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Office of Elementary and Secondary Education  
Washington, D.C. 20202-6200**

**Fiscal Year 2007**

**Application for New Grants Under  
the Smaller Learning Communities Program**

**CFDA 84.215L**



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**If you have comments or concerns regarding the status of your individual submission of this form, write directly to:** Angela Hernandez-Marshall, U.S. Department of Education, OESE/AITQ, 400 Maryland Avenue, SW, LBJ, Room 3W236, Washington, DC, 20202-6200. Telephone: (202) 205-1909. Email: [Angela.Hernandez-Marshall@ed.gov](mailto:Angela.Hernandez-Marshall@ed.gov).

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**United States Department of Education**  
OFFICE OF ELEMENTARY AND SECONDARY EDUCATION  
ACADEMIC IMPROVEMENT AND TEACHER QUALITY PROGRAMS

Dear Colleague:

Thank you for your interest in the Smaller Learning Communities (SLC) program, administered by the Office of Elementary and Secondary Education of the U.S. Department of Education. This information is for applicants seeking Fiscal Year (FY) 2007 funding under the SLC program, authorized under Title V, Part D, Subpart 4 of the Elementary and Secondary Education Act of 1965 (ESEA) (20 U.S.C. 7249), as amended by the No Child Left Behind Act of 2001 (P.L. 107-110). The SLC program awards discretionary grants to local educational agencies (LEAs) to support the implementation of SLCs and activities to improve student academic achievement in large public high schools with enrollments of 1,000 or more students.

Please take the time to review the applicable priorities, selection criteria, and all of the application instructions thoroughly. An application will not be evaluated for funding if the applicant does not comply with all of the procedural rules that govern the submission of the application or the application does not contain the information required under the program (EDGAR §75.216 (b) and (c)).

For this competition, the program has established an **absolute priority** from the notice of final priority, requirements, and selection criteria for fiscal year (FY) 2006 and subsequent years' funds published in the Federal Register on May 18, 2007 and a **competitive priority** from the notice of final priorities for discretionary grant programs published in the Federal Register on October 11, 2006 (71 FR 60045). Additional information can be found within the application package.

For this competition it is **mandatory** for applicants to use the new government-wide website, Grants.gov (<http://www.grants.gov>), to apply. Please note that the Grants.gov site works differently than the U.S. Department of Education's e-Application System. We strongly encourage you to familiarize yourself with Grants.gov and strongly recommend that you register early and submit early.

Using FY 2007 funds, the Department expects to award \$88,323,609 for new grants under this competition. We will award discretionary grants on a competitive basis for a project period of up to 60 months. Grants will be awarded before the end of the 2007-08 school year.

Please visit our program website at [www.ed.gov/programs/slcp](http://www.ed.gov/programs/slcp) for further information. If you have any questions about the program after reviewing the application package, please contact Angela Hernandez-Marshall at (202) 205-1909 (e-mail: [smallerlearningcommunities@ed.gov](mailto:smallerlearningcommunities@ed.gov)).

Joseph Conaty  
Director

# Frequently Asked Questions

## Eligibility

### **Who is eligible to receive a grant?**

Local educational agencies (LEAs), including schools funded by the Bureau of Indian Education (formerly the Bureau of Indian Affairs) and educational service agencies, applying on behalf of up to 8 large public high schools, are eligible to apply for a grant. An educational service agency is eligible if it can show in its application that the entity or entities with governing authority over the eligible high schools on whose behalf the educational service agency is applying supports the application.

In addition, we require that an LEA applying for a grant under this competition apply only on behalf of a high school or high schools for which it has governing authority, unless the LEA is an educational service agency that includes in its application evidence that the entity that has governing authority over the eligible high school supports the application. An LEA, however, may form a consortium with another LEA and submit a joint application for funds. The consortium must follow the procedures for group applications described in 34 CFR 75.127 through 75.129 in EDGAR. An LEA is eligible for only one grant, whether the LEA applies independently or as part of a consortium.

