Implementation Science, MTSS, Socio-emotional learning, ESSA team, Special Education, academically gifted
- Organize and offer technical assistance for WIDA English Language Development (ELD) standards adoption, implementation, and ongoing support
- Develop technology-integrated professional learning: Canvas courses, webinar series, virtual training materials
- Evaluate programs and render technical assistance to districts and schools related to ML and DL/I education including enhancing understanding and development of two-way DL/I programs to close the achievement gap for English learners.

The proposed project Co-PI, Dr. Keira Ballantyne, is a discourse analyst and applied educational linguist, who currently serves as CAL Vice-President for Programs and

Development. Previously, Keira served as the Director of Quantitative Research Operations at the Center for Applied Linguistics, where she managed the day-to-day work of a team of 10, under the direction of the Senior Director for Psychometrics and Quantitative Research. Keira has participated in and managed a variety of diverse mixed methods projects in the field of educational linguistics. These include: research on language acquisition outcomes in a high school study abroad program (Ballantyne, Ballard, Ghanim, Louguit & Wei, 2018); research on formative assessment of reading for English learners in middle school classrooms (DiCerbo, Ballantyne & Rivera, 2017); analysis of risk and preventative factors for Latino/a student graduation rates (Ballantyne & Rivera, 2014); research on academic outcomes for second language learners in International Baccalaureate programs (Rivera, Tressler, McCreddie & Ballantyne, 2014; Ballantyne & Rivera, 2014); analyses of federal data collections on English language learner with disabilities (Ballantyne, 2013). She has published in Sage Research Methods on how to conduct mixed methods research.

Keira additionally has a strong background in professional development for teachers. She served as a teacher educator and internal evaluator for the George Washington University's US Department of Education funded TELL certificate program, serving teachers in rural communities in Maryland and Virginia in a program leading to ESL certification. From 2008-12 she was the Associate Director for Professional Development with the National Clearinghouse for English Language Acquisition, a US Department of Education funded research clearinghouse.

Keira's early research work was in the field of discourse analysis and her dissertation focused on discourse structures in narrative in Yapese, an indigenous language of the Pacific. She has also served as an ESL instructor in vocational and union apprenticeship programs.

The following proposed staff and project positions are not offered as key personnel; however, they will be instrumental in assisting the Project PI and Co-PI in the planning and implementation of the proposed project.

Dr. Charles Akin, currently a Section Chief, NCDPI, will serve as a Senior Science Expert in assisting with the planning and implementation of the proposed project activities. Charles has a doctorate in Educational Leadership from the University of North Carolina at Chapel Hill. Charles also is an Assistant Teaching Professor at East Carolina University where he offers courses related to dual language education and school leadership. Previously, Charles has served as a school district Chief Academic Officer, an executive director for middle school and Title III instruction, a school level principal and as a secondary education teacher. Among his current responsibilities are the following:

- Lead and support statewide implementation of the NC Standard Course of Study and standards in the areas of Math, Science, and STEM
- Lead the research, review, and revision of the NC Standard Course of Study for Math and Science
- Facilitate and coordinate professional development in the areas of Math, Science and STEM for teachers, school leaders, district leaders and for other agency partners.
- Coordinate efforts with other curriculum areas including English Language Arts, Social Studies, English/Multi Language programs as well as other NCDPI department agencies such as Federal Programs, Accountability, Career and Technical Education.

Dr. Justin Kelly will serve as a CAL Internal Advisor. Dr. Kelly will provide technical review and assistance to the design and development of the proposed project. Currently, Justin serves as the Senior Director for the Language Assessment Department at CAL, where he

oversees the development of the test materials and the integration of the test development team with other teams at CAL and with external partners. Justin has over seven years of experience managing all aspects of test development, from the development of test and item specifications, through the item development and review process, to the test validation phase.

Before coming to CAL, Justin was a test developer, test development manager, and the Director of Business Operations at Second Language Testing, Inc., where he worked on many high-profile projects such as the National Assessment for Educational Progress (NAEP), the Pearson Test of English, and several tests for the federal government. Dr. Kelly received his B.A. in Applied Linguistics and Spanish from the University of Maryland, Baltimore County and his M.S. and Ph.D. in Theoretical Linguistics from Georgetown University.

The proposed Project Manager (PM) will have graduate level work in project management, the education of English learners and experience with developing assessment tools. She will be responsible for the day-to-day administration of project activities and contribute to the different steps of development for the proposed assessment tool. This includes contributing to updating the project workplan, organizing pilot and field-testing activities, coordinating activities for the technical working group and for the project's Sr. Advisor consultants. The PM will also collaborate with the project evaluator consultant in implementing the project's evaluation activities. In addition, the PM will be responsible for preparing the required project reports, interim project reports and project updates.

The proposed Sr. Research Associate has done doctoral level work in Assessment, Evaluation and Accountability and has taught Kindergarten through 8th grade, as a bilingual/ESL and general education teacher. She is nationally board certified in English as a New Language Ages 3-12. Her accomplishments include developing the Nevada ELD Standards

Instructional Framework and Guidance documents for Science K-5 and Social Studies K-12. She will contribute to the project in conducting focus groups, developing assessment rubrics and assessment science tasks.

The proposed Research Associate I, has a background in language education and international studies in completing an MA degree in applied linguistics. She is currently an Associate Project Manager in CAL's Language Assessment Division, where she has worked on a variety of projects involving assessment, research, and professional development related to world languages, heritage languages, bilingual/dual language education, and English learners. For the proposed project, Jamie will assist with conducting focus groups, pilot testing, data collection data analysis and outreach activities.

The proposed Research Associate II has an M.A.T in TESOL and experience teaching at the elementary and middle school levels and has an MA in TESOL from the University of Georgia. Currently she works as a Language Testing Specialist where she has participated in diverse facets of language assessment activities. For the proposed project, she will assist with conducting focus groups, pilot testing, data collection data analysis and outreach activities.

In addition to time allocated to the proposed project by project staff, we also plan to utilize the services of senior assessment consultants to guide and assist in planning and implementing the proposed project activities. Dr. Margo Gottlieb has accepted to serve as one of the senior assessment consultants to the project. Margo is a co-founder of WIDA and has devoted her professional career to improving educational opportunities for English learners, their teachers, and other educational leaders. Over the years she has been a language teacher and coordinator, a bilingual facilitator, a director of assessment and evaluation, and a consultant to school districts, states, publishers, governments, universities, and organizations in the areas of

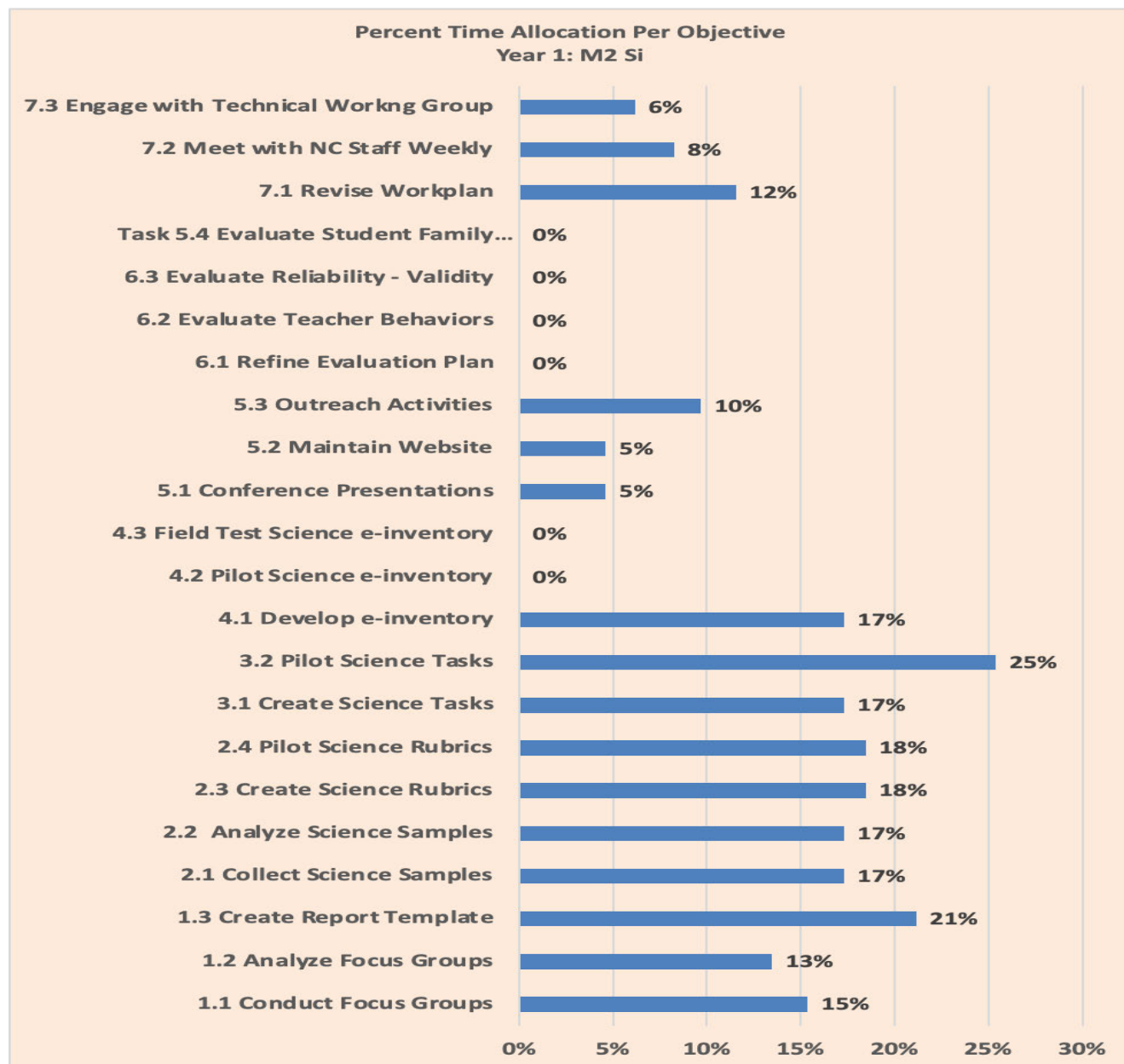
educating and assessing multilingual students. Additional consultants with expertise in multilingual assessment and formative assessment will be invited to serve as consultants, in the same capacity as Dr. Gottlieb.

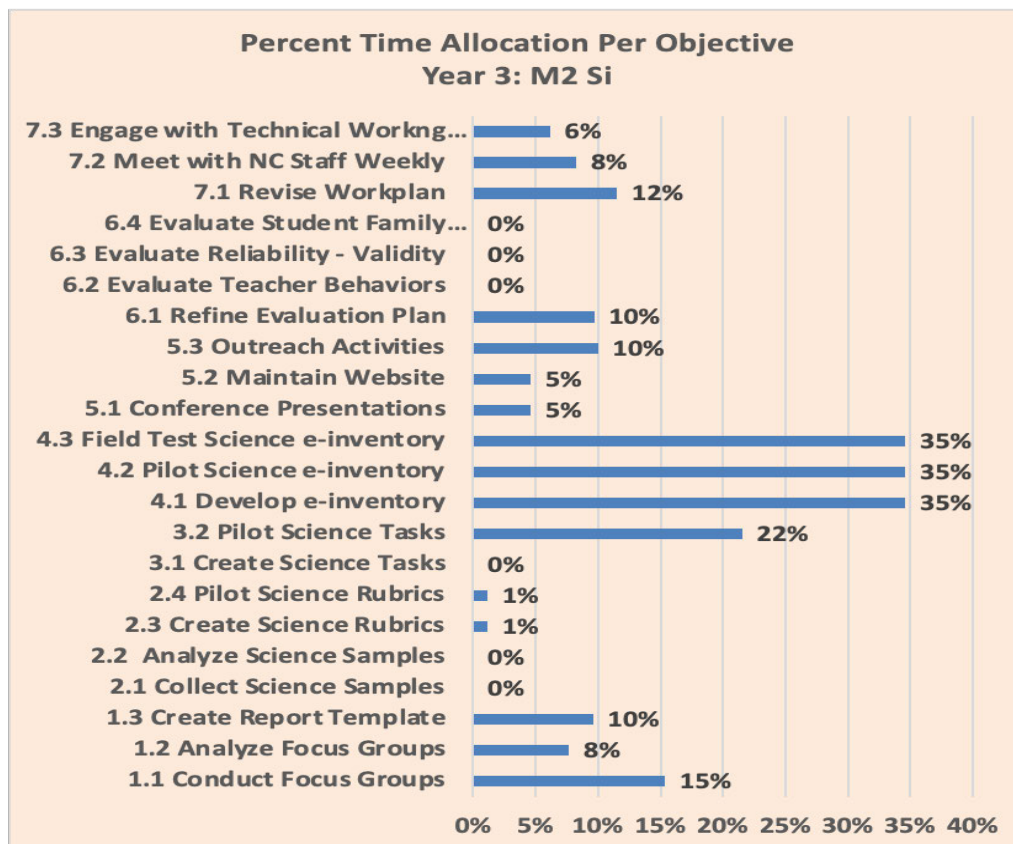
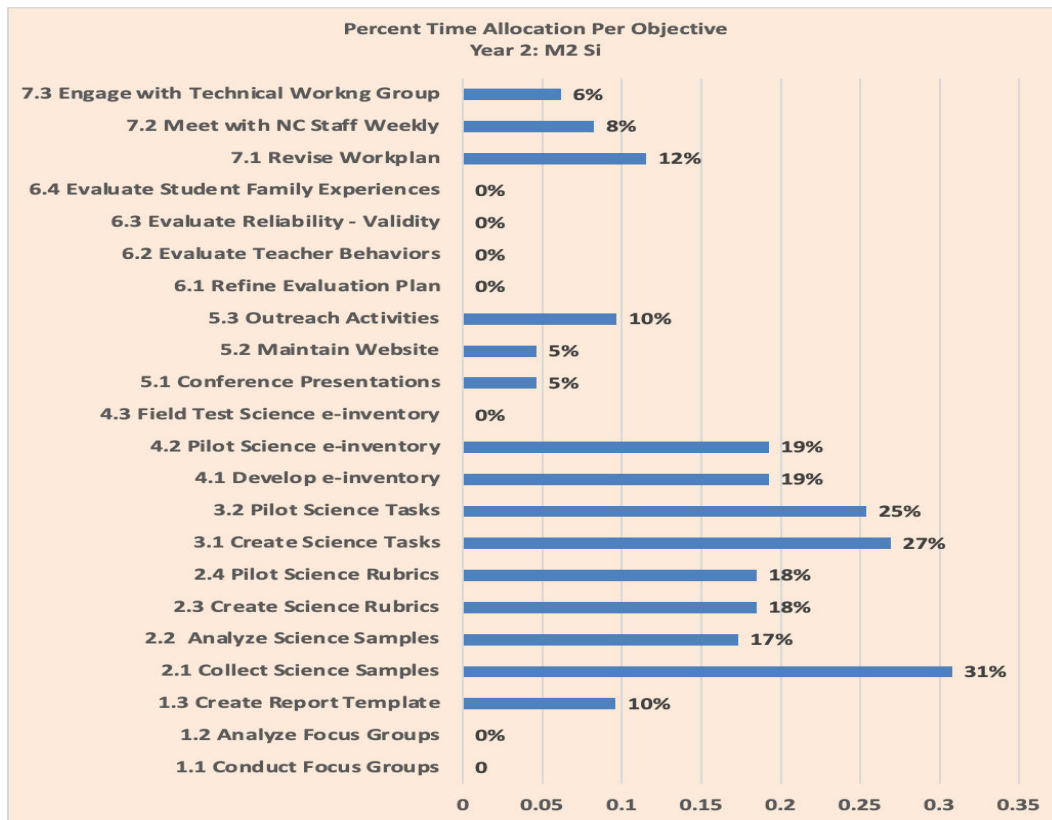
Dr. Micheline Chalhoub-Deville will also be invited to guide and assist in the planning and implementation of the proposed project. Professor Chalhoub-Deville is widely recognized for her contributions to the field of language testing and assessment. She has received the 1998 Best Article Award, the International Language Testing Association; the 2000 Outstanding Young Scholar Award, the Educational Testing Service; and the 2013 Outstanding Senior Scholar Award, the UNCG School of Education. She has been invited to speak at conferences around the world, e.g., Australia, China, Korea, Taiwan, Egypt, Lebanon, UAE, Cyprus, Denmark, UK, and the U.S.A. She was the 2013 American University of Cairo Distinguished Visiting Professor. She is the founder of the Mid-West Association of Language Testers. She has served on the TOEFL Policy Board and chaired the TOEFL Committee of Examiners.