A “large high school” is a school that includes grades 11 and 12 and enrolls at least 1,000 students in grades 9 and above. LEAs must include in their applications the name(s) of the eligible school(s) and the number of students enrolled in the school during the current (2007-08) school year. Applicants must provide evidence in their applications that each of the high schools included in their applications has a student enrollment of not less 1,000 students in grades 9 and above during the current school year. We will deem ineligible an application from an LEA that is submitted on behalf of high schools that are being constructed or that do not have an active student enrollment.

### **How many high schools may be included in an application?**

An individual LEA or group application may not request funding for more than 8 eligible high schools.

### **Our district has 10 eligible high schools. May we submit one application on behalf of 8 high schools, and a second application on behalf of the other 2 high schools?**

No. An LEA may submit only one application in this competition.

### **We opened a new high school several years ago to serve students enrolled in grades 9 through 12. The school opened with 350 students enrolled in grade 9, and we have added a grade level each year as this initial group of students advanced. During the current school year, there were more than 1,000 students enrolled in grades 9 through 11, but there were no students enrolled in grade 12. Does this school meet the definition of a “large high school?”**

Yes. We define a “large high school” as “a public school that includes grades 11 and 12 and has an enrollment of 1,000 or more students in grades 9 and above.” Provided a school has 1,000 or more students enrolled in grades 9 and above and it is authorized under State law to serve students in grades 11 and 12, it would meet the definition of “large high school” even if there were no students enrolled in grades 11 or 12 during the current school year.

**We want to apply on behalf of a high school that has 1,050 students enrolled in grades 9 and above during the current school year. We cannot be certain, however, that student enrollment in grades 9 and above will remain at or above 1,000 students in future school years. Will you terminate our grant if student enrollment in grades 9 and above falls below 1,000 in future school years?**

No. We would not terminate an SLC grant because a school's enrollment in grades 9 and above later fell below 1,000 students during the 60-month project period. An LEA may apply on behalf of a school that meets the definition of a "large high school" at the time of its application, using enrollment figures from the current school year. We do not require that the school continue to meet the definition of a "large high school" after the grant has been awarded.

**During the current school year, there are 900 students enrolled in grades 9 and above at one of the high schools in our district. It is possible that the school's enrollment could reach 1,000 next year or the following year. Can we apply on behalf of this school?**

No. We define a "large high school" as "a public school that includes grades 11 and 12 and has an enrollment of 1,000 or more students in grades 9 and above." Enrollment figures must be based upon data from the current school year. Enrollment projections cannot be used.

**Our junior high school serves students in grades 7 through 9, and our high school serves students in grades 10 through 12. Since high schools in many other districts include a grade 9, can we consider the grade 9 students in our junior high school as if they were part of the high school in our application and provide these students and their teachers and other personnel with the same kinds of services and activities we will be providing the students, teachers, and personnel in the high school?**

No. Grant funds may be used only to serve the large high school included in the application. While many high schools do include a ninth grade, if the large high school included in the application does not have a ninth grade, the applicant may not consider the students enrolled in the ninth grade at other schools as if they were enrolled in the school included in the application.

**May an LEA apply on behalf of high schools that previously received SLC funds?**

An LEA may apply only on behalf of a school that is not included in an SLC implementation grant that has a performance period that extends beyond the current fiscal year (September 30, 2008).

High schools that are included in an active SLC implementation grant are not eligible to receive funds under this competition. This includes not only high schools included in grants awarded in 2005, 2006, and 2007, but also high schools that are included in grants awarded in 2004 if the grant recipient obtains a no-cost extension that extends the project period of the grant beyond September 30, 2008 under Part 74.25 of the Education Department General Administrative Regulations (EDGAR).

## **Grant Award Amounts and Duration**

### **What is the duration and maximum amount of the grant awards?**

For a 60-month grant, an LEA may receive, on behalf of a single school, \$1,250,000 to \$1,750,000, depending upon the size of the school. An LEA applying on behalf of a group of eligible schools may request up to \$14,000,000 per grant depending on the size and number of schools. LEAs must stay within the maximum school allocations when determining their group award request. In order to ensure sufficient grant funds at the local level, an LEA may not request funds for more than 8 schools under a single application.