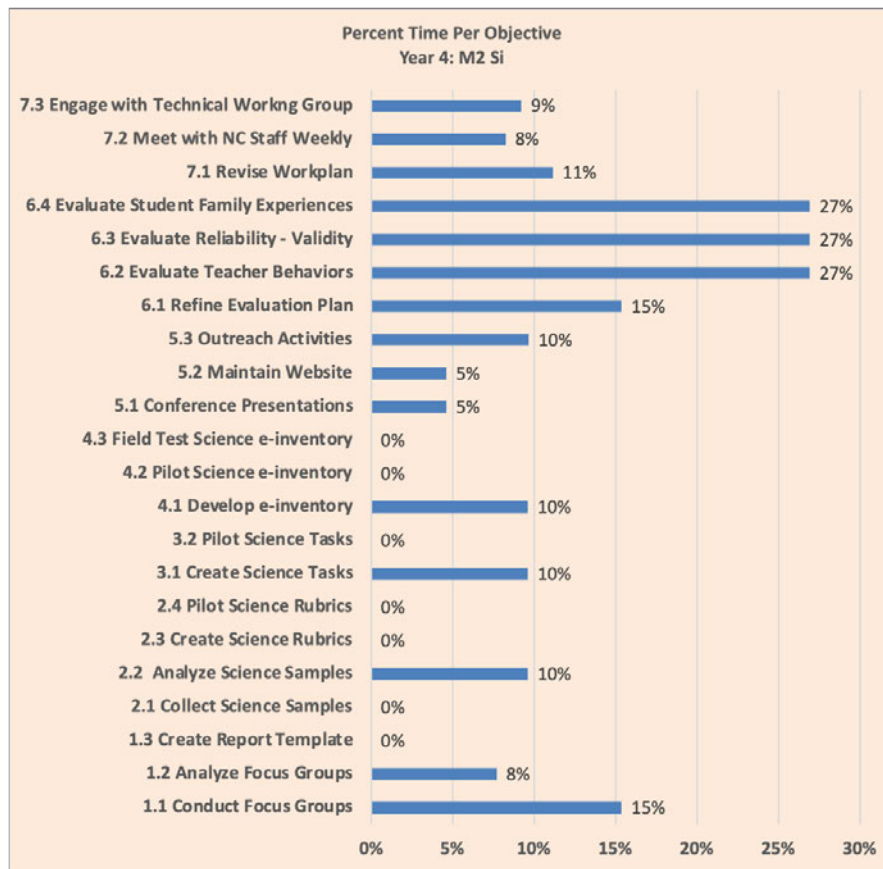
Consideration will be given to additional consultants with expertise in English learner education, formative assessment, research, and evaluation.

In addition to project staff and senior consultants, we proposed to form a technical working group (TWG) that will review and provide feedback on the planning and implementation of the proposed projects. The TWG will consist of leaders in assessment and in the education of English learners. We plan to provide interim project information to members of the TWG and meet with them twice annually. The names of individuals who have accepted an invitation to participate in the proposed TWG are included as attachments to this proposal submissions.

In planning for the adequate allocation of time for each of the project objectives over the project's four-year period, we foresee the following allocation of staff time per objective for each of the project years. These projections of time per objective and year will serve as a guide for allocating staff time appropriately for the span of the four-year project period. A chart with time by objective projections for each of the project years are provided below.







(F) QUALITY OF THE PROJECT EVALUATION

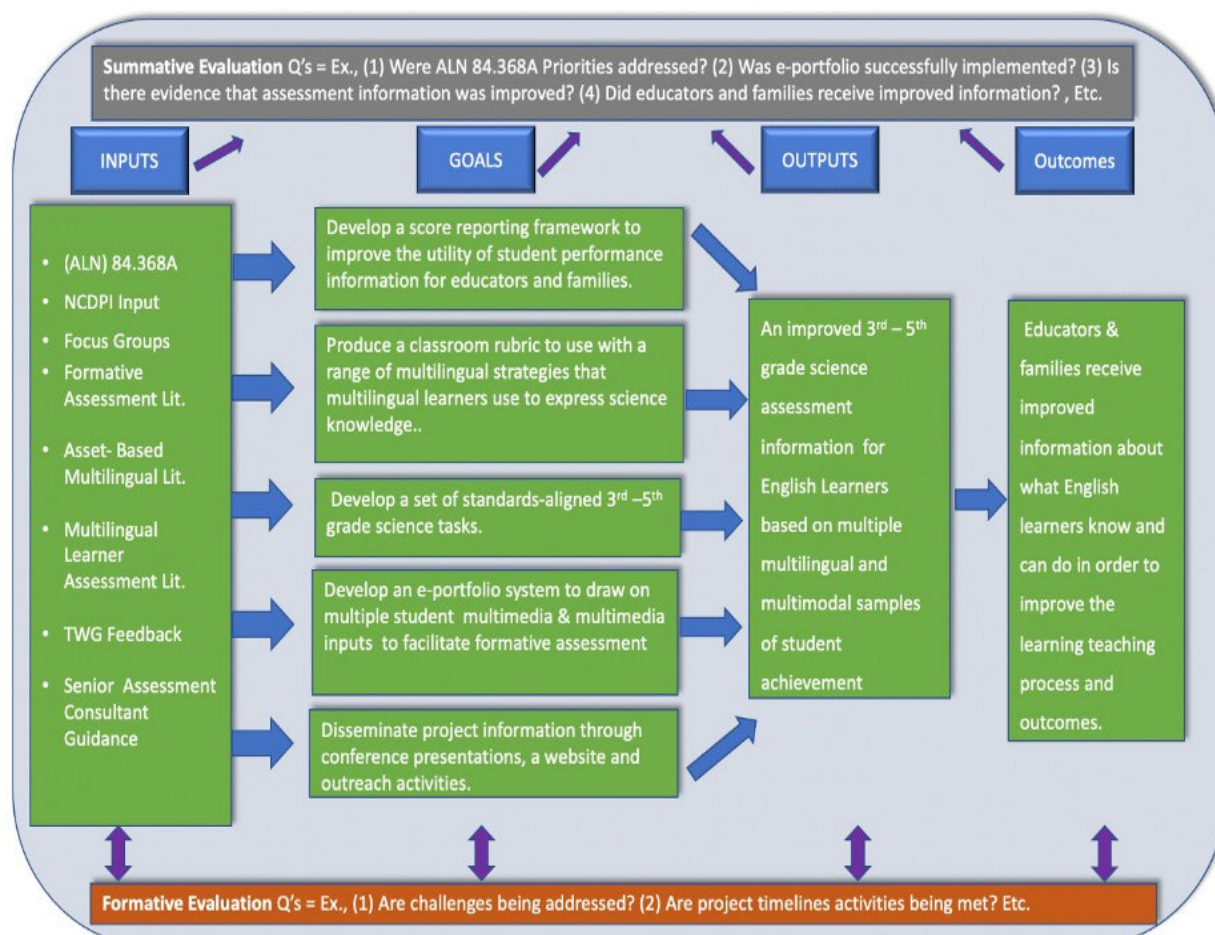
The project evaluation will be planned and conducted an external project evaluator with experience evaluating assessment development efforts and with the education of English learners in collaboration with the project principal investigator and co-principal investigator. The project PI and Co-PI will collaborate in identifying the project evaluator. The planning and implementing of the project evaluation activities will be guided by the following definition and the work of Royce, David (2016, p.6)

“Program evaluation is applied research used as part of the managerial process.

Evaluations are conducted to aid those who must make administrative decisions about human services programs. Unlike theoretical research, where scientists engage in science for its own sake, program evaluation systematically examines human services programs

for pragmatic reasons. Decision makers may need to know if a program accomplished its objectives, if it is worth funding again next year, or if a less expensive program can accomplish the same results.”

The project PI and Co-PI will meet with the external evaluator within the first 2 weeks after project award to review the project design and to discuss the purpose of the project, the project requirements and the project goals and objectives. The proposed project evaluator will develop a project evaluation plan based on discussions with the project PI and Co-PI, the proposal workplan and on the logic framework provided below within the first 6 weeks of the project, which will be reviewed, discussed and modified, if necessary.



The external project evaluator will engage with project activities at least once monthly to conduct formative evaluation activities and to collect data, which may be used for a summative evaluation report at the end of each project year and at the termination of the project period. Examples of formative and summative evaluation questions that will be used to evaluate the proposed project are provided below

Formative Evaluation Question Examples

Inputs – Has the project developed a plan for conducting focus groups and to what extent is it being followed and with what results? Is the feedback from focus groups and TWG members being utilized and to what extent?

Goals – When was the project website created, how frequently is it being updated, and to what extent is it being utilized? Is there a plan for utilizing teachers in addressing goal 3 –

“Developing a set of standards-aligned 3rd – 5th grade science tasks?

Outputs – What evidence exists to support the output – improved assessment information based on multiple multilingual and multimodal samples of student achievement?

Outcomes - What evidence exists to demonstrate that project activities are being conducted to reach the intended outcome, that educators and families are receiving improved information to enhance the teaching and learning process and related student results?

Summative Evaluation Question Examples

Inputs – Did the project succeed in utilizing all intended project inputs, and to what extent?

What were any challenges encountered, how were the challenges resolved, and what are any implications for how the project was implemented and for how the project inputs can be adapted for use by other states or school districts?

Goals – Did the project succeed in addressing all intended project goals , and to what extent? What were any challenges encountered, how were they resolved, and what are any implications for how the goals of the project may be modified or adapted by states or school districts planning a similar assessment for English learners?

Outputs – Did the project succeed in meeting the intended project outputs, and to what extent? What were any challenges encountered, how were they resolved, and what are any implications for how plans for similar project outputs may be modified or adapted by states or school districts planning a similar assessment for English learners?

Outcomes – Did the project succeed in meeting the intended project outcome, and to what extent? What were any challenges encountered, how were they resolved, and what are any implications for how the project was implemented and for how the results of the project may be used by states or school districts?

The project evaluator will collect project data for formative reports and produce quarterly reports to be submitted to the project PI and Co-PI. The project evaluator will also produce an end of year report for each of the project years and an end of project report at the end of the project period.

Other Attachment File(s)

* Mandatory Other Attachment Filename: 1237-6 Other Attachments NC CAL 5-22.pdf

Add Mandatory Other Attachment

Delete Mandatory Other Attachment

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To add more "Other Attachment" attachments, please use the attachment buttons below.

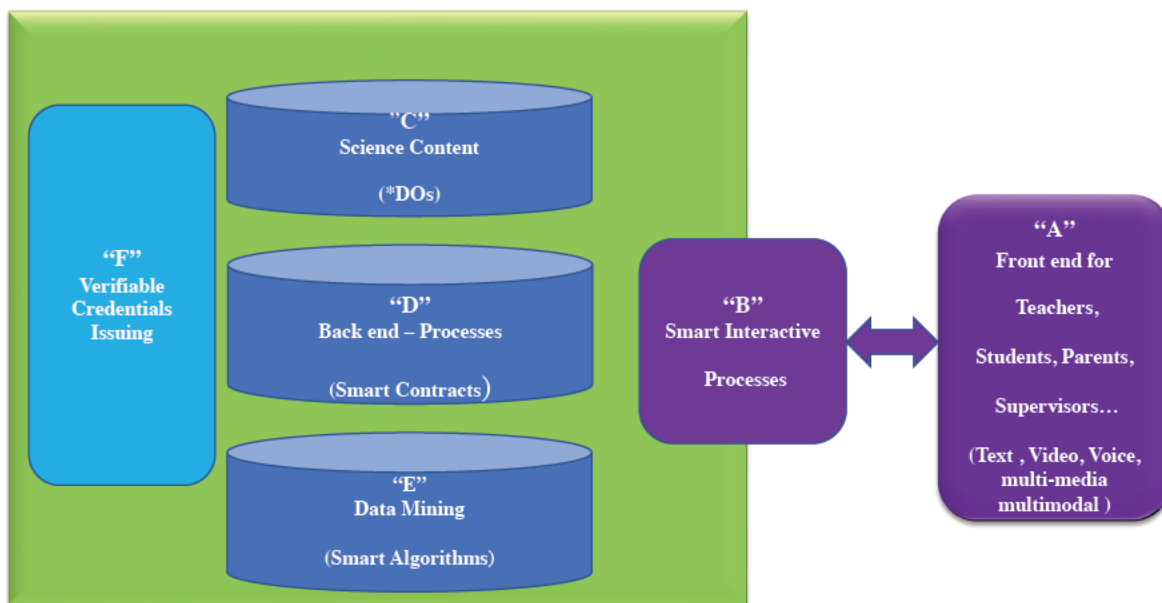
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Other Attachments
e-Portfolio Concept

M2Si e-Portfolio Concept Design NCDPI & CAL



PP/Award # S368A220014

Key Personnel Resumes

(b) (6)

IVANNA MANN THROWER ANDERSON

SUMMARY

As a systems-oriented and results-driven leader, I have developed and implemented instructional innovations for English learners (ELs)/Multilingual learners (MLs), Dual Language/Immersion (DL/I) students and native English speakers in the U.S., Korea, and China. Working across pre-K through adult settings, I have successfully developed and enhanced processes and procedures related to policy, data collection, program administration, assessment, curriculum development and professional learning. Through collaboration across departments and agencies, in education and business, I have developed a unique perspective on the education of ELs/MLs across the country and around the world which informs my work as an educator, public speaker, professional development facilitator, materials developer, instructional coach, and individual.

EXPERIENCE

Jan. 2009 - Present

North Carolina Department of Public Instruction (NCDPI)

Raleigh, NC

Education Program Consultant II (ESL/Title III)

Provide results-driven program administration, leadership, and technical assistance for K-12 English as a Second Language (ESL) programs and English Learner (EL)/Multilingual Learner (ML) and Dual Language/Immersion (DL/I) services.

- Oversee Title III compliance including monitoring, guidelines, statutes, applications, and budgets
- Enhance data procedures for usability, collection, and corrections for the NCDPI Consolidated Federal Data Collection platform through the development of a detailed user handbook and the Record Change Request (RCR) process, leading to improvement in statewide EL data reliability
- Organize and offer technical assistance for WIDA English Language Development (ELD) standards adoption, implementation, and ongoing support
- Establish and lead the EL Support Team, a cadre of North Carolina educators serving as professional development writers, facilitators, and coaches across the state
- Develop technology-integrated professional learning: Canvas courses, webinar series, virtual training materials
- Evaluate programs and render technical assistance to districts and schools related to ML and DL/I education including enhancing understanding and development of two-way DL/I programs to close the achievement gap for MLs
- Design and implement resources for ML curriculum, program development and evaluation
- Enhance and strengthen ML and DL/I programming across the state through a variety of supports including leading stakeholder committees for Multi-Tier System of Supports (MTSS) and ELs, ELs in DL/I and EL and Institutions of Higher Education (IHEs) with teacher training programs
- Train internal and external staff on policies, strategies, and other pertinent issues related to ML education
- Develop and support formative assessment tools including the NC FALCON modules and the LinguaFolio student portfolio and online system.
- Collaborate internally: accountability, federal programs, Implementation Science, MTSS, Socio-emotional learning, ESSA team, Special Education, academically gifted

Collaborate inter-departmentally and externally to represent the needs of ELs/MLs and DL/I students in policy decisions, national forums, state and local organizations, districts and schools.

- Revise NC State Board of Education policy and state legislation
- Serve as EL representative for internal collaborative work related to federal guidance for ELs/MLs: NCLB, ESSA, Title VI, Title III
- Advise: American Institute for Research (AIR), America's Languages Fellow Program, Council of Chief State School Officers (CCSSO) EL SCASS, US Department of Education (OELA, OESE, Community of Practice, Invited Speaker), WIDA (SEA Policy Committee Lead, SEA Standards Committee Lead, Executive Committee Member)
- Partner with local education agencies (LEAs), IHEs, schools, and community organizations to effectively meet the needs of EL/ML and DL/I students and their families
- Serve in professional organizations such as the National Association of English Learner Program Administrators (NAELPA), past-president, and Carolina TESOL to collaborate across states and impact EL education systemically
- Present locally/statewide (eg. Governor's Advisory Council on Hispanic and Latino Affairs (GACHELA), Foreign Language Association of NC (FLANC)), regionally (eg. AIR, Carolina TESOL) and nationally (eg. National Association of ESEA Program Administrators) NAESPA/ESEA Conference, La Cosecha, SIOP, WIDA) to promote the powerful EL/ML and DL/I work being done in the state
- Communicate effectively with the field: website design and maintenance, Listserv messages, social media posts, DL/I Discourse Magazine editor

Jan. 2014 - May 2014

North Carolina State University

Raleigh, NC

TESOL Methodology and Materials in Teaching English as a Second Language Instructor: FL 425

Instruct both face-to-face and distance education courses for undergraduate and graduate students in methodologies and current approaches to teaching English as a Second Language.

Students:

- ❖ Learn techniques and strategies for teaching reading, writing, listening, speaking, and culture
- ❖ Demonstrate understanding of strategies for selection, adaptation, and creation of instructional materials based on English proficiency levels and teaching contexts
- ❖ Explore evaluation and assessment of written and oral language proficiency through standardized and non-standardized assessment tools

Feb. 2011- Dec. 2014

North Carolina State University

Raleigh, NC

TESOL Certificate Instructor: Integrating the 4 Domains into Content/Topic Lesson Planning (SIOP)

Instruct and coach students through an interactive, hybrid course as part of the NCSU TESOL Certificate Program.

Students:

- ❖ Explore development and implementation of the Sheltered Instruction Observation Protocol (SIOP) Model (Echevarria, Vogt & Short, 2000)
- ❖ Familiarize themselves with the basics of second language acquisition
- ❖ Develop an understanding of the components and features of SIOP
- ❖ Create SIOP lesson plans
- ❖ Rate lessons using the SIOP rubric
- ❖ Explore the application of SIOP in a variety of teaching environments from pre-K to adults in the U.S. and abroad

Aug. 2005- Jan. 2009

Charlotte Mecklenburg Schools

Charlotte, NC

District Sheltered Instruction (SIOP) Coach

Provide results-driven program administration, leadership, and professional learning for SIOP

Implementation in 173 elementary through high schools for all educators of ELs (ESL teachers, content

teachers, coaches, support staff, and administrators). Six of the seven elementary school sites implementing SIOP made Adequate Yearly Progress (AYP) at the end of my first year in this position, while none had the year before.

- ❖ Develop training and curriculum support materials PK-12
- ❖ Market SIOP to school leaders and teachers
- ❖ Plan and host training events, conferences, and coaching
- ❖ Offer SIOP professional development to educators of ELs
- ❖ Provide and support training of trainers
- ❖ Develop and support a cadre of SIOP coaches/teacher leaders across the district
- ❖ Systematize training materials and offerings

Sept. 2001- Sept. 2004

Charlotte Mecklenburg Schools

Charlotte, NC

English as a Second Language (ESL) Instructor, K-5

Teach ESL in the highest performing (Crown Point Ele.) and lowest performing (Chantilly/Billingsville Ele.) schools in the county.

- ❖ Develop research-based lesson plans
- ❖ Provide engaging and impactful classroom instruction
- ❖ Integrate technology into instruction
- ❖ Enhance parent/community involvement
- ❖ Develop and instruct parent computer courses
- ❖ Serve as an ESL resource and student advocate (School Improvement Team, Individualized Educational Plan (IEP) team)

EDUCATION

2017-2018

East Carolina University

Greenville, NC

Dual Language Immersion Administration Certificate

Certificate prepares educators to work with an increasingly linguistically diverse student population through dual language immersion programming including language instruction materials and strategies, cross-cultural competencies, and educational supervision. I participated in the inaugural cohort and helped to shape the program structure and materials.

1992-1996

School for International Training

Brattleboro, VT

Master of Arts in Teaching, Concentration in Teaching English as a Second Language (ESL)

Learning theory (adult learning, second language acquisition, etc.), instructional design and effectiveness, lesson and unit planning, professional learning development and implementation, assessment design, educational evaluation, educational product development, and technology integration

Thesis Project: International Business Executives, A Simulation for Today's World of Business

1984-1989

North Carolina State University

Raleigh, NC

Bachelor of Arts in Psychology, Minor in ESL, Concentration in Communications

Student legislature, Faculty/Student Planning Committee, Resident Advisor

LICENSURE

Valid North Carolina Teaching Licensure: M Level: English as a Second Language K-12

PROFESSIONAL COURSEWORK

Office of State Human Resources

2021, Certified Public Manager (CPM)	300 hours
2020, Equal Employment Opportunity and Diversity Fundamentals (EEODF)_V2	13 hours
2019, LAAL-M: High Performance Coaching for Managers	16 hours
2019, ASM IV-2019: Advanced Skills for Managers	62 hours
2018, LAAL-S: Leading Teams for Supervisors	8 hours

PROFESSIONAL ORGANIZATIONS

Organizations are in alphabetical order.

American Council on the Teaching of Foreign Languages (ACTFL)

2020-present, member

Carolina TESOL

1989-1990, 1992-1998, 2006-present, member
 2013, North Carolina Service Award recipient
 2012-2017, honorary board member, NC state government representative
 2007-2008, board member, western regional representative
 1995-1996, board member, affiliate partner liaison
 1994, w/NCAIE, on-site conference publications chair
 1994, summe mini-conference co-chair
 1993-1995, board member, western regional representative

Foreign Language Association of North Carolina (FLANC)

2016 - present, member

National Association of Bilingual Education (NABE)

2018-present, member

National Association of English Learner Program Administrators (NAELPA) formerly National Council of State Title III Directors (NCSTIID)

2011-present, member
 2019-2020, past-president, National EL Roundtable representative, JNCL contact, advocacy committee member, newsletter co-editor
 2018-2019, president, rebranded NCSTIID to NAELPA, National EL Roundtable representative, newsletter contributor

PRESENTATION SAMPLES

Organizations/Conferences are in alphabetical order.

American Institute for Research (AIR)

2018, "NCDPI Diverse Learners"
 2016, "NC EL Context, Challenges, Solutions and Successes"

Carolina TESOL

2012, "*LinguaFolio*: Promoting Student Success Not Just Survival"
 2010, "Formative Assessment through LinguaFolio"

Collaborative Conference for Student Achievement (CCSA)

2016, "Academic Language: Can Do Philosophy"
2013, "Response to Instruction (RtI)"
2013, "NC FALCON - Formative Assessment"
2013, "Dual Language" w/Dr. Virginia Collier and Dr. Wayne Thomas
2012, "Response to Instruction (RtI)"
2012, "NC FALCON - Formative Assessment"
2012, "21st Century Technology Enhanced Professional Development"
2011, "NC FALCON - Formative Assessment"
2010, "LinguaFolio and Formative Assessment"

Council for Exceptional Children

2013, "RtI and SIOP"
2012, "Acquiring 21st Century Skills in TWO Languages"

ESEA Conference (NAESPA formerly Title I)

2020, "National EL Collaboration: From NCSTIID to NAELPA"
2019, "Working Together to Support English Learners Through a Multi-Tiered System of Support"

Foreign Language Association of North Carolina (FLANC)

2021 - Fall, "ELs in DL/I: Building Global Citizens"
2021 - Spring, "Advocacy for DL/I: One Way, Two Way and ALL the Way"
2014, "LinguaFolio"

LaCosecha

2021, "Collaborating for Success in DL/I: ESL, World Languages, and Beyond"
2019, "Transforming DL Programs and Educator Certification: IHEs and SEAs Collaborate across the US"
2018, "Successfully Supporting a Variety of DL/I Programs in NC"
2018, "Empowering Dual Language/Immersion Teachers via Online Professional Development Modules"
2018, "State-level Dual Language Immersion Program Support: Policy, Practice and Progress"
2017, "Shaping Dual Language Teacher Support: North Carolina's Online Training Modules"
2016, "Shaping Teacher Preparation: A Focus Study on Dual Language Methods" with Dr. Joan Lachance, Dr. Virginia Collier and Dr. Wayne Thomas

US Department of Education

2020, Office of English Language Acquisition (OELA) PD Convening invited panelist (meeting canceled due to Covid)
2018, Office of State Support (OSS) and AIR, Accountability and Support for English Learners Peer Convening, "State Networking Panel" member
2007, Office of English Language Acquisition (OELA), Team Lead/Presenter: "Strategies to Design and Deliver Standards-Based Instruction"

WIDA

2017, "United in Purpose: WIDA Aligned Professional Development and Coaching"
2016, "Higher is Slower, Help for Long-term ELs"
2016, "Graduating Global Ready Students"
2015, "The NC Can Do Approach"
2014, "The NC WIDA Modules"
2013, "Weaving WIDA into it ALL"
2012, Panel Member: "The Debut of the 2012 Amplification of the WIDA Standards"

PROJECT SAMPLES

America the Bilingual

2018, Episode #42 North Carolina: A Dual-Language Success Story! interview

American Institute for Research (AIR) with South East Regional Comprehensive Center (SECC)

2018, board representative for NC and presentation

2015 – 2019, “Diverse Learners” project

America’s Languages Fellow

2020 - present, member nominating high quality language programs for the America’s Languages Guide

Center For Applied Linguistics (CAL)

2005 – 2006, reviewer for “An Insider’s Guide to SIOP Coaching.” SKU: SIOP-1205SCG

2005, co-trainer with CAL staff for CMS district SIOP training

North Carolina Department of Public Instruction

2021 – Present, National Professional Development (NPD) grant advisor, University of North Carolina at Greensboro (UNCG) IGNITE (Innovation to Grow, Nurture, and Inspire Teachers of English-learners)

2021 – Present, ELD Standards Implementation Team

2021 – Present, Certified Public Manager (CPM)

2021 – Present, EL IHE Committee Lead

2020 – Present, MTSS and ELs Committee Lead

2020 – Present, ELs in DL/I Committee Lead

2020 – 2021, Department Socio-Emotional Learning (SEL) project lead for EL

2020 – 2021, Remote learning strategies co-lead

2020 – 2021, Virtual EL Coordinator Meeting DPI representative

2019 – Present, DL/I Discourse Magazine editor

2018 – 2021, State Global Education Taskforce member

2018 – Present, Global Language Endorsement, NC’s Seal of Biliteracy, co-lead

2018 – Present, Thomas and Collier book study development and facilitation

2018 – 2019, US Department of Education Peer Review state team member

2017 – Present, English Learner Consideration (ELC) tool development and implementation in collaboration with MTSS and NCStar

2017 – Present, DL/I state co-Lead

2017 – 2021, National Professional Development (NPD) grant advisor, UNCG EnACTeD

2016 – 2021, Statewide Implementation Science team

2016 – 2019, State level ESSA state plan committee

2016 – 2018, Career and Technical Education (CTE) EL liaison

2015 – 2019, Diverse Learner project lead with SECC/AIR

2015 – 2018, Title III Consortium lead

2014 – Present, Growing Success for ELs Conference founder and project lead

2014 – Present, Dual Language Immersion (DL/I) statewide team

2014 – 2015, Governor’s Teacher Network Trainer and Materials Reviewer

2012 – Present, Comprehensive Needs Assessment Monitoring Visits

2012 – 2019, Federal Data Collection, Monitoring, EVASS, ISIS

2011 – Digital Literacy Module Developer

2011 – 2013, Race to the Top EL Roll Out Coordinator

2011 – Present, ESL/IHE Liaison

2011 – 2015, WIDA Module Development

2009 – 2018, Co-lead for LinguaFolio, e-LinguaFolio, LinguaFolio Modules

2009 – 2015, Dual Language research co-lead with Dr. Wayne Thomas and Dr. Virginia Collier
2009 – 2014, NC FALCON Formative Assessment, module development, video project, talent
2009 – 2012, Consolidated Federal Data Collection (CFDC) Manual Development, Site Enhancements,
Technical Support, Data Correction system, creator of the Record Change Request (RCR) System
2009 – Present, Accountability/EL Partnership
2009 – 2010, K-2 Assessment Training Team
2005 – 2007, ESL/NCCLAS - Alternate Assessment Cut Score Setting Development Team

US Department of Education

2018, EL Community of Practice team lead
2016 – 2020, G5 State Director and contact for Title III, Part A
2016 – 2019, NCDPI ESSA team
2011, National Conversations on English Learner Education, co-host and state representative for NCDPI

KEIRA GEBBIE BALLANTYNE

kballantyne@cal.org 202-355-1554

EDUCATION

Ph.D., Linguistics

University of Hawai'i at Mānoa, Honolulu, HI, 2005

Textual structure and discourse prominence in Yapese narrative

B.A. (Hons), Linguistics and Anthropology

University of Western Australia, Perth, WA, Australia, 1997

CERTIFICATES

Designing Accessible Websites, *Federal Accessibility Initiative 508 Universe*, 2012

PROFESSIONAL EXPERIENCE

CENTER FOR APPLIED LINGUISTICS, Washington, DC

Vice-President, Programs and Development, 2021

Provide leadership in connecting critical issues in language education policy, research, practice, and assessment to CAL's mission, initiatives and activities.

Coordinate activities with CAL program senior staff for identifying, developing, and supporting new revenue streams related to CAL's mission.

Take a lead role in implementing select projects and in participating in existing projects.

Director, Quantitative Research Operations, 2018-2021

Manager, Psychometrics and Quantitative Research, 2015-2018

Managed day-to-day work of a team of 10 in CAL's quantitative research team.

Managed team of research staff providing quantitative analysis to support the WIDA ACCESS test development cycle and other assessment projects at CAL

Served as project manager on diverse projects including CAL's work with the National Indian Education Association (NIEA), Peace Corps, and research on efficacy of study abroad programs for increasing students' language proficiency

THE GEORGE WASHINGTON UNIVERSITY, Washington, DC

Research Scientist, Center for Equity and Excellence in Education, November 2013- April 2015

Managed and/or contributed to mixed methods research studies, including studies on: academic English in the International Baccalaureate Programme; Latino/a student graduation risk and dropout prevention; formative assessment of literacy in middle school ELL students

Served as teacher educator in a National Professional Development Program funded teacher preparation certificate program for rural teachers

Served as internal evaluator for the same National Professional Development Program funded teacher preparation certificate program

THE GEORGE WASHINGTON UNIVERSITY, Washington, DC

Acting Director, National Clearinghouse for English Language Acquisition (NCELA), October 2012- November 2013

Associate Director for Professional Development, National Clearinghouse for English Language Acquisition (NCELA), 2008-12

Senior Research Associate, National Clearinghouse for English Language Acquisition (NCELA), 2007-08

Managed staff and federal contract responsibilities. Key contributor to Biennial Report to Congress on the Title III State Formula Grant Program. Edited multiple reports, briefs, and practitioner materials. Managed and edited website for stakeholders in ELL education.

THE OXFORD ENGLISH DICTIONARY,

Sentence Editor, 2007

Analyzed sentences from a language database for inclusion as examples in the Dictionary

MONTGOMERY COLLEGE, Wheaton, MD

Instructor & Curriculum Designer, 2006

Taught vocational ESL classes for intermediate-level adults seeking employment in the retail and service industries. Adapted adult basic education curriculum for use with EL population. Administered admission and assessment procedures.

ESSENTIAL LANGUAGE, WASHINGTON DC

Adult vocational ESL Instructor, 2005

LANGUAGE AND LINGUISTICS BEHAVIORAL ABSTRACTS

Freelance Abstractor, 2002

UNIVERSITY OF HAWAII AT MĀNOA

Publications Assistant, Center for Korean Studies, 2000-01

Teaching Assistant, Department of Linguistics, 1999-2001

Research Assistant, Department of Linguistics, 1999

PROJECTS (selected)

WIDA ACCESS FOR ELLs, WIDA

Served as Director of Quantitative Research Operations on Psychometrics and Quantitative Research team. 2016-21

SUPPORTING LISTENING SESSIONS AND HOW-TO GUIDES FOR THE NATIONAL INDIAN EDUCATION ASSOCIATIONS'S NATIVE LANGUAGE IMMERSION PROGRAM MODEL, National Indian Education Association

Project Director, 2020-21

MADISON METROPOLITAN SCHOOL DISTRICT EVALUATION, Madison Metropolitan School District

Directed quantitative aspects of mixed methods evaluation, 2019

PEACE CORPS TEACHING ENGLISH AS A FOREIGN LANGUAGE (TEFL) CERTIFICATE VALIDATION, Peace Corps

Project Director, 2018-21

COUNCIL ON INTERNATIONAL EDUCATIONAL EXCHANGE STUDY ABROAD LANGUAGE OUTCOMES, Council On International Educational Exchange

Project Director, 2018

ACADEMIC LANGUAGE IN THE INTERNATIONAL BACCALAUREATE, International Baccalaureate Organization

Lead Researcher, 2014

LATINO/A STUDENT GRADUATION AND DROPOUT IN THE DISTRICT OF COLUMBIA, District of Columbia Mayor's Office on Latino Affairs

Lead Researcher, 2014

FORMATIVE ASSESSMENT OF CLOSE READING FOR ENGLISH LANGUAGE LEARNERS, ETS

Research Scientist, 2013-14

PREPARING RURAL EDUCATORS TO TEACH ENGLISH LANGUAGE LEARNERS (NATIONAL PROFESSIONAL DEVELOPMENT GRANT), Office of English Language Acquisition, US Department of Education

Research Scientist & Adjunct Faculty, 2013-15

NATIONAL CLEARINGHOUSE FOR ENGLISH LANGUAGE ACQUISITION, Office of English Language Acquisition, US Department of Education

various, 2007-2012

PUBLICATIONS (selected)

Ballantyne, K.G., Kawood, M., Montee, M., Song, Y. & Yu, X. (2021) *WIDA Screener for Kindergarten: Field Test Brief*. Washington, DC: Center for Applied Linguistics.