The following chart provides the ranges of awards per high school size for the entire 60-month grant period:

<b>SLC Grant Award Ranges</b>	
<b>Student Enrollment</b>	<b>Award Ranges Per School</b>
<i>1,000 - 2,000 Students</i>	<i>\$1,000,000 - \$1,250,000</i>
<i>2,001 - 3,000 Students</i>	<i>\$1,000,000 - \$1,500,000</i>
<i>3,001 and Up Students</i>	<i>\$1,000,000 - \$1,750,000</i>

The actual size of awards would be based on a number of factors, including the scope, quality, and comprehensiveness of the proposed project, and the range of awards indicated in the application.

Applications that request more funds than the maximum amounts specified for any school or for the total grant would not be read as part of the regular application process. However, if, after the Secretary selects applications to be funded, it appears that additional funds remain available, the Secretary may choose to read those additional applications that requested funds exceeding the maximum amounts specified. If the Secretary chooses to fund any of those additional applications, applicants will be required to work with the Department to revise their proposed budgets to fit within the appropriate funding range.

### **Are the maximum award amounts per year or for the entire 60-month project period?**

The maximum award amounts per school are for the entire 60-month project period.

**We want to apply on behalf of a high school that is eligible for a maximum award of \$1.25 million over 60 months. Are we required to apply for the full \$1.25 million, or can we request a lesser amount?**

You are not required to apply for the entire maximum award amount. We have not established a minimum grant award amount for which you must apply.

**Must we divide the maximum award amount equally across all five years of the project, or can we spend more in some years and less in others?**

Applicants are not required to spend the same amount in each year of the project.

**Do the maximum award amounts include indirect costs, or can we charge indirect costs in addition to the maximum award amount?**

The maximum award amount includes indirect costs.

## **Deadlines**

**What is the deadline for the notice of intent to apply?**

We ask prospective applicants to inform us by email if they intend to apply by **January 10, 2008**. Submitting a notice of intent to apply is optional. We ask for this information only so that we can determine how many peer reviewers we will need to evaluate applications. Applicants who do not provide this notification may still submit an application for funds.

**Where do I send my notice of intent to apply?**

Please email your notice of intent to apply to [smallerlearningcommunities@ed.gov](mailto:smallerlearningcommunities@ed.gov). Please put “Notice of Intent to Apply” in the subject header of your message.

**Am I required to submit a notice of intent to apply? Can I still submit an application if I did not submit a notice of intent to apply?**

Applicants are not required to submit a notice of intent to apply. If you do not submit a notice of intent to apply, you may still submit an application for funding.

**By when must applications be submitted?**

Your application must be fully uploaded and submitted, and must be date/time stamped by the Grants.gov system no later than 4:30 p.m., Washington, DC time, on **February 25, 2008**.

## **Priorities**

**What priorities apply to this program?**

There are three priorities for this program: an absolute priority from the notice of final priority, requirements, and selection criteria for fiscal year (FY) 2006 and subsequent years’ funds published in the Federal Register on May 18, 2007; a competitive priority from the notice of final priorities for discretionary grant programs published in the Federal Register on October 11, 2006 (71 FR 60045); and an invitational priority.

- ***Absolute Priority***. For new awards made using FY 2007 funds and any subsequent year in which we make awards from the list of unfunded applicants from this competition, this



priority is an absolute priority. Under 34 CFR 75.105(c)(3) we consider only applications that meet this priority. This priority is:

**Preparing All Students to Succeed in Postsecondary Education and Careers.** This priority supports projects that create or expand SLCs that are part of a comprehensive effort to prepare all students to succeed in postsecondary education and careers without need for remediation. In order to meet this priority an applicant must demonstrate that, using SLC grant funds or other resources, it will:

- (1) Provide intensive interventions to assist students who enter high school with reading/language arts or mathematics skills that are significantly below grade level to “catch up” quickly and attain proficiency by the end of 10th grade;
- (2) Enroll students in a coherent sequence of rigorous English language arts, mathematics, and science courses that will equip them with the skills and content knowledge needed to succeed in postsecondary education and careers without need for remediation;
- (3) Provide tutoring and other academic supports to help students succeed in rigorous academic courses;
- (4) Deliver comprehensive guidance and academic advising to students and their parents that includes assistance in selecting courses and planning a program of study that will provide the academic preparation needed to succeed in postsecondary education, early and ongoing college awareness and planning activities, and help in identifying and applying for financial aid for postsecondary education; and
- (5) Increase opportunities for students to earn postsecondary credit through Advanced Placement courses, International Baccalaureate courses, or dual credit programs.