Gdowski, C., & **Ballantyne, K.G.** (2018) Ensuring Fairness in Language Proficiency Assessments: Q&A - A CAL Commentary. Washington, DC: Center for Applied Linguistics.

Ballantyne, K.G., Ballard, L., Ghanim, I., Louguit, M. & Wei, J. (2018). *CIEE Study Abroad Outcomes Analysis: 2016-18 High School Data*. Washington, DC: Center for Applied Linguistics.

- DiCerbo, P., **Ballantyne, K.G.**, & Rivera, C. (2017) Uncovering Student Literacy Needs through Qualitative Research: A Mixed Methods Ethnographic Study of Teachers in Practice. *Sage Research Methods*.
- Rivera, C., Tressler, T.R., McCreadie, J., & **Ballantyne, K.G.** (2014). *IB Diploma Programme Study: Factors influencing students to earn a Bilingual Diploma*. Washington, DC: The George Washington University Center for Equity and Excellence in Education.
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- Ballantyne, K.G.** (2008). Learning a second language while you are still working on the first. *AccELerate!*, 1(1), 9-11.
- Ballantyne, K.G.**, Sanderman, A.R., Levy, J. (2008). *Educating English language learners: Building teacher capacity*. Washington, DC: National Clearinghouse for English Language Acquisition.
- Ballantyne, K.G.** (2006.) *Customer service skills for success*. ESOL Curriculum for Montgomery College/ Montgomery Works Sales & Service Learning Center.
- Ballantyne, K.G.** (2005.) *Textual structure and discourse prominence in Yapese narrative*. Doctoral Dissertation, Dept. of Linguistics, University of Hawai'i at Mānoa.
- Ballantyne, K.G.** (2004.) Givenness as a ranking criterion in centering theory: Evidence from Yapese. *Oceanic Linguistics*. 43(1): 49-72.
- Ballantyne, K.G.** (2000.) Reduplication in Yapese: A case of syllable copying. In Carolyn Smallwood & Catherine Kitto (Eds.) *The proceedings of the Austronesian Formal Linguistics Association VI*. Toronto Working Papers in Linguistics.

Ikeda, Keiko, Jennifer Robideau, Keira Ballantyne, Theo Garneau, Steven Hall & Linda Lanz (Eds). (2003.) *Proceedings 2003: Selected papers from the seventh college-wide conference for students in languages, linguistics and literature*. National Foreign Language Resource Center Research Note 39: Honolulu.

PRESENTATIONS (selected)

Arias, B., Cieslak, M. **Ballantyne, K.G.** (moderator) (2021, December). Digital Equity in Education: Directions for 2022. *Research to Policy: Critical Conversations in Language Education*. Center for Applied Linguistics.

Ballantyne, K.G., McLeod, P., Uro, G., & Garcia, E. (2021, July). *Educating America's Emerging Multilingual Learners*. Briefing presented to Congressional Staff.

Cournoyer, D., Johnson, M., & **Ballantyne, K.G.** (2020, October). Our Language is Our Future: NIEA Listening Sessions – What We Heard About the Evolution of Native Language Programs. Presented at the National Indian Education Association Virtual Convention 2020.

Ballantyne, K.G. & Di Silva, F. (2019, May) Multilingualism in US Education Systems: How do we Value All Voices? Paper presented at the Study Group on Language and the United Nations symposium The United Nations at 75: Listening, Talking and Taking Action in a Multilingual World, New York, NY.

Ballantyne, K.G. (2019, March) The Socio-Political Contexts of K-12 English Language Proficiency Assessment in the United States: Are We Bending the Arc Toward Justice?. Paper presented at the meeting of the Language Testing Research Colloquium, Atlanta, GA.

Ballantyne, K.G. & Rivera, C. (2016, April). Meeting the Needs of Diverse Second Language Learners within an International Curriculum. Paper presented at the meeting of the American Educational Research Association, Washington, DC.

Dicerbo, P.A. & **Ballantyne, K.G.** (2015, April). *Reshaping Teacher Practice through Close Reading Formative Assessment Tasks*. Paper presented at the meeting of the American Educational Research Association, Chicago, IL.

Ballantyne, K.G. & Dicerbo, P.A. (2015, March). *Close Reading Formative Assessment for ELL Students in Content Areas*. Paper presented at the Teachers of English to Speakers of Other Languages (TESOL) Annual Conference, Toronto, Canada.

Ballantyne, K.G. (2014, November). *Language Proficiency for Academic Achievement in the International Baccalaureate Diploma Program*. Invited speaker, International Baccalaureate Headquarters, The Hague.

Ballantyne, K.G. (2014, June). *Latino/a Student Graduation Success and Risk of Dropout in the District of Columbia*. Invited speaker, District of Columbia Mayor's Office on Latino Affairs, Washington, DC.

Ballantyne, K.G. & Rasmussen, M. (2011, February) *Resources for working with the Indigenous Languages of North America and the Pacific Islands*. Paper presented at the National Association for Bilingual Education (NABE), New Orleans, LA.

Wilde, J. & **Ballantyne, K.G.** (2010, March). *How to Access and Use Federal Data on LEP Students*. Paper presented at the Teachers of English to Speakers of Other Languages (TESOL) Annual Conference, Boston, MA.

- Ballantyne, K.G.,** D’Emilio, T., Ciriza Houtchens, B., & Hicks, S. (2009, June). *Dual Language Learners in the Early Years: Getting Ready to Succeed in School: Are We Ready?* Paper presented at the University of Oregon Conference on Biliteracy, Eugene, OR.
- Ballantyne, K.G. & Yandian, S.** (2009, March) *How to welcome and support Head Start dual language learners when they get to elementary school.* National Clearinghouse for English Language Acquisition webinar series.
- Ballantyne, K.G.** (2009, February). *Educating ELLs: Building mainstream secondary teacher capacity.* Paper presented at the meeting of the Virginia ESL Supervisor’s Association (VESA), Richmond, VA.
- Ballantyne, K.G.** (2009, September). *Educating ELLs: Building mainstream secondary teacher capacity.* Paper presented at the Southeast TESOL Conference (SETESOL), Birmingham, AL.
- Ballantyne, K.G. & Sanderman, A.S.** (2008, October). *Getting English language learners ready for kindergarten & first grade.* Paper presented at the Head Start 2008 National Dual Language Institute, Washington, DC.
- Levy, J. & **Ballantyne, K.G.** (2009, September). *Professional development for content area teachers of English language learners.* National Clearinghouse for English Language Acquisition webinar series.
- Ballantyne, K.G.** (2005, January). *Pronouns, Tense-Mood-Aspect, and the Figure-Ground Cline in Yapese Narrative.* Paper presented at the annual meeting of the Linguistic Society of America Annual Meeting, San Francisco.
- Ballantyne, K.G.** (2003, March). *Is Noun Incorporation a Discourse Variable in Yapese? Seamless Morphology as a Heuristic for Productivity.* Paper presented at the Tenth Annual Meeting of the Austronesian Formal Linguistics Association, Honolulu, HI.
- Ballantyne, K.G.** (2003, February). *Givenness as a Ranking Criterion in Centering Theory: Evidence from Yapese.* Paper presented at the Georgetown University Round Table in Linguistics, Washington, DC.
- Ballantyne, K.G.** (1999, March). *Reduplication in Yapese: A Case of Syllable Copying.* Paper presented at the Sixth Annual Meeting of the Austronesian Formal Linguistics Association, Toronto, Canada.

INDIRECT COST RATE AGREEMENT
NONPROFIT ORGANIZATION

Organization:

Center for Applied Linguistics
4646 40th Street, NW
Washington, DC 20016-1859

Date: September 10, 2021

Agreement No: 2021-108

Filing Reference: This replaces previous
Agreement No. 2020-125

Dated: 8/12/2020

The approved indirect cost rates herein are for use on grants, contracts, and other agreements with the Federal Government. The rates are subject to the conditions included in Section II of this Agreement and regulations issued by the Office of Management and Budget (OMB) Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards under 2 CFR 200.

Section I - Rates and Bases

<u>Type</u>	<u>From</u>	<u>To</u>	<u>Rate</u>	<u>Base</u>	<u>Applicable To</u>
Final	10/1/2019	9/30/2020	23.8%	MTDC	Unrestricted
Provisional	10/1/2020	9/30/2021	24.5%	MTDC	Unrestricted
Provisional	10/1/2021	9/30/2022	23.8%	MTDC	Unrestricted

Fringe Benefits

Final	10/1/2019	9/30/2020	38.5%	SW	Unrestricted
Provisional	10/1/2020	9/30/2021	43.4%	SW	Unrestricted
Provisional	10/1/2021	9/30/2022	38.5%	SW	Unrestricted

Distribution Base:

MTDC Modified Total Direct Cost - Total direct costs excluding equipment, capital expenditures, participant support costs, pass-through funds and the portion of each subaward (subcontract or subgrant) above \$25,000 (each award; each year).

SW Total Direct Salaries & Wages only (fringe benefits are not included)

Applicable To:

Unrestricted Unrestricted rates apply to programs that do not require a restricted rate per 34 CFR 75.563 and 34 CFR 76.563

Treatment of Fringe Benefits:

Fringe benefits applicable to salaries and wages are treated appropriately as direct or indirect costs. Vacation, holiday, sick leave and other paid absences are included in salaries claimed on awards. Separate claims for paid absences are not made.

Capitalization Policy: Items of equipment are capitalized and depreciated if the initial acquisition cost is equal to or greater than \$1,000.

Section II – Particulars

Limitations: Application of the rates contained in this Agreement is subject to all statutory or administrative limitations on the use of funds, and payments of costs hereunder are subject to the availability of appropriations applicable to a given grant or contract. Acceptance of the rates agreed to herein is predicated on the following conditions: (A) that no costs other than those incurred by the Organization were included in the indirect cost pools as finally accepted, and that such costs are legal obligations of the Organization and allowable under the governing cost principles; (B) the same costs that have been treated as indirect costs are not claimed as direct costs; (C) that similar types of information which are provided by the Organization, and which were used as a basis for acceptance of rates agreed to herein, are not subsequently found to be materially incomplete or inaccurate; and (D) that similar types of costs have been accorded consistent accounting treatment.

Accounting Changes: The rates contained in this agreement are based on the organizational structure and the accounting systems in effect at the time the proposal was submitted. Changes in organizational structure or changes in the method of accounting for costs which affect the amount of reimbursement resulting from use of the rates in this agreement, require the prior approval of the responsible negotiation agency. Failure to obtain such approval may result in subsequent audit disallowance.

Provisional/Final/Predetermined Rates: A proposal to establish a final rate must be submitted. The awarding office should be notified if the final rate is different from the provisional rate so that appropriate adjustments to billings and charges may be made. Predetermined rates are not subject to adjustment.

Fixed Rate: The negotiated fixed rate is based on an estimate of the costs that will be incurred during the period to which the rate applies. When the actual costs for such period have been determined, an adjustment will be made to a subsequent rate calculation to compensate for the difference between the costs used to establish the fixed rate and the actual costs.

Notification to Other Federal Agencies: Copies of this document may be provided to other Federal agencies as a means of notifying them of the agreement contained herein.

Audit: All costs (direct and indirect, federal and non-federal) are subject to audit. Adjustments to amounts resulting from audit of the cost allocation plan or indirect cost rate proposal upon which the negotiation of this agreement was based may be compensated for in a subsequent negotiation.

Reimbursement Ceilings/Limitations on Rates: Awards that include ceiling provisions and statutory/regulatory requirements on indirect cost rates or reimbursement amounts are subject to the stipulations in the grant or contract agreements. If a ceiling is higher than the negotiated rate in Section I of this agreement, the negotiated rate will be used to determine the maximum allowable indirect cost.

Section III - Special Remarks

Alternative Reimbursement Methods: If any federal programs are reimbursing indirect costs by a methodology other than the approved rates in this agreement, such costs should be credited to the programs and the approved rates should be used to identify the maximum amount of indirect costs allocable.

Submission of Proposals: New indirect cost proposals are necessary to obtain approved indirect cost rates for future fiscal years. **The next indirect cost rate proposal is due six months prior to expiration dates of the rates in this agreement.**

Section IV – Approvals

For the Organization:

Center for Applied Linguistics
4646 40th Street, NW
Washington, DC 20016-1859

(b) (6)

Signature

Name

Title

Date

For the Federal Government:

U.S. Department of Education
OFO / OAGA / ICD
400 Maryland Avenue, SW
Washington, DC 20202-4500

Andre Hylton Digitally signed
by Andre Hylton
Date: 2021.09.10
15:16:42 -04'00'

Signature

Andre Hylton

Name

Director, Indirect Cost Division

Title

September 10, 2021

Date

Negotiator: Christian Muniz
Telephone Number: (202) 453-7885

INDIRECT COST RATE AGREEMENT
STATE EDUCATION AGENCY

Organization:

North Carolina Department of Public Instruction
6336 Mail Service Center
Raleigh, NC 27699-6336

Date: November 8, 2021

Agreement No: 2021-111

Filing Reference: This replaces previous
Agreement No. 2020-177(A)
Dated: 7/14/2021

The approved indirect cost rates herein are for use on grants, contracts, and other agreements with the Federal Government. The rates are subject to the conditions included in Section II of this Agreement and regulations issued by the Office of Management and Budget (OMB) Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards under 2 CFR 200.

Section I - Rates and Bases

<u>Type</u>	<u>From</u>	<u>To</u>	<u>Rate</u>	<u>Base</u>	<u>Applicable To</u>
Fixed	7/1/2021	6/30/2022	11.7%	MTDC	Restricted

Distribution Base:

MTDC	Modified Total Direct Cost - Total direct costs excluding equipment, capital expenditures, participant support costs, pass-through funds and the portion of each subaward (subcontract or subgrant) above \$25,000 (each award; each year).
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Applicable To:

Restricted	Restricted rates apply to programs that require a restricted rate per 34 CFR 75.563 and 34 CFR 76.563.
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Treatment of Fringe Benefits:

Fringe benefits applicable to direct salaries and wages are treated as direct costs. Pursuant to 2 CFR 200.431, (b), (3), Paragraph (i), unused leave costs for all employees are allowable in the year of payment. The treatment of unused leave costs should be allocated as an indirect cost except for those employee salaries designated as a direct cost for the restricted rate calculation.

Capitalization Policy: Items of equipment are capitalized and depreciated if the initial acquisition cost is equal to or greater than \$5,000.

Section II – Particulars

Limitations: Application of the rates contained in this Agreement is subject to all statutory or administrative limitations on the use of funds, and payments of costs hereunder are subject to the availability of appropriations applicable to a given grant or contract. Acceptance of the rates agreed to herein is predicated on the following conditions: (A) that no costs other than those incurred by the Organization were included in the indirect cost pools as finally accepted, and that such costs are legal obligations of the Organization and allowable under the governing cost principles; (B) the same costs that have been treated as indirect costs are not claimed as direct costs; (C) that similar types of information which are provided by the Organization, and which were used as a basis for acceptance of rates agreed to herein, are not subsequently found to be materially incomplete or inaccurate; and (D) that similar types of costs have been accorded consistent accounting treatment.

Accounting Changes: The rates contained in this agreement are based on the organizational structure and the accounting systems in effect at the time the proposal was submitted. Changes in organizational structure or changes in the method of accounting for costs which affect the amount of reimbursement resulting from use of the rates in this agreement, require the prior approval of the responsible negotiation agency. Failure to obtain such approval may result in subsequent audit disallowance.

Provisional/Final/Predetermined Rates: A proposal to establish a final rate must be submitted. The awarding office should be notified if the final rate is different from the provisional rate so that appropriate adjustments to billings and charges may be made. Predetermined rates are not subject to adjustment.

Fixed Rate: The negotiated fixed rate is based on an estimate of the costs that will be incurred during the period to which the rate applies. When the actual costs for such period have been determined, an adjustment will be made to a subsequent rate calculation to compensate for the difference between the costs used to establish the fixed rate and the actual costs.

Notification to Other Federal Agencies: Copies of this document may be provided to other Federal agencies as a means of notifying them of the agreement contained herein.

Audit: All costs (direct and indirect, federal and non-federal) are subject to audit. Adjustments to amounts resulting from audit of the cost allocation plan or indirect cost rate proposal upon which the negotiation of this agreement was based may be compensated for in a subsequent negotiation.

Reimbursement Ceilings/Limitations on Rates: Awards that include ceiling provisions and statutory/regulatory requirements on indirect cost rates or reimbursement amounts are subject to the stipulations in the grant or contract agreements. If a ceiling is higher than the negotiated rate in Section I of this agreement, the negotiated rate will be used to determine the maximum allowable indirect cost.

Section III - Special Remarks

Alternative Reimbursement Methods: If any federal programs are reimbursing indirect costs by a methodology other than the approved rates in this agreement, such costs should be credited to the programs and the approved rates should be used to identify the maximum amount of indirect costs allocable.

Submission of Proposals: New indirect cost proposals are necessary to obtain approved indirect cost rates for future fiscal years. **The next indirect cost rate proposal is due six months prior to the expiration dates of the rates in this agreement.**

Section IV – Approvals

For the State Education Agency:

North Carolina Department of Public Instruction
6336 Mail Service Center
Raleigh, NC 27699-6336

(b) (6)

Alexis Schauss

Name

Chief Financial Officer

Title

November 19, 2021

Date

For the Federal Government:

U.S. Department of Education
OFO / OAGA / ICD
400 Maryland Avenue, SW
Washington, DC 20202-4500

**ANDRE
HYLTON**

Digitally signed by
ANDRE HYLTON

Date: 2021.11.08
13:04:35 -05'00'

Signature

Andre Hylton

Name

Director, Indirect Cost Division

Title

November 8, 2021

Date

Negotiator: Anthony Johnson

Telephone Number: (202) 453-7461

Project Letters & Consultant Confirmations



PUBLIC SCHOOLS OF NORTH CAROLINA

DEPARTMENT OF PUBLIC INSTRUCTION | Catherine Truitt, *Superintendent of Public Instruction*

WWW.DPI.NC.GOV

May 2, 2022

Donald Peasley
U.S. Department of Education
400 Maryland Avenue SW, Room 3W106
Washington, DC 20202-6132

Dear Mr. Peasley,

The North Carolina Department of Public Instruction (NCDPI) is including the original intent letter for the Competitive Grants for State Assessments Program, Assistance Listing Number (ALN) 84.368A in place of the MOU at this time. We attest that the NCDPI is processing the MOU through legal with the understanding that, in the event that the application receives an award, we would provide the MOU within a reasonable timeframe.

Sincerely,

(b) (6)

Ivanna Mann Thrower Anderson
ESL/Title III Consultant
North Carolina Department of Public Instruction
Ivanna.anderson@dpi.nc.gov

DIVISION OF ACADEMIC STANDARDS

Dr. Mary Hemphill-Joseph, *Director* | mary.hemphill@dpi.nc.gov
6307 Mail Service Center, Raleigh, North Carolina 27699-6300 | (984) 236-2813
PR/Award # S368A220014
Page e101
AN EQUAL OPPORTUNITY/AFFIRMATIVE ACTION EMPLOYER

May 3, 2022

Ivanna Mann Thrower Anderson
ESL/Title III Consultant
North Carolina Department of Public Instruction

Dear Dr. Ms. Mann Thrower Anderson,

The Center for Applied Linguistics (CAL) appreciates this opportunity to join you in submitting an application in response to a request for proposal from the U. S. Department of Education under the Competitive Grants for State Assessments Program, ALN 84.368A.

As stated in the letter of intent to apply for this competition, the North Carolina Department of Public Instruction (NCDPI) will serve as the fiscal agent for the award and the Center for Applied Linguistics will serve as a subcontractor. The roles for the NCDPI and CAL in implementing the proposed project will be as described in the NCDPI proposal narrative and budget narrative that are being submitted.

Both CAL and the NCDPI have a deep commitment to providing equitable educational services to English learners, as well as a commitment to improving teaching, learning and assessment opportunities. We are proud to offer CAL's experience in test and assessment development for English learners in support of this application, and we appreciate NCDPI's experience in this area as well.

CAL looks forward to collaborating with you on this project; and we are grateful for your support and collaborative effort in developing CAL's role in this grant proposal. We look forward to joining you in the implementation of this project, once awarded.

Sincerely,

Dr. Joel Gómez
President and CEO

"Promoting access, equity, and mutual understanding for linguistically and culturally diverse people around the world."

Donald Peasley
U.S. Department of Education
400 Maryland Avenue SW, Room 3W106
Washington, DC 20202-6132

Dear Mr. Peasley,

The North Carolina Department of Public Instruction (NCDPI) intends to submit a proposal on April 18 for the Competitive Grants for State Assessments Program, Assistance Listing Number (ALN) 84.368A.

NCDPI will serve as the fiscal agent and will partner with the Center for Applied Linguistics (CAL) in implementing the grant.

Best regards,

Dr. Mary Hemphill-Joseph
Director, Division of Academic Standards
North Carolina Department of Public Instruction
mary.hemphill@dpi.nc.gov

Joel Gomez, President
Center for Applied Linguistics
jgomez@cal.org

From: Diane August
Sent: Thursday, April 21, 2022 7:37 PM
To: Joel Gomez
Cc: Lupe Hernandez-Silva <lhernandez-silva@cal.org>; Keira Ballantyne <kballantyne@cal.org>
Subject: CAL TWG Invitation

Dear Joel:

Thanks for the invitation to participate in a technical working group should the proposal submitted by the North Carolina Department of Public Instruction and the Center for Applied Linguistics under the Competitive Grants for State Assessment Program be funded.

I am glad to serve as a member of the technical working group. I understand that the technical working group will meet twice annually to review project plans and activities related to the project's goal of preparing a formative assessment tool in science for multilingual learners in grades 3 – 5 that will improve the information provided to educators and family members on the student's content acquisition in science.

Best regards,
Dr. Diane August
Principal
D. August and Associates
daugust@daugust-associates.com
301-461-9632

From: Joel Gomez <jgomez@cal.org>
Sent: Thursday, April 21, 2022 7:37 PM
To: Diane August <(b) (6) @email.msn.com>
Cc: Lupe Hernandez-Silva <lhernandez-silva@cal.org>; Keira Ballantyne <kballantyne@cal.org>
Subject: CAL TWG Invitation

Dear Diane,

On behalf of the North Carolina Department of Public Instruction (NCDPI) and the Center for Applied Linguistics (CAL), I would like to invite you to participate in a technical working group (TWG) for an exciting project that we are proposing to the U. S. Department of Education, OESE, under the Competitive Grants for State Assessments Program (ALN) 84.368A

The primary purpose for the proposed project is to prepare a formative assessment tool in science for multilingual learners in grades 3 – 5 that will improve the information provided to educators and family members on the student's content acquisition in science. In addressing this purpose, CAL will collaborate with NCDPI educators in creating an e-based assessment that will allow students to use their full linguistic repertoire in engaging in the proposed formative assessment activities. Please feel free to contact me to discuss any this application further.

We envision that members of the TWG will participate in a one day meeting twice annually to review project plans and activities and that each member will receive a modest stipend of \$1,000 annually with all related travel expenses reimbursed for face-to-face meetings. The project is projected to be awarded by no later than the end of September 2022. We anticipate that the first TWG meeting will be held during the first quarter of 2023, with a follow up meeting during the 3rd quarter of calendar year 2023.

Please respond to this invitation by replying to this email message by Monday, April 25, since it will help greatly in completing our proposal on time. Your contribution to the success of this project will be invaluable, and I look forward to your accepting this invitation to serve as a member of the proposed TWG.

Best,

Joel

President
Center for Applied Linguistics
Washington, DC 20016
202-247-5548

Diane August, Ph.D. Dr. August brings 40 years of experience to the many aspects of educating language-minority children.

Currently she is Principal at D. August & Associates, a consulting firm that supports policymakers and educators in improving the schooling and well-being of preschool and school-age second language learners.

Previously she served for eight years as a Managing Researcher at the American Institutes for Research (AIR), where she was responsible for directing the work of the Center for English Language Learners.

Prior to AIR she was a Senior Research Scientist at the Center for Applied Linguistics (CAL), where she directed federally-funded research studies related to the development of literacy in dual language learners. At CAL she also served as Co-Principal Investigator of the National Research and Development Center on English Language Learners, where she developed, implemented, and evaluated STEM programs for secondary school second language learners.

Earlier in her career, Dr. August served as a Senior Program Officer at the National Academy of Sciences. Dr. August has also worked as a teacher, school administrator, U.S. Congressional Legislative Assistant, Grants Officer for the Carnegie Corporation, and Director of Education for the Children's Defense Fund. She is published widely in journals and books.

From: Timothy Boals <timothy.boals@wisc.edu>
Sent: Friday, April 22, 2022 12:10 AM
To: Joel Gomez <jgomez@cal.org>
Cc: Lupe Hernandez-Silva <lhernandez-silva@cal.org>; Keira Ballantyne <kballantyne@cal.org>
Subject: Re: CAL TWG Invitation

Dear Joel,

It would be a pleasure to participate in this project.

Let me know if you need anything from me.

Regards,

Tim

Sent from my iPhone

On Apr 21, 2022, at 4:40 PM, Joel Gomez <jgomez@cal.org> wrote:

Dear Tim,

On behalf of the North Carolina Department of Public Instruction (NCDPI) and the Center for Applied Linguistics (CAL), I would like to invite you to participate in a technical working group (TWG) for an exciting project that we are proposing to the U. S. Department of Education, OESE, under the Competitive Grants for State Assessments Program (ALN) 84.368A

The primary purpose for the proposed project is to prepare a formative assessment tool in science for multilingual learners in grades 3 – 5 that will improve the information provided to educators and family members on the student's content acquisition in science. In addressing this purpose, CAL will collaborate with NCDPI educators in creating an e-based assessment that will allow students to use their full linguistic repertoire in engaging in the proposed formative assessment activities. Please feel free to contact me to discuss any this application further.

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Please respond to this invitation by replying to this email message by Monday, April 25, since it will help greatly in completing our proposal on time. Your contribution to the success of this

project will be invaluable, and I look forward to your accepting this invitation to serve as a member of the proposed TWG.

Best,

Joel

President
Center for Applied Linguistics
Washington, DC 20016
202-247-5548

Tim Boals is the Founder and Director of WIDA. He holds a Ph.D. in curriculum from the University of Wisconsin-Madison with an emphasis in the education of multilingual learners. His background includes language education, educational policy, and Spanish language and literature.

As WIDA Director, Tim oversees operations, research and long range planning efforts. His research interests involve the interplay between content and language learning for multilingual learners across the language acquisition continuum and the effects of standards on classroom practice for these learners. He has recently collaborated on articles about re-conceptualization of academic language and the evolving construct of English language testing, the books "Multilingual Learners and Academic Literacies" and "Formative Language Assessment for ELLs," and a book chapter on supporting multilingual learners with special needs. Current writings and presentations include the topic of opportunity to learn for multilingual learners and what is required to ensure high quality academic environments for these students.

Tim frequently presents at international, national and regional conferences on the challenges facing multilingual learners and how schools and educators can better meet their needs.

From: Liying Cheng <liying.cheng@queensu.ca>
Sent: Friday, April 22, 2022 8:54 AM
To: Joel Gomez <jgomez@cal.org>
Cc: Lupe Hernandez-Silva <lhernandez-silva@cal.org>; Keira Ballantyne <kballantyne@cal.org>
Subject: Re: CAL TWG Invitation

Dear Joel,

Thank you for the invitation. I'd be happy to be part of the TWG for this project.

Please do not hesitate to reach out to me if you need any support in this grant writing.

Regards, Liying

Liying Cheng, PhD

Professor of Language Education and Assessment
Director of [Assessment and Evaluation Group \(AEG\)](#)
B201 Faculty of Education, Queen's University
511 Union Street, Kingston, Ontario, K7M 5R7 Canada
613-533-6000 ext.77431
<http://educ.queensu.ca/liying-cheng>

On Apr 21, 2022, at 7:41 PM, Joel Gomez <jgomez@cal.org> wrote:

Dear Liying,

On behalf of the North Carolina Department of Public Instruction (NCDPI) and the Center for Applied Linguistics (CAL), I would like to invite you to participate in a technical working group (TWG) for an exciting project that we are proposing to the U. S. Department of Education, OESE, under the Competitive Grants for State Assessments Program (ALN) 84.368A

The primary purpose for the proposed project is to prepare a formative assessment tool in science for multilingual learners in grades 3 – 5 that will improve the information provided to educators and family members on the student's content acquisition in science. In addressing this purpose, CAL will collaborate with NCDPI educators in creating an e-based assessment that will allow students to use their full linguistic repertoire in engaging in the proposed formative assessment activities. Please feel free to contact me to discuss any this application further.

We envision that members of the TWG will participate in a one day meeting twice annually to review project plans and activities and that each member will receive a modest stipend of \$1,000 annually with all related travel expenses reimbursed for face-to-face meetings. The project is projected to be awarded by no later than the end of September 2022. We anticipate that the first TWG meeting will be held during the first quarter of 2023, with a follow up meeting during the 3rd quarter of calendar year 2023.

Please respond to this invitation by replying to this email message by Monday, April 25, since it will help greatly in completing our proposal on time. Your contribution to the success of this project will be invaluable, and I look forward to your accepting this invitation to serve as a member of the proposed TWG.

Best,

Joel

President
Center for Applied Linguistics
Washington, DC 20016
202-247-5548

Liyong Cheng has been a language teacher and language teacher educator for more than 20 years, during which time she has taught a variety of undergraduate and graduate courses at the pre-service, professional development and graduate levels at a number of universities in Canada, Hong Kong, and China. Her primary research interests are the impact of large-scale testing on instruction, the relationships between assessment and instruction, and the academic and professional acculturation of international and new immigrant students, workers, and professionals to Canada. She received the [TOEFL award for outstanding dissertation in second/foreign language testing](#) from [Educational Testing Services](#) in 1998, and [TESOL Leadership Mentoring Award](#) from [TESOL](#) in 2002.

Liyong had her formative and undergraduate education in China. She received MA in teaching English as a Foreign Language from [the University of Reading](#) in England, and PhD in second/foreign language testing from [the University of Hong Kong](#). Before she joined Queen's University in 2000, she was a Killam Postdoctoral Fellow (1998-2000) within [the Centre for Research in Applied Measurement and Evaluation](#) (CRAME) and [the TESL program](#) at the University of Alberta. From 1996 to 1998, she was an Assistant Professor at the School of Education and Languages, [Open University of Hong Kong](#).

Since 2000 after Liyong joined Queen's Faculty of Education, she has obtained research funding totalling more than 1.8 million Canadian dollars. In addition, she has conducted more than 230 conference presentations and has more than 150 publications. Her recent books are *Assessment in the Language Classroom: Teachers Supporting Student Learning* (co-authored with J. Fox, 2017); *Language classroom assessment* (single-authored, TESOL, Inc., 2013); *English Language Assessment and the Chinese Learner* (co-edited with A. Curtis, Taylor & Francis, 2010); *Language Testing Reconsidered* (co-edited with J. Fox et. al., University of Ottawa Press, 2007); *Changing Language Teaching through Language Testing* (single-authored, Cambridge University Press, 2005); and *Washback in Language Testing: Research Contexts and Methods* (co-edited with Y. Watanabe with A. Curtis, Lawrence Erlbaum Associates, 2004).

From: Kathy M Escamilla <kathy.escamilla@colorado.edu>
Date: Thursday, April 21, 2022 at 6:51 PM
To: Joel Gomez <jgomez@cal.org>
Cc: Lupe Hernandez-Silva <lhernandez-silva@cal.org>, Keira Ballantyne <kballantyne@cal.org>
Subject: Re: TWG CAL Invitation

Hello,

Thank you very much for this wonderful invitation and I am happy to accept. Will look forward to the possibility of collaborating with all of you on this project.

Kathy

Kathy Escamilla (Ella/she/her)
Professor Emeritus
Equity, Bilingualism, & Biliteracy
BUENO Center for Multicultural Education
kathy.escamilla@colorado.edu
303-475-7709
University of Colorado, Boulder



From: Joel Gomez <jgomez@cal.org>
Date: Thursday, April 21, 2022 at 5:39 PM
To: Kathy M Escamilla <kathy.escamilla@colorado.edu>
Cc: Lupe Hernandez-Silva <lhernandez-silva@cal.org>, Keira Ballantyne <kballantyne@cal.org>
Subject: TWG CAL Invitation

Dear Kathy,

On behalf of the North Carolina Department of Public Instruction (NCDPI) and the Center for Applied Linguistics (CAL), I would like to invite you to participate in a technical working group (TWG) for an exciting project that we are proposing to the U. S. Department of Education, OESE, under the Competitive Grants for State Assessments Program (ALN) 84.368A

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will allow students to use their full linguistic repertoire in engaging in the proposed formative assessment activities. Please feel free to contact me to discuss any this application further.

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Best,

Joel

President
Center for Applied Linguistics
Washington, DC 20016
202-247-5548

Kathy Escamilla is a professor of education in the division of social, bilingual and multicultural foundations. Dr. Escamilla's research centers on educational issues related to Spanish speaking language minority students in U.S. schools. She is specifically interested in issues related to the development of bilingualism and biliteracy in early elementary grades for this Spanish speaking population. Her recent research has also examined assessment practices and the impact of high stakes testing on these children.

Dr. Escamilla is a member of numerous professional organizations in education and has served two terms as the president of the National Association for Bilingual Education. She has recently been appointed as a co-editor of the Bilingual Research Journal, and has served as the chair person of the Bilingual SIG for the American Education Research Association (AERA).