- ***Competitive Preference Priority.*** Within this absolute priority, we give competitive preference to applications that address the following priority. Under 34 CFR 75.105(c)(2)(i) we award an additional 4 points to an application that meets this priority. This priority is:

**School Districts with Schools in Need of Improvement, Corrective Action, or Restructuring.** Projects that help school districts implement academic and structural interventions in schools that have been identified for improvement, corrective action, or restructuring under the Elementary and Secondary Education Act of 1965, as amended by the No Child Left Behind Act of 2001.

NOTE: To meet this priority, a school must receive funds under Title I, Part A of the Elementary and Secondary Education Act of 1965, as amended by the No Child Left Behind Act of 2001 (ESEA), and have been identified by a State educational agency as in need of improvement, corrective action, or restructuring at the time the application is submitted.

- ***Invitational Priority.*** We are interested in applications that address the following invitational priority. Under 34 CFR 75.105(c)(1), we ***do not*** give an application that meets this invitational priority a competitive or absolute preference over other applications. Applicants are not required to address this priority, and no points are awarded for addressing it. This priority is:

Applications that propose to engage faith-based and community organizations in the delivery of services under this program.

**What evidence should we provide to demonstrate that the Title I school or schools included in the application have been identified for improvement, corrective action, or restructuring?**

Applicants should provide a copy of a letter or other communication from a State Education Agency, or a copy of a list published by the State Education Agency.

**In order to receive the 4 competitive preference points, must all of the schools included in the application be Title I schools that have been identified for improvement, corrective action, or restructuring?**

No. We will award 4 competitive preference points to an application that includes at least one Title I school that has been identified for improvement, corrective action, or restructuring under the Elementary and Secondary Education Act of 1965, as amended by the No Child Left Behind Act of 2001.

**Will we receive 4 competitive preference points for *each* Title I school that we include that has been identified for improvement, corrective action, or restructuring?**

No. We will award a total of 4 competitive preference points to an application that includes at least one school that has been identified for improvement, corrective action, or restructuring. Applications will not receive additional competitive preference points if they include more than one Title I school that has been identified for improvement, corrective, or restructuring under the Elementary and Secondary Education Act of 1965, as amended by the No Child Left Behind Act of 2001.

**Our district has been identified for improvement, but our high schools have not. Will you award our application the competitive preference points?**

No. We will award the competitive preference points only to applications that include schools that receive Title I funds and that have been identified for improvement, corrective action, or restructuring under the Elementary and Secondary Education Act of 1965, as amended by the No Child Left Behind Act of 2001.

**A high school in our district does not receive Title I funds, but it has been identified for improvement by our State Education Agency. Will you award our application the competitive preference points if we include this high school?**

No. We will award the competitive preference points only to applications that include schools that receive Title I funds and that have been identified for improvement, corrective action, or restructuring

under the Elementary and Secondary Education Act of 1965, as amended by the No Child Left Behind Act of 2001.

### **Additional Required Information**

#### **What additional information must an applicant include with the application?**

- *Student Placement*

Applicants must include a description of how students will be selected or placed in an SLC and an assurance that students will not be placed according to ability or any other measure, but will be placed at random or by student/parent choice and not pursuant to testing or other judgments.

- *Performance Indicators*

Applicants must identify in their application specific performance indicators and annual performance objectives for each of these indicators. At a minimum, applicants must use the following performance indicators to measure the progress of each school:

1. The percentage of students who score at the proficient and advanced levels on the reading/language arts and mathematics assessments used by the State to determine whether a school has made adequate yearly progress under part A of title I of the ESEA, as well as these percentages disaggregated by subject matter and the following subgroups:
  - A. Major racial and ethnic groups.
  - B. Students with disabilities.
  - C. Students with limited English proficiency.
  - D. Economically disadvantaged students.
2. The school's graduation rate, as defined in the State's approved accountability plan for part A of title I of the ESEA.
3. The percentage of graduates who enroll in postsecondary education, advanced training, or a registered apprenticeship program in the semester following high school graduation.