Education

PhD Curriculum and the Study of Schooling, University of California, Los Angeles, 1987
MS Education, University of Kansas, 1975
BA Spanish, University of Colorado at Boulder, 1971

From: Francis, David <dfrancis@uh.edu>
Sent: Thursday, April 21, 2022 7:54 PM
To: Joel Gomez <jgomez@cal.org>
Cc: Lupe Hernandez-Silva <lhernandez-silva@cal.org>; Keira Ballantyne <kballantyne@cal.org>
Subject: Re: CAL TWG Invitation

I'm happy to join you in this endeavor! Let me know what else you need from me and the deadline to get it to you.

Sent from my Verizon, Samsung Galaxy smartphone
Get [Outlook for Android](#)

From: Joel Gomez <jgomez@cal.org>
Sent: Thursday, April 21, 2022 4:39:26 PM
To: Francis, David <dfrancis@uh.edu>
Cc: Lupe Hernandez-Silva <lhernandez-silva@cal.org>; Keira Ballantyne <kballantyne@cal.org>
Subject: CAL TWG Invitation

Dear David,

On behalf of the North Carolina Department of Public Instruction (NCDPI) and the Center for Applied Linguistics (CAL), I would like to invite you to participate in a technical working group (TWG) for an exciting project that we are proposing to the U. S. Department of Education, OESE, under the Competitive Grants for State Assessments Program (ALN) 84.368A

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Please respond to this invitation by replying to this email message by Monday, April 25, since it will help greatly in completing our proposal on time. Your contribution to the success of this project will be invaluable, and I look forward to your accepting this invitation to serve as a member of the proposed TWG.

Best,

Joel

President
Center for Applied Linguistics
Washington, DC 20016
202-247-5548

Dr. David J. Francis is the Hugh Roy and Lillie Cranz Cullen Distinguished Chair of Quantitative Methods in the Department of Psychology at the University of Houston, where he also serves as Director of the Texas Institute for Measurement, Evaluation, and Statistics (TIMES), as well as Director of the Center for the Success of English Learners, a National Research and Development Center funded by the Institute of Education Sciences. He is a Co-Investigator on the Texas Center for Learning Disabilities, a P50 grant funded by the National Institute of Child Health and Human Development, on which he serves as PI of the Data Management and Statistics Core as well as PI of Project 1 on Classification and Identification. Dr. Francis obtained a doctoral degree in Clinical-Neuropsychology from the University of Houston in 1985 with a specialization in Quantitative Methods. He served as Chairman of the Department of Psychology from 2002 to 2014, and as Director of TIMES since its founding in 1999. He also served as Co-Director of the Texas Learning and Computation Center at the University of Houston from 2005-2012, and as Director/Co-Director of the Center for Advanced Computing and Data Science from 2015-2018.

Dr. Francis was appointed by President Trump to the National Board of Education Science for the Institute of Education Sciences. He is a Fellow of Division 5 (Measurement, Evaluation, and Statistics) of the American Psychology Association (APA), an inaugural Fellow of the American Educational Research Association, and a Fellow of the Association for Psychological Science. He has served on numerous governmental advisory panels, including serving as Chairman of the Advisory Council on Education Statistics and as a member of the Independent Review Panel for the National Assessment of Title I. He served on the National Research Council's (NRC) Board on Testing and Assessment from 2005-2017, including serving two years as Chair. He has served on several NRC consensus committees, including serving as a member of the NRC Committee on the Evaluation Framework for Successful K-12 STEM Education and serving as Chair on the 2018 report titled "English Learners in STEM Subjects: Transforming Classrooms, Schools, and Lives." He also served as a member of the APA's Taskforce on the Future of Psychology as a STEM Discipline. He was a member of the National Literacy Panel for Language Minority Children and Youth, and served as a methodological consultant to the National Reading Panel. He is a frequent advisor to the Department of Education on statistical and psychometric issues, assessment and accountability, learning disabilities, and English Language Learners. He is presently a Member of the Biobehavioral and Brain Sciences Internal Review Group and a former Chairman of the Mental Retardation Research Subcommittee of the National Institute of Child Health and Human Development (NICHD). In 2021, he received the Hedges Lecture Award from the Society for Research in Educational Effectiveness. He was a co-recipient of the Albert J. Harris Award (2006) from the International Reading Association, and has won awards from the University of Houston for teaching (1989), and research (2007), and in 2008 received the Esther Farfel Award, the University of Houston's highest accolade recognizing faculty excellence in teaching, research, and service over an entire career.

Dr. Francis has directed or collaborated in research on reading and reading disabilities, the education of at-risk populations, including English Language Learners and students with disabilities, as well as research on attention problems, developmental consequences of brain injuries and birth defects, adolescent alcohol abuse, and most recently on the development of methods to improve personnel selection using random effects models and the treatment of seizure disorders through electrical brain stimulation.

His areas of quantitative interest include modeling of individual growth, multi-level and mixture modeling, structural equation modeling, item response theory, and exploratory data analysis. He currently collaborates on multiple contracts and grants funded by NICHD, NINDS, the Office of Naval Research, and the Institute of Education Sciences of the US Department of Education. From 2005-2012 he directed the Center for Research on Educational Achievement and Teaching of English Language Learners (CREATE), which was an IES-funded National Research and Development Center for English Language Learners, and from 2006-2012 directed the English Language Learner Strand of the Center on Instruction funded by the Office of Elementary and Secondary Education of USED.

From: Eugene Garcia <genegar@asu.edu>

Date: Friday, April 22, 2022 at 10:05 AM

To: Joel Gomez <jgomez@cal.org>

Cc: Lupe Hernandez-Silva <lhernandez-silva@cal.org>, Keira Ballantyne <kballantyne@cal.org>

Subject: RE: CAL TWG Invitation

Joel, good to hear from you—hope all is well.

More than happy to participate in the technical working group. Let me know what you need for the proposal.

Best Wishes.

Gene

From: Joel Gomez <jgomez@cal.org>

Sent: Thursday, April 21, 2022 4:34 PM

To: Eugene Garcia <genegar@asu.edu>

Cc: Lupe Hernandez-Silva <lhernandez-silva@cal.org>; Keira Ballantyne <kballantyne@cal.org>

Subject: CAL TWG Invitation

Dear Gene,

On behalf of the North Carolina Department of Public Instruction (NCDPI) and the Center for Applied Linguistics (CAL), I would like to invite you to participate in a technical working group (TWG) for an exciting project that we are proposing to the U. S. Department of Education, OESE, under the Competitive Grants for State Assessments Program (ALN) 84.368A

The primary purpose for the proposed project is to prepare a formative assessment tool in science for multilingual learners in grades 3 – 5 that will improve the information provided to educators and family members on the student's content acquisition in science. In addressing this purpose, CAL will collaborate with NCDPI educators in creating an e-based assessment that will allow students to use their full linguistic repertoire in engaging in the proposed formative assessment activities. Please feel free to contact me to discuss any this application further.

We envision that members of the TWG will participate in a one day meeting twice annually to review project plans and activities and that each member will receive a modest stipend of

\$1,000 annually with all related travel expenses reimbursed for face-to-face meetings. The project is projected to be awarded by no later than the end of September 2022. We anticipate that the first TWG meeting will be held during the first quarter of 2023, with a follow up meeting during the 3rd quarter of calendar year 2023.

Please respond to this invitation by replying to this email message by Monday, April 25, since it will help greatly in completing our proposal on time. Your contribution to the success of this project will be invaluable, and I look forward to your accepting this invitation to serve as a member of the proposed TWG.

Best,

Joel

President

Center for Applied Linguistics

Washington, DC 20016

202-247-5548

Eugene García is a Professor Emeritus at Arizona State University (ASU). From 2002-2006, he was the dean of the Mary Lou Fulton College of Education on the Tempe campus. From 2006-2011, he was professor and vice president for education partnerships at ASU. Before joining ASU, he served as professor and dean of the Graduate School of Education at the University of California, Berkeley (1995-2001). He has served as a postdoctoral fellow in human development at Harvard University and as a National Research Council Fellow. He has been a recipient of a National Kellogg Leadership Fellowship and received numerous academic and public honors. He served as a faculty member at the University of Utah, the University of California, Santa Barbara, Arizona State University and the University of California, Santa Cruz. He has served previously as a national research center director, an academic department chair on two occasions, and as dean of the Social Sciences Division at University of California, Santa Cruz. Professor García is involved in various community activities and has served as an elected member of an urban school board. He has published extensively in the area of language teaching and bilingual development authoring and/or co-authoring over 200 articles and book chapters along with 14 books and monographs. He holds leadership positions in professional organizations and continues to serve in an editorial capacity for psychological, linguistic and educational journals and serves regularly as a proposal panel reviewer for federal, state and foundation agencies. He served as a senior officer in the U.S. Department of Education (1993-1995). He is conducting

research in the areas of effective schooling for linguistically and culturally diverse student populations and has chaired the National Task Force on Early Education for Hispanics funded by the Foundation for Child Development. He has been honored by AERA, SRCD, NAEYC, ASCD and AAHHE for his research contributions and in May, 2011 he received an Honorary Doctorate of Letters from Erikson Institute, Chicago, in recognition of his contributions to the area of Child Development. Most recently he was appointed to the Board on Children, Youth and Families of the Institute of Medicine and the National Research Council. His most recent books include "Young English Language Learners" (2010), edited with E. Frede (Teachers College Press), "Bilingualism and Cognition" (2011) with Jose Nanez (American Psychological Association) and "Understanding the Language Development and Early Education of Hispanic Children" with Ermininda Garcia (2012) Teachers College Press.

Education

- Ph.D. Human Development, University of Kansas
- B.A. Psychology, University of Utah

From: MARGO GOTTLIEB <margo.gottlieb@wisc.edu>
Sent: Saturday, April 23, 2022 6:05 PM
To: Joel Gomez <jgomez@cal.org>
Cc: Keira Ballantyne <kballantyne@cal.org>; Lupe Hernandez-Silva <lhernandez-silva@cal.org>
Subject: Re: Sr. Advisor Consultant

It would be my honor to contribute to the North Carolina multilingual-multimodal formative assessment project in the capacity of Sr. Advisor consultant. It would be especially exciting to collaborate in planning an e- assessment tool for science for multilingual learners in grades 3-5 to inform teaching and learning.

All the best in your upcoming proposal submission to the U.S. Department of Education, OESE,
Margo

Margo Gottlieb, Ph.D.

CO-FOUNDER AND LEAD DEVELOPER

WIDA at the Wisconsin Center for Education Research
847-924-8035
margo.gottlieb@wisc.edu

University of Wisconsin-Madison
1025 West Johnson Street
Madison, WI 53706-1706
wida.wisc.edu

From: Joel Gomez <jgomez@cal.org>
Sent: Friday, April 22, 2022 11:35 e AM
To: MARGO GOTTLIEB <margo.gottlieb@wisc.edu>Al f
Cc: Keira Ballantyne <kballantyne@cal.org>; Lupe Hernandez-Silva <lhernandez-silva@cal.org>
Subject: Sr. Advisor Consultant

Dear Margo,

On behalf of the North Carolina Department of Public Instruction (NCDPI) and the Center for Applied Linguistics (CAL), I would like to invite you to participate as a Sr. Advisor consultant for an exciting project that we are proposing to the U. S. Department of Education, OESE, under the Competitive Grants for State Assessments Program (ALN) 84.368A

The primary purpose for the proposed project is to develop a formative multilingual-multimodal assessment tool in science for multilingual learners in grades 3 – 5 that will improve the information provided to educators and family members on the student's content acquisition in science. In addressing this purpose, CAL will collaborate with NCDPI educators in creating an e-based assessment that will allow students to use their full linguistic repertoire in engaging in the proposed formative assessment activities.

We envision that as a Sr. Advisor consultant you will review project plans and activities and receive a modest daily rate of \$750/day in addition to related travel expenses reimbursed for face-to-face meetings. In particular, we envision that you will engage with project staff in updating the project conceptual model on a regular basis and creating rubrics and science tasks aligned with the state's science standards. The project is projected to be awarded by no later than the end of September 2022. We anticipate that you will collaborate with project staff on site three times a year.

We appreciate the experience and expertise you can bring to this project and ask if you could please respond to this invitation by Monday, April 25, since it will help greatly in completing our proposal on time.

President & CEO
Center for Applied Linguistics
4646 40th Street NW
Washington, DC 20016

W - 202-355-1545

C (b) (6)

Margo Gottlieb, Ph.D., has devoted her professional career to improving educational opportunities for multilingual learners, their teachers and other educational leaders. Over the years she has been a language teacher and coordinator, a bilingual facilitator, a director of assessment and evaluation, and a consultant to school districts, states, publishers, governments, universities, and organizations. Margo was a Fulbright senior specialist in assessment and evaluation and was recognized in 2016 by TESOL International Association's 50@50 "as an individual who has made a significant contribution to the TESOL profession within the past 50 years." Having traveled extensively, Margo has presented in Asia, Central America, Europe, Indonesia, the Middle East, North America, the Pacific, Singapore and South America as well as across the United States.

Margo's publications include more than 90 articles, monographs, handbooks, guides, technical reports, chapters and assessments. Her latest books include *Assessing multilingual learners: A month-to-month guide* (2017), *Language power: Key uses for accessing content* (with Castro), *Assessing English language learners: Bridges to equity*, 2nd Ed. (2016). She is co-author (with Ernst-Slavit, 2014) of *Academic language in diverse classrooms: Definitions and contexts*, a foundational book for a co-edited series *Promoting content and language learning* (a compendium of 3 mathematics and 3 language arts volumes, 2014, 2013). Her other books include: *Common language assessment for English learners* (2012); *Paper to practice: Using the TESOL's English Language Proficiency Standards in preK-12 classrooms* (with Katz & Ernst-Slavit, 2009); and *Assessment and accountability in language education programs: A guide for administrators and teachers* (with Nguyen, 2007).

Project Bibliography

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<http://fcus.org/sites/default/files/DualLanguageLearners.pdf>
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U.S. DEPARTMENT OF EDUCATION
BUDGET INFORMATION NON-CONSTRUCTION PROGRAMS

OMB Control
Number: 1894-0008
Expiration Date:
09/30/2023

Name of Applicant Organization

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

SECTION A - BUDGET SUMMARY U.S. DEPARTMENT OF EDUCATION FUNDS

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Project Year 6 (f)	Project Year 7 (g)	Total (h)
1. Personnel								
2. Fringe Benefits								
3. Travel								
4. Equipment								
5. Supplies								
6. Contractual								
7. Construction								
8. Other								
9. Total Direct Costs (lines 1-8)								
10. Indirect Costs *Enter Rate Applied:								
11. Training Stipends								
12. Total Costs (lines 9-11)								

***Indirect Cost Information (To Be Completed by Your Business Office):**

If you are requesting reimbursement for indirect costs on line 10, please answer the following questions:

- (1) Do you have an Indirect Cost Rate Agreement approved by the Federal government? ☐ Yes ☐ No.
- (2) If yes, please provide the following information and provide a copy of your Indirect Cost Rate Agreement:
Period Covered by the Indirect Cost Rate Agreement: From: / / To: / / (mm/dd/yyyy)
Approving Federal agency: ☐ ED ☐ Other (please specify): The Indirect Cost Rate is %
- (3) If this is your first Federal grant, and you do not have an approved indirect cost rate agreement, are not a State, Local government or Indian Tribe, and are not funded under a training rate program or a restricted rate program, do you want to use the de minimis rate of 10% of MTDC? ☐ Yes ☐ No. If yes, you must comply with the requirements of 2 CFR § 200.414(f).
- (4) If you do not have an approved indirect cost rate agreement, do you want to use the temporary rate of 10% of budgeted salaries and wages? ☐ Yes ☐ No. If yes, you must submit a proposed indirect cost rate agreement within 90 days after the date your grant is awarded, as required by 34 CFR § 75.560.
- (5) For Restricted Rate Programs (check one) -- Are you using a restricted indirect cost rate that: ☐ Is included in your approved Indirect Cost Rate Agreement?
Or ☐ Complies with 34 CFR 76.564(c)(2)? The Restricted Indirect Cost Rate is %
- (6) For Training Rate Programs (check one) -- Are you using a rate that: ☐ Is based on the training rate of 8 percent of MTDC (See EDGAR § 75.562(c)(4))? Or ☐ Is included in your approved Indirect Cost Rate Agreement, because it is lower than the training rate of 8 percent of MTDC (See EDGAR § 75.562(c)(4)).