In addition, applicants may identify other appropriate indicators it wishes to use to evaluate the progress of the project.

- *School Report Cards*

Applicants must provide, for each school included in the application, the most recent “report card” produced by the State or the LEA to inform the public about the characteristics of the school and its students, including information about student academic achievement and other student outcomes. These “report cards” must include, at a minimum, the following information that LEAs are required to report for each school under section 1111(h)(2)(B)(ii) of the ESEA:

1. Whether the school has been identified for school improvement; and
2. Information that shows how the academic assessments and other indicators of adequate yearly progress compare to those indicators for students in the LEA as a whole and also shows the performance of the school's students on statewide assessments.

- *Evaluation*  
Applicants must provide an assurance that it will support an evaluation of the project that provides information to the project director and school personnel, and that will be useful in gauging the project's progress and in identifying areas for improvement. Each evaluation must include an annual report for each of the first four years of the project period and a final report that would be completed at the end of the fifth year of implementation and that will include information on implementation during the fifth year as well as information on the implementation of the project across the entire project period. In addition, we require that an independent third party whose role in the project is limited to conducting the evaluation conduct the evaluation.
- *Individual Resumes for Project Directors and Key Personnel*  
Applicants must provide brief resumes or job descriptions for the project director and key personnel that describe their qualifications for the responsibilities they will carry out under the project.
- *Indirect Cost Agreement*  
Applicants who propose to use SLC grant funds for indirect costs must include, as part of their applications, a copy of their approved indirect cost agreement. We will not approve your use of SLC grant funds for indirect costs if you do not provide a copy of your agreement in your application.

### **Creating New Small Schools**

**One of the large public high schools in our district is in corrective action and we want to reconstitute it as a set of new, autonomous small schools. Can SLC grant funds be used for this purpose?**

Yes. Grant funds may be used to support the creation or expansion of an SLC or SLCs within a large public high school. This includes projects that propose to reconstitute a large public high school as a set of new, autonomous small schools. At the time of application and award, however, all schools included in the application must meet the definition of “large high school.” The reconstitution of the large school must take place after the award has been made.

**We want to close a large public high school in our district and replace it with several new small schools. Can SLC grant funds be used for this purpose?**

Yes. SLC grant funds may be used for projects that propose to close a large public high school and replace it with several new small schools. At the time of application and award, however, all schools included in the application must meet the definition of “large high school.”

**Must the new small schools that we create be located in the same facility as the large public school that we reconstituted or closed?**

No. The new small schools may be located on the same site as the large high school or in other locations.

## **Including All Students**

**You require projects to include all students by the fifth year of the grant. Does this mean that we must assign all students to academies, “houses,” or other smaller organizational units by the end of the grant period?**

No. We have defined an SLC as an environment in which a group of teachers and other adults within the school knows the needs, interests, and aspirations of each student well, closely monitors each student's progress, and provides the academic and other support each student needs to succeed. We do not prescribe how an applicant creates the environment of strong academic and personal support described by the SLC definition, or how it provides this environment for all students.

While we expect that SLC projects will include a structural component, such as an academy, we do not require projects to assign all students to academies, “houses,” or other smaller organizational units. Depending upon the circumstances and needs of a particular school and its students, there may be a variety of ways to create an environment in which all students receive strong personal and academic support. Thus, for example, an applicant could propose a project that places all entering ninth graders in a freshman academy to support their transition to high school, and establish teacher advisories or mentoring programs to create an environment of academic and personal support for all students in the upper grades.

**Would our application be more competitive if we assigned all students to academies?**

Applications are not evaluated on the basis of how many students are assigned to academies or other smaller organizational units. One of the selection criteria under “Quality of Project Services” evaluates the extent to which an applicant’s proposed project is “likely to be effective” in creating the environment of personal and academic support described by the definition of “smaller learning community.” In responding to this criterion, applicants will describe their approach to providing personal and academic support to students and why they believe it is likely to be effective in creating the environment described by the “smaller learning community” definition.