Name of Applicant Organization

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

**SECTION B - BUDGET SUMMARY
NON-FEDERAL FUNDS**

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Project Year 6 (f)	Project Year 7 (g)	Total (h)
1. Personnel								
2. Fringe Benefits								
3. Travel								
4. Equipment								
5. Supplies								
6. Contractual								
7. Construction								
8. Other								
9. Total Direct Costs (Lines 1-8)								
10. Indirect Costs *Enter Rate Applied:								
11. Training Stipends								
12. Total Costs (Lines 9-11)								

SECTION C – BUDGET NARRATIVE (see instructions)

Name of Applicant Organization

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

IF APPLICABLE: SECTION D – LIMITATION ON ADMINISTRATIVE EXPENSES

(1) List administrative cost cap (x%): _____

(2) What does your administrative cost cap apply to? __ (a) indirect and direct costs or __ (b) only direct costs

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Project Year 6 (f)	Project Year 7 (g)	Total (h)
1. Personnel Administrative								
2. Fringe Benefits Administrative								
3. Travel Administrative								
4. Contractual Administrative								
5. Construction Administrative								
6. Other Administrative								
7. Total Direct Administrative Costs (lines 1-6)								
8. Indirect Costs *Enter Rate Applied:								
9. Total Administrative Costs								
10. Total Percentage of Administrative Costs								

Instructions for ED 524

General Instructions

This form is used to apply to individual U.S. Department of Education (ED) discretionary grant programs. Unless directed otherwise, provide the same budget information for each year of the multi-year funding request. Pay attention to applicable program specific instructions, if attached. You may access the Education Department General Administrative Regulations cited within these instructions at:

https://www.ecfr.gov/cgi-bin/text-idx?SID=0b63ce6f20cacebf480e5596fdf289e3&mc=true&tpl=/ecfrbrowse/Title34/34cfr75_main_02.tpl. You may access requirements from 2 CFR 200, "Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards" cited within these instructions at: https://www.ecfr.gov/cgi-bin/text-idx?SID=6214841a79953f26c5c230d72d6b70a1&tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl.

You must consult with your Business Office prior to submitting this form.

Section A - Budget Summary U.S. Department of Education Funds

All applicants must complete Section A and provide a break-down by the applicable budget categories shown in lines 1-11.

Lines 1-11, columns (a)-(e): For each project year for which funding is requested, show the total amount requested for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If funding is requested for only one project year, leave this column blank.

Line 13, columns (a)-(e): Show the total budget request for each project year for which funding is requested.

Line 13, column (f): Show the total amount requested for all project years. If funding is requested for only one year, leave this space blank.

Indirect Cost Information: If you are requesting reimbursement for indirect costs on line 10 the indirect cost rate to be charged to the grant must be entered in the applicable field on line 10, and the following information is to be completed by your Business Office.

(1): Indicate whether or not your organization has an Indirect Cost Rate Agreement that was approved by the Federal government. If you checked "no," ED generally will authorize grantees to use a temporary rate of 10 percent of budgeted salaries and wages (**complete (4) of this section when using the temporary rate**) subject to the following limitations:

(a) The grantee must submit an indirect cost proposal to its cognizant agency within 90 days after ED issues a grant award notification; and

(b) If after the 90-day period, the grantee has not submitted an indirect cost proposal to its cognizant agency, the grantee may not charge its grant for indirect costs until it has negotiated an indirect cost rate agreement with its cognizant agency.

(2): If you checked "yes" in (1), provide a copy of your Indirect Cost Rate Agreement and indicate in (2) the beginning and ending dates covered by the Indirect Cost Rate Agreement. In addition, indicate whether ED, another Federal agency (Other) or State agency issued the approved agreement. If you check "Other," specify the name of the Federal or other agency that issued the approved agreement.

(3): If you check "no" in (1), indicate in (3) if you want to use the de minimis rate of 10 percent of MTDC (see 2CFR § 200.68). If you use the de minimis rate, you are subject to the provisions in 2 CFR § 200.414(f). Note, you may only use the 10 percent de minimis rate if you are a first-time Federal grant recipient, and you do not have an Approved Indirect Cost Rate Agreement. You may not use the de minimis rate if you are a State, Local government, or Indian Tribe, or if your grant is funded under a training rate or restricted rate program.

(5): If you are applying for a grant under a Restricted Rate Program (34 CFR 75.563 or 76.563), indicate whether you are using a restricted indirect cost rate that is included on your approved Indirect Cost Rate Agreement, or whether you are using a restricted indirect cost rate that complies with 34 CFR 76.564(c)(2). Note: State or Local government agencies may not use the provision for a restricted indirect cost rate specified in 34 CFR 76.564(c)(2). Check only one response. Leave blank, if this item is not applicable.

(6): For Training Rate Programs, ED regulations limit **non-governmental entities** to the recovery of indirect costs on training grants to the grantee's actual indirect costs, as determined by its negotiated rate agreement, or 8 percent of a MTDC, whichever is lower (see EDGAR § 75.562(c)(4)). The 8 percent limit also applies to cost-type contracts under grants, if these contracts are for training as defined in EDGAR § 75.562(a). If a **non-governmental entity** that receives a grant under a training grant program does not have an approved indirect cost rate and wants to recover indirect costs, it may use a temporary rate of 10 percent of budgeted direct salaries and wages, but it must submit an indirect cost rate proposal to its cognizant agency for indirect costs within 90 days after ED issues the GAN. After the 90-day period, the government entity may not charge its grant for indirect costs until it has negotiated an indirect cost rate agreement.

Section B - Budget Summary Non-Federal Funds

If you are required to provide or volunteer to provide cost-sharing or matching funds or other non-Federal resources to the project, these should be shown for each applicable budget category on lines 1-11 of Section B.

Lines 1-11, columns (a)-(e): For each project year, for which matching funds or other contributions are provided, show the total contribution for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If non-Federal contributions are provided for only one year, leave this column blank.

Line 12, columns (a)-(e): Show the total matching or other contribution for each project year.

Line 12, column (f): Show the total amount to be contributed for all years of the multi-year project. If non-Federal contributions are provided for only one year, leave this space blank.

Section C - Budget Narrative [Attach separate sheet(s)] Pay attention to applicable program specific instructions, if attached.

1. Provide an itemized budget breakdown, and justification by project year, for each budget category provided in Sections A and B. For grant projects that are divided into two or more separately budgeted major activities or sub-projects, show for

each budget category of a project year the breakdown of the specific expenses attributable to each sub-project or activity.

2. For non-Federal funds or resources listed in Section B that are used to meet a cost-sharing or matching requirement or provided as a voluntary cost-sharing or matching commitment, you must include:

- a. The specific costs or contributions by budget category;
- b. The source of the costs or contributions; and
- c. In the case of third-party in-kind contributions, a description of how the value was determined for the donated or contributed goods or services.

[Please review cost sharing and matching regulations found in 2 CFR 200.306.]

3. If applicable to this program, provide the rate and base on which fringe benefits are calculated.
4. If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. Specify the estimated amount of the base to which the indirect cost rate is applied and the total indirect expense. Depending on the grant program to which you are applying and/or your approved Indirect Cost Rate Agreement, some direct cost budget categories in your grant application budget may not be included in the base and multiplied by your indirect cost rate. For example, you must multiply the indirect cost rates of "Training grants" (34 CFR 75.562) and grants under programs with "Supplement not Supplant" requirements ("Restricted Rate" programs) by a "modified total direct cost" (MTDC) base (34 CFR 75.563 or 76.563). Please indicate which costs are included and which costs are excluded from the base to which the indirect cost rate is applied.

When calculating indirect costs (line 10) for "Training grants" or grants under "Restricted Rate" programs, you must refer to the information and examples on ED's website at: <http://www.ed.gov/fund/grant/apply/appforms/appforms.html>.

You may also contact (202) 377-3838 for additional information regarding calculating indirect cost rates or general indirect cost rate information.

5. Provide other explanations or comments you deem necessary.

If Applicable Section D - Budget Summary Limitation on Administrative Expenses.

If your program is subject to an administrative cost cap (as indicated Section III.2.C of the program's Notice Inviting Applications (NIA)), fill out this form as follows:

1. On the top of the page, list the percentage cap on administrative costs, and indicate whether your administrative cost cap applies to both indirect and direct costs, or only direct costs (from Section III.2.C of the program's NIA).
2. IF the cost cap applies to both indirect and direct costs:
 - (a) Fill out the entire table noting your administrative costs, including line 8. Line 8 is taken from Section A, line 10.

For lines 1-6, these are only direct administrative costs; do not include in lines 1-6 any costs included in your indirect cost rate. If your program has a matching requirement (see NIA), include in lines 1-6 the administrative portions of the applicable rows from both Section A and Section B. If there is no program matching requirement, only use Section A.

- (b) Ensure that the line 10 percentage DOES NOT EXCEED the percentage cap on administrative costs. If your program does not have a matching requirement, divide line 9 by Section A line 12. If your program does have a matching requirement, to calculate line 10, divide line 9 by the sum of Section A line 12 and Section B line 12.

3. IF the cost cap applies ONLY to direct costs:

- (a) Fill out the entire table noting your administrative costs, EXCLUDING line 8.

Ensure that the line 10 percentage DOES NOT EXCEED the percentage cap on administrative costs. If your program does not have a matching requirement, divide line 7 by Section A line 9. If your program does have a matching requirement, to calculate line 10, divide line 7 by the sum of Section A line 9 and Section B line 9).

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 **1894-0008**. The time required to complete this information collection is estimated to vary from 13 to 22 hours per response, with an average of 17.5 hours per response, including the time to review instructions, search existing data sources, 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. 20202-4537. If you have comments or concerns regarding the status of your individual submission of this form, write directly to the Office of Finance and Operations, Office of Acquisitions and Grants Administration, Grants Policy and Training Division, U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202.

Budget Narrative File(s)

* Mandatory Budget Narrative Filename: 1244-8 Budget Narrative NC CAL 5-22 .pdf

Add Mandatory Budget Narrative

Delete Mandatory Budget Narrative

View Mandatory Budget Narrative

To add more Budget Narrative attachments, please use the attachment buttons below.

Add Optional Budget Narrative

Delete Optional Budget Narrative

View Optional Budget Narrative

North Carolina Department of Public Instruction (NCDPI)
Budget Narrative
Competitive Grants for State Assessments Program (ALN) 84.368A
Multilingual-Multimodal Science Inventory (M2-Si)

Period of Performance: Oct 1, 2022 – September 30, 2026

PERSONNEL

The North Carolina Department of Public Instruction (NCDPI) staff selected for this project have the experience and academic background that align with the requirements for implementing the proposed project. The NCDPI will allocate 20% effort for a PI and 20% effort for a Sr. Science Expert, both with experience working with English learners in dual language programs as well as in non-dual language education programs.

The Project PI will serve as the primary liaison to the Project Officer and the Center for Applied Linguistics Co-PI. She will also facilitate project activities with families and school administrators and educators. She will meet weekly with the Project Co-PI to review the status of project activities and to participate in project sessions. The Science Senior Expert will collaborate with the project PI and Co-PI in areas related to creating science rubrics, science tasks and with the implementation of the pilot and field tests.

While NC DE will allocate these two positions to the project, it will not charge for their time.

NC DE Project Staff	% Time	Yr. 1 Salary
Ivanna Mann Thrower Anderson	20%	\$0.00
Charles Akin	20%	\$0.00

Fringe	\$0.00
Total Dept of NC Personnel Costs	\$0.00

OTHER DIRECT COSTS

Contractual	
- Center for Applied Linguistics (Separate Budget Breakout below)	\$2,977,251
Travel	\$0.00
Supplies	\$0.00
Other	\$0.00
Subtotal Other	\$0.00
Total Direct Costs	\$2,977,251

OVERHEAD – DIRECT COSTS (MTDC)

11.7% of first \$25,000 each project year ($\$25,000 \times 11.7\% \times 4 \text{ years}$) OH, is charged to the first 25% of services provided through a subcontract. The subcontract is referenced above under “Contractual.”	\$11,700
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STIPENDS

N/C \$0.00

TOTAL, NCDPI, years 1 - 4	\$ 2,988,951
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North Carolina Department of Public Instruction (NCDPI)
Center for Applied Linguistics
Budget Narrative
Competitive Grants for State Assessments program (ALN) 84.368A
Multilingual-Multimodal Science Intervention (M2-Si)

Center for Applied Linguistics (CAL)
Period of Performance: October 1, 2022 – September 30, 2026

Budget Summary, Years 1 – 4

Budget Categories	Year 1	Year 2	Year 3	Year 4	Total
1. Personnel	\$ 220,471	\$ 203,555	\$ 153,542	\$ 225,178	\$ 802,746
2. Fringe Benefits	\$ 84,881	\$ 78,369	\$ 59,114	\$ 86,693	\$ 309,057
3. Travel	\$ 12,400	\$ 12,400	\$ 12,400	\$ 12,400	\$ 49,600
4. Equipment	\$ -	\$ -	\$ -	\$ -	\$ -
5. Supplies	\$ 28,500	\$ 28,500	\$ 28,500	\$ 28,500	\$ 114,000
6. Contractual	\$ 218,200	\$ 218,200	\$ 218,200	\$ 218,200	\$ 872,800
7. Construction	\$ -	\$ -	\$ -	\$ -	\$ -
8. Other	\$ 61,744	\$ 57,345	\$ 44,336	\$ 62,969	\$ 226,394
9. Total Direct Costs (Lines 1-8)	\$ 626,196	\$ 598,369	\$ 516,092	\$ 633,940	\$ 2,374,597
10. Indirect Costs*	\$ 149,035	\$ 142,412	\$ 122,830	\$ 150,877	\$ 565,154
11. Training Stipends	\$ 10,000	\$ 10,000	\$ 10,000	\$ 7,500	\$ 37,500
12. Total Costs (lines 9-11)	\$ 785,231	\$ 750,780	\$ 648,920	\$ 792,320	\$ 2,977,251

1. PERSONNEL

Budget Category	Year 1	Year 2	Year 3	Year 4	Total
1. Personnel	\$ 220,471	\$ 203,555	\$ 153,542	\$ 225,178	\$ 802,746

The staff selected for this project have the experience and academic background that align with the requirements for implementing the proposed project. All staff included in the proposal are currently CAL staff with complementary expertise, experience and academic background that will contribute to the greatest extent possible for the success of this project.

CAL Project Staff	% Time Year 1	% Time Year 2	% Time Yr. 3	% Time Yr. 4
Keira Ballantyne, CO-PI	46%	39%	30%	36%
Justin Kelly, Internal Sr. Advisor	4%	4%	4%	4%
Project Manager	51%	50%	50%	50%
Sr. Research Associate	44%	39%	22%	27%
Research Associate 1	49%	38%	31%	37%
Research Associate 2	36%	33%	26%	32%

Dr. Keira Ballantyne has a background is in Linguistics with experience working at a national level with test development, research, technical assistance, and outreach with English learner programs. Dr. Ballantyne is the project's key personnel and will serve as the project Co-PI who will provide oversight and technical guidance to the CAL project activities and who will be the primary liaison to the North Carolina Department of Education project Principal Investigator.

Dr. Justin Kelly has a background in Linguistics and has extensive experience is test development activities in multiple languages and for English learners. Dr. Kelly will provide technical review and assistance to the design and development of the proposed project.

The proposed Project Manager will have graduate level work in project management, the education of English learners and experience with developing assessment tools. She will be responsible for the day-to-day administration of project activities and contribute to the different steps of development for the proposed assessment tool. This includes contributing to updating the project workplan, organizing pilot and field-testing activities, coordinating activities for the technical working group and for the project's Sr. Advisor consultants. The PM will also collaborate with the project evaluator consultant in implementing the project's evaluation activities. In addition, the PM will be responsible for preparing the required project reports, interim project reports and project updates.

The proposed Sr. Research Associate has done doctoral level work in Assessment, Evaluation and Accountability and has taught Kindergarten through 8th grade, as a bilingual/ ESL/ and general education teacher. Maria is nationally board certified in English as a New Language Ages 3-12. Her accomplishments include developing the Nevada ELD Standards Instructional Framework and Guidance documents for Science K-5 and Social Studies K-12. Maria will contribute to the project in conducting focus groups, developing assessment rubrics and assessment science tasks.

The proposed Research Associate 1 has a background in language education and international studies in completing an MA degree in applied linguistics. Jaime is currently an Associate Project Manager in CAL's Language Assessment Division, where she has worked on a variety of projects involving assessment, research, and professional development related to world languages, heritage languages, bilingual/dual language education, and English learners. For the proposed project, Jamie will assist with conducting focus groups, pilot testing, data collection data analysis and outreach activities.

The Research Associate 2 has an M.A.T in TESOL and experience teaching at the elementary and middle school levels. Currently Brittany works as a Language Testing Specialist where she has participated in diverse facets of language assessment activities. For the proposed project, Brittany will assist with conducting focus groups, pilot testing, data collection data analysis and outreach activities.