## **Student placement**

**According to the Federal Register notice, applicants must describe how they will select or place students in an SLC and provide an assurance that “students will not be placed according to ability or any other measure, but will be placed at random or by student/parent choice and not pursuant to testing or other judgments.” Our high school is the site of a magnet program that selects students on the basis of their grades and test scores. Does the magnet program disqualify us from receiving SLC funds? Can we receive a grant if we do not use of any of the funds to support the magnet school?**

An LEA may apply on behalf of an eligible high school that has a magnet school program or academy that selects students on the basis of their grades and test scores. However, no SLC grant funds may be used directly or indirectly in ways that support or benefit this selective admission program or academy. This would mean, for example, that SLC funds could not be used to provide professional development for teachers who provide instruction for students enrolled in the selective admission program/academy.

An applicant that has a selective admission program/academy should identify the program/academy in its application and describe clearly how it will use SLC grant funds in ways that will not support or benefit the selective admission program/academy, both directly and indirectly. The applicant should expect that, if awarded a grant, its expenditures would be monitored closely by the Department of Education.

**Placement in all of our academies is based on student/parent choice. However, some of our academies have standards that students must meet in order to remain enrolled in them. These standards include, for example, attending school and class regularly, submitting homework assignments regularly and on time, and maintaining a 2.0 grade point average. Students who do not meet these standards are asked to leave the academy and select another academy. Is it permissible for us to establish standards that students must meet in order to remain enrolled in an academy?**

Yes, establishing standards that students must meet in order to remain enrolled in an academy is permissible.

**We assign our ninth grade students to freshman academies at random. However, our high school has a supplemental reading program for ninth grade students whose reading skills are one to three years below grade level. We enroll these students in a special class three periods a week. Is this prohibited?**

This is permissible. You may not assign students to a freshman academy or other structure on the basis of ability or any other measure, but you may provide differentiated services and instructions to students within the academy or other structure on the basis of their academic needs.

### **Uses of Funds**

**Can our district use a portion of the grant for district-level activities, or must all of the funds be distributed to the high schools included in the application?**

There is no limitation on the use of SLC grant funds for activities carried out at the district level, provided that these activities support the implementation of the project by the schools included in the application. While we use student enrollment in each high school included in an application to determine maximum grant award amounts, an LEA is not required to provide each school in an application with all of the funds that its enrollment generates.

Districts can play an important role in supporting the work of teachers and school administrators, and there are some activities that may be more appropriately or economically carried out at the district level. These activities could include, for example, implementing data and assessment systems and analytic tools that can be used by the staff of the schools included in the application to monitor student progress and improve instruction or providing curriculum pacing guides, sample lessons and other instructional supports. We leave to each applicant to decide how best to address the program requirements, priority, and selection criteria, including the amount of funds it proposes to use for district-level activities that support the implementation of the project serving schools included in the application.

Funds may not be used, however, for district-level activities that serve schools that are not included in the application or for general, district-wide high school reform initiatives.

**Can we use grant funds to serve the feeder middle schools of the large high school on behalf of which we are submitting an application?**

No. Grant funds may be used only to serve the large high school included in the application. Funds may not be used to provide services to other schools, including feeder middle schools. However, funds may be used to carry out activities that support and promote the successful transition of students who are entering the large high school that is included in the application. These activities could include, for example: “summer bridge” programs that orient and provide academic support and enrichment activities for students who are entering the high school from junior high or middle school; improving the quality, utility, timeliness of the data the high school’s administrators and teachers receive about entering students; and efforts to provide junior high or middle school administrators, faculty, and counselors with the information they need to prepare their students for a successful transition to the high school included in the application.

**Can we use grant funds to hire personnel? We want to hire a math coach to work with our teachers, and a project director to guide the implementation of the grant.**

Yes, grant funds may be used to hire personnel.

**Our high schools do not have good data on whether our graduates enroll in college, and how well they do if they do enroll. Can we use grant funds to develop a better system for tracking the postsecondary outcomes of our students?**

Yes, this would be an allowable use of funds.