2. FRINGE BENEFITS

Budget Category	Year 1	Year 2	Year 3	Year 4	Total
2. Fringe Benefits	\$ 84,881	\$ 78,369	\$ 59,114	\$ 86,693	\$ 309,057

CAL's provisional fringe rate for FY 2022 is 38.5%, and it is applied to the salaries of key and other personnel, as per CAL's Negotiated Indirect Cost Agreement (Attached), reviewed and approved by the Department of Education's Indirect Cost Group. Fringe benefits include vacation, sick, and holiday leave expense; medical, life, and disability insurance; retirement; and mandatory payroll tax expenses.

3. TRAVEL

Budget Category	Year 1	Year 2	Year 3	Year 4	Total
3. Travel	\$ 12,400	\$ 12,400	\$ 12,400	\$ 12,400	\$ 49,600

CAL staff will travel to meet with the NC PI, Sr. Project Expert and teachers to review focus group activities as well as to review and discuss activities related to the development of rubrics and task activities and pilot and field test activities. This amount is constant across the project four years.

<u>CAL Staff Travel to NC</u>		
Travel	2 staff x 3 trips x \$150/trip	\$ 900
Lodging	2 staff x 3 trips x 2 days x \$200	\$ 2,400
Per diem	2 staff x 3 trips x 2 days x \$75/trip	\$ 900
Total CAL Travel to NC		\$ 4,200

The CAL CO-PI and an additional project staff member will participate in two conferences related to the purpose of the proposed project, where they will meet with conference participants to share information related to the proposed project and to collect feedback on the project's activities. Among the conferences to be considered for participation are La Cosecha Dual Language Conference, the National Conference on Student Assessment, the National Association for Bilingual Education Conference, TESOL and AERA. Travel costs remain constant across the project four years. This amount is constant across the project four years. The proposed travel costs have been estimated based on CAL's previous experience with similar projects.

<u>CAL Staff Travel to Conferences</u> Travel	2 staff x 2 trips x \$650	\$2,600
Lodging	2 staff x 2 trips x 4 days x \$275	\$4,400
Per diem	2 staff x 2 trips x 4 days x \$75/trip	\$1,200
Total CAL Travel Conference		\$8,200

4. EQUIPMENT N/A

5. SUPPLIES

Budget Category	Year 1	Year 2	Year 3	Year 4	Total
5. Supplies	\$ 28,500	\$ 28,500	\$ 28,500	\$ 28,500	\$ 114,000

The proposed multilingual, multimodal formative assessment test will utilize project-instruction based assessment activities. Participating teachers and students will be provided with science materials and realia as well as a smart tablet to participate in implementing the assessment activities. The costs have been estimated based on CAL's previous experience with similar projects.

20 teachers/parents + 40 students x \$350/tablet	\$21,000
Science kits, realia x \$75 ea. X 100 students	\$ 7,500
Total Supplies	\$28,500

6. CONTRACTUAL

Budget Category	Year 1	Year 2	Year 3	Year 4	Total
6. Contractual	\$ 218,200	\$ 218,200	\$ 218,200	\$ 218,200	\$ 872,800

The proposed contractual line item encompasses 4 categories of contractual services: (1) Technical Working Group; (2) Sr. Advisors; (3) Teachers; (4) I/T Integration Team, and Consultant Travel. The amount for each of the proposed four years remains constant for each year.

The total costs for each of the five categories is provided below.

Technical Working Group	\$ 7,000
Sr Advisors	\$ 34,000
Teachers	\$ 45,000
I/T Integration Team	\$ 100,000
Consultant Travel	\$ 32,200
Total Contractual	\$ 218,200

Additional details for each of these contractual categories are provided below.

Technical Working Group - The proposed technical work members have a background in areas related to the proposed project's activities dealing with the education of dual language education, multilingual education, assessment, research, and science. The TWG members will review the proposed projects workplan and implementation activities and provide input and feedback at three annual meetings. The proposed fee has been estimated based on CAL's previous experience with similar projects.

TWG Expertise	Meetings (1 day each)	Rate	Total
ELS Research	2	\$500	\$1,000
ELS Instruction	2	\$500	\$1,000
Methodologist	2	\$500	\$1,000
Assessment	2	\$500	\$1,000
Psychometrics	2	\$500	\$1,000
Els Science Researcher	2	\$500	\$1,000
Els Policy & Research	2	\$500	\$1,000
Total Technical Working Group			\$7,000

Senior Advisor Consultants - The proposed Sr. consultants have a background and experience in test development activities, assessment research and in working with English learner students. Dr. Chalhoub-Deville and Dr. Gottlieb will assist refining the proposed assessment project design development as well as providing input and feedback into the proposed assessment pilot and field test. The Project Evaluator will contribute address the grant requirements for evaluating project activities. The Translator will assist with translating outreach materials and events for family members involved in the project. The proposed fee has been estimated based on CAL's previous experience with similar projects.

Sr. Advisors		
Micheline Chalhoub-DeVille	15 days x \$750	\$11,250
Margo Gottlieb	20 days x \$750	\$15,000
Project Evaluator	7 days x \$750	\$ 5,250
Translator	5 days x \$500	\$2,500
Total Sr. Consultants		\$34,000

Teachers - The proposed teachers will have experience in working with teaching science to English learners in the primary grades and in dual language programs. The NC Project PI will assist in identifying the teachers to participate in the project. The teachers will meet with project staff to assist in planning focus groups, reviewing and providing feedback on the proposed project assessment rubrics, science task development activities, and pilot and field-testing

activities. The proposed fee has been estimated based on CAL's previous experience with similar projects.

Consultant - Teachers		
3rd Grade	5 teachers x 10 days x \$300/day	\$15,000
4th Grade	5 teachers x 10 days x \$300/day	\$15,000
5th Grade	5 teachers x 10 days x \$300/day	\$15,000
Total Teachers		\$ 45,000

I/T Integration Experts The I/T Integration Team will be provided by World Data, Inc. and will primarily contribute to tasks 4.1 develop assessment e-inventory; 4.2 pilot assessment e-inventory; and 4.3 field test assessment e-inventory. The I/T Integration Team will collaborate with assessment team in designing and developing an I/T framework that accommodates user friendly data input mechanisms and that integrates data such as student data, standards data, student performance data, campus level data, etc., with the I/T framework to produce user friendly and meaningful reports to various stakeholders including family members, teachers, administrators, etc. The I/T framework will adhere to confidentiality and data security standards. The I/T Team has demonstrated experience in creating data integration I/T frameworks that will contribute to the efficiency and utility of the proposed formative assessment e-inventory. The proposed fee has been estimated based on CAL's previous experience with similar projects.

I/T Integration for assessment e-inventory framework	625hrs. x \$160	\$100,000
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Consultant Travel – Travel costs for consultants to engage in the activities described above are provided below. Consultants are reimbursed for actual costs except for per-diem which is \$75/day pro-rated for the actual travel day. Actual travel costs include airfare, local travel, lodging, per diem and require receipts and appropriate documentation for reimbursement. The proposed consultant travel costs have been estimated based on CAL's previous experience with similar projects.

Technical Working Group - 6 TWG members travel to DC for 1 meeting for year. The second meeting is held virtually.	\$8,200
Senior Consultants - Senior consultants will make 3 trips each to DC to engage in planning and designing formative assessment e-inventory	\$10,410
Teachers	0.00
I/T Integration Team	0.00
Two NC Project staff will participate in 2 conferences each that relate to English learners, assessment, or dual language education. - Conference - DC Coordination Meeting	\$13,590
Total Consultant Travel	\$32,200

7. CONSTRUCTION N/A

8. OTHER

Budget Category	Year 1	Year 2	Year 3	Year 4	Total
8. Other	\$61,744	\$57,345	\$44,336	\$62,969	\$226,394

Costs for this category include costs for conference registration and for facilities. The NC Project PI and Sr. Science Expert and the CAL CO-PI and a project staff person will be reimbursed for conferences that they will participate in to engage in providing information about the proposed project and for obtaining feedback. Conference registration is estimated at \$550 per person for 2 CAL staff and 2 North Carolina Department of Public Instruction based on CAL's attending 2 conferences a year for a total of \$4,400 annually. Conference participation addresses the dissemination and outreach activities required for the project. The proposed registration fee has been estimated based on CAL's previous experience with similar projects.

Facilities costs are exclusive of CAL's negotiated indirect rate and are allowable as a direct cost, allocated under "other direct costs." CAL's facility costs include office rent, utilities, depreciation of furniture and equipment, property & casualty insurance, and building maintenance costs. CAL's facilities rate is 26.01% of the total of project staff salaries.

9. TOTAL DIRECT COSTS

Budget Category	Year 1	Year 2	Year 3	Year 4	Total
9. Total Direct Costs	\$ 626,196	\$ 598,369	\$ 516,092	\$ 633,940	\$ 2,374,597

10. INDIRECT COSTS

Budget Category	Year 1	Year 2	Year 3	Year 4	Total
10. Indirect Costs*	\$ 149,035	\$ 142,412	\$ 122,830	\$ 150,877	\$ 565,154

CAL's provisional indirect rate for FY210 is 23.8%. This rate is based on CAL's indirect cost rate agreement negotiated with the U.S. Department of Education Indirect Cost Group and is applied to the Modified Total Direct Costs (MTDC), which excludes subawards and subcontracts over \$25,000. CAL's overhead costs, include the cost of support areas, such as, Finance, IT, Communications, and the President's Office.

11. STIPENDS

Budget Category	Year 1	Year 2	Year 3	Year 4	Total
11. Stipends	\$10,000	\$10,000	\$10,000	\$7,500	--\$37,500

Family members and student participants in the project's focus groups will be offered a stipend for participating in the focus groups. The costs have been estimated based on CAL's previous experience with similar projects.

Years 1 - 3

Participate in Focus Groups	100 Parents x \$50 ea.	\$5,000
	100 students x \$50 ea.	\$5,000

Year 4

Participate in Focus Groups	75 Parents x \$50 ea.	\$3,750
	75 students x \$50 ea.	\$3,750

12. TOTAL COSTS-Center for Applied Linguistics

Budget Category	Year 1	Year 2	Year 3	Year 4	Total
12. Total Costs	\$ 785,231	\$ 750,780	\$ 648,920	\$ 792,320	\$ 2,977,251



U.S. DEPARTMENT OF EDUCATION
BUDGET INFORMATION
NON-CONSTRUCTION PROGRAMS

OMB Number: 1894-0008
Expiration Date: 09/30/2023

Name of Institution/Organization

N.C. Department of Public Instruction

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

SECTION A - BUDGET SUMMARY
U.S. DEPARTMENT OF EDUCATION FUNDS

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Project Year 6 (f)	Project Year 7 (g)	Total (h)
1. Personnel								
2. Fringe Benefits								
3. Travel								
4. Equipment								
5. Supplies								
6. Contractual	2,977,251.00							2,977,251.00
7. Construction								
8. Other								
9. Total Direct Costs (lines 1-8)	2,977,251.00							2,977,251.00
10. Indirect Costs*	11,700.00							11,700.00
11. Training Stipends								
12. Total Costs (lines 9-11)	2,988,951.00							2,988,951.00

***Indirect Cost Information (To Be Completed by Your Business Office):** If you are requesting reimbursement for indirect costs on line 10, please answer the following questions:

(1) Do you have an Indirect Cost Rate Agreement approved by the Federal government? ☒ Yes ☐ No

(2) If yes, please provide the following information:

Period Covered by the Indirect Cost Rate Agreement: From: 07/01/2021 To: 06/30/2022 (mm/dd/yyyy)

Approving Federal agency: ☒ ED ☐ Other (please specify):

The Indirect Cost Rate is 11.70 %.

(3) If this is your first Federal grant, and you do not have an approved indirect cost rate agreement, are not a State, Local government or Indian Tribe, and are not funded under a training rate program or a restricted rate program, do you want to use the de minimis rate of 10% of MTDC? ☐ Yes ☐ No If yes, you must comply with the requirements of 2 CFR § 200.414(f).

(4) If you do not have an approved indirect cost rate agreement, do you want to use the temporary rate of 10% of budgeted salaries and wages?
☐ Yes ☐ No If yes, you must submit a proposed indirect cost rate agreement within 90 days after the date your grant is awarded, as required by 34 CFR § 75.560.

(5) For Restricted Rate Programs (check one) – Are you using a restricted indirect cost rate that:

☐ Is included in your approved Indirect Cost Rate Agreement? Or, ☐ Complies with 34 CFR 76.564(c)(2)? The Restricted Indirect Cost Rate is %.

(6) For Training Rate Programs (check one) – Are you using a rate that:

☐ Is based on the training rate of 8 percent of MTDC (See EDGAR § 75.562(c)(4))? Or, ☐ Is included in your approved Indirect Cost Rate Agreement, because it is lower than the training rate of 8 percent of MTDC (See EDGAR § 75.562(c)(4))?

Name of Institution/Organization	Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.
N.C. Department of Public Instruction	

**SECTION B - BUDGET SUMMARY
NON-FEDERAL FUNDS**

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Project Year 6 (f)	Project Year 7 (g)	Total (h)
1. Personnel								
2. Fringe Benefits								
3. Travel								
4. Equipment								
5. Supplies								
6. Contractual								
7. Construction								
8. Other								
9. Total Direct Costs (lines 1-8)								
10. Indirect Costs								
11. Training Stipends								
12. Total Costs (lines 9-11)								

SECTION C - BUDGET NARRATIVE (see instructions)

ED 524

Name of Institution/Organization <div style="border: 1px solid black; padding: 2px; margin-top: 5px;">N.C. Department of Public Instruction</div>	Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.
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IF APPLICABLE: SECTION D - LIMITATION ON ADMINISTRATIVE EXPENSES

- (1) List administrative cost cap (x%):
- (2) What does your administrative cost cap apply to? ☐ (a) indirect and direct costs or, ☐ (b) only direct costs

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Project Year 6 (f)	Project Year 7 (g)	Total (h)
1. Personnel Administrative								
2. Fringe Benefits Administrative								
3. Travel Administrative								
4. Contractual Administrative								
5. Construction Administrative								
6. Other Administrative								
7. Total Direct Administrative Costs (lines 1-6)								
8. Indirect Costs								
9. Total Administrative Costs								
10. Total Percentage of Administrative Costs								

ED 524

DISCLOSURE OF LOBBYING ACTIVITIES

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

OMB Number: 4040-0013

Expiration Date: 02/28/2025

1. * Type of Federal Action: <input type="checkbox"/> a. contract <input checked="" type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	2. * Status of Federal Action: <input type="checkbox"/> a. bid/offer/application <input checked="" type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	3. * Report Type: <input checked="" type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change
4. Name and Address of Reporting Entity: <input checked="" type="checkbox"/> Prime <input type="checkbox"/> SubAwardee * Name <input type="text" value="NC Department of Public Instruction"/> * Street 1 <input type="text" value="301 N Wilmington St"/> Street 2 <input type="text"/> * City <input type="text" value="Raleigh"/> State <input type="text" value="NC: North Carolina"/> Zip <input type="text" value="27601-1058"/> Congressional District, if known: <input type="text"/>		
5. If Reporting Entity in No.4 is Subawardee, Enter Name and Address of Prime: 		
6. * Federal Department/Agency: <input type="text" value="US Department of Education"/>	7. * Federal Program Name/Description: <input type="text" value="Competitive Grants for State Assessments (formerly Grants for Enhanced Assessment Instruments)"/> CFDA Number, if applicable: <input type="text" value="84.368"/>	
8. Federal Action Number, if known: <input type="text"/>	9. Award Amount, if known: \$ <input type="text"/>	
10. a. Name and Address of Lobbying Registrant: Prefix <input type="text"/> * First Name <input type="text" value="N/A"/> Middle Name <input type="text"/> * Last Name <input type="text" value="N/A"/> Suffix <input type="text"/> * Street 1 <input type="text" value="N/A"/> Street 2 <input type="text"/> * City <input type="text" value="N/A"/> State <input type="text"/> Zip <input type="text"/>		
b. Individual Performing Services (including address if different from No. 10a) Prefix <input type="text"/> * First Name <input type="text" value="N/A"/> Middle Name <input type="text"/> * Last Name <input type="text" value="N/A"/> Suffix <input type="text"/> * Street 1 <input type="text" value="N/A"/> Street 2 <input type="text"/> * City <input type="text" value="N/A"/> State <input type="text"/> Zip <input type="text" value="27601-1058"/>		
11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when the transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure. * Signature: <input type="text" value="Melissa A Madrid"/> * Name: Prefix <input type="text"/> * First Name <input type="text" value="Melissa"/> Middle Name <input type="text" value="A"/> * Last Name <input type="text" value="Madrid"/> Suffix <input type="text"/> Title: <input type="text" value="Grants Accountant"/> Telephone No.: <input type="text" value="(984) 236-2469"/> Date: <input type="text" value="05/03/2022"/>		
Federal Use Only:		Authorized for Local Reproduction Standard Form - LLL (Rev. 7-97)

PR/Award # S368A220014

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