**As we plan our budget, I'd like some clarification regarding the two-day technical assistance meetings that will be held in each year of the project period. What time of year will this be held? Where will it be held?**

As we indicate in the Federal Register notice inviting applications, applicants should set aside adequate funds to send their project director and at least two individuals from each school included in the application to a two-day technical assistance meeting in Washington, DC, in each year of the project period. The dates for these meetings have not been determined, but we expect that they will occur during the fourth quarter of each calendar year. For planning purposes, applicants should assume that lodging expenses will be at or near the Federal per diem rate established by the General Services Administration. Current per diem rates are available at the link below:

[http://www.gsa.gov/Portal/gsa/ep/contentView.do?contentId=17943&contentType=GSA\\_BASIC](http://www.gsa.gov/Portal/gsa/ep/contentView.do?contentId=17943&contentType=GSA_BASIC)

**Which indirect cost rate should we use? Should we use the restricted or the unrestricted rate?**

You may use either the unrestricted or restricted rate. Though use of the unrestricted rate is permitted, some applicants choose to use the restricted rate or decline to include any indirect costs because they prefer to use all grant funds for direct services. It is up to each applicant to decide whether it will charge indirect costs, and, if it does, whether it uses the unrestricted or restricted rate. If an applicant

seeks to charge indirect costs, however, it must include a copy of its approved indirect cost agreement with its application.

**Can we include cost-of-living increases for the personnel who are being paid with grant funds?**

Yes. You may budget for cost-of-living increases. However, you should indicate in your budget narrative the basis for your estimate of the percentage increase for which you have budgeted.

**Evaluation**

**What percentage of grant funds should we set aside for evaluation?**

We do not require or recommend that a specific percentage of funds be set aside for evaluation. How much you budget for evaluation will depend upon the scope and complexity of the evaluation that you decide is appropriate for your project.

**You require the evaluation to be conducted by “an independent third party, selected by the applicant, whose role in the project is limited to conducting the evaluation.” Our school district has a separate evaluation unit that conducts many of our evaluations. Can this unit conduct the required evaluation, or must we contract with an external organization for this?**

Your district’s evaluation unit can participate in and contribute to the evaluation, but the evaluation cannot be carried out exclusively by district employees. An external, third-party must be involved in the evaluation.

**Page Limits and Document Formats**

**How long should our application be? Is there a page limit?**

We have not established a mandatory page limit. However, we do recommend strongly that you limit your application narrative (which is the part of the application in which you address the selection criteria that reviewers use to evaluate your application) to the equivalent of **no more than 40 pages**, using the following standards:

- A “page” is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides.
- Double space (no more than three lines per vertical inch) all text in the application narrative. Titles, headings, footnotes, quotations, references, and captions, as well as text in charts, tables, figures, and graphs, can be single spaced.
- Use a font that is either 12 point or larger or no smaller than 10 pitch (characters per inch).
- Use one of the following fonts: Times New Roman, Courier, Courier New, or Arial.
- Number all pages consecutively using the style 1 of 40, 2 of 40, and so forth.
- Include a Table of Contents with page references.



The suggested page limit **does not** apply to the Table of Contents; forms; the budget section, including the narrative budget justification; the assurances and certifications; the one-page abstract; the resumes; school report cards; the indirect cost agreement; or letters of support.

**What about attachments and appendices? Is there a limit on the number of attachments or appendices we can include with our application? Is there a limit on the number of pages?**

We have not established a mandatory limit on the number of attachments or appendices you may submit, or on the number of pages. However, we recommend strongly that you limit to **no more than 20 pages** any attachments or appendices that are not resumes; school report cards; the indirect cost agreement; or letters of support.

**Are there limits on the types of file formats we can use for our application narrative and the attachments we submit?**

Yes. All files you submit must be in one of the following formats: **.DOC** (document), **.RTF** (rich text), or **.PDF** (Portable Document) format. If you submit a file that is in another format, such as a Microsoft Excel spreadsheet (.XLS) or a Tagged Image File (.TIF) format, we will not review this material.

**Continuation Awards**

**You award funds for the first 36 months of the project at the time of the initial grant award. Will you award funding for the remaining 24 months automatically at the end of the first 36 months?**

No. Provided that Congress has appropriated sufficient funds for the program, we will make continuation awards to grant recipients that have submitted all of their required performance reports and made substantial progress toward meeting the objectives in their approved applications.

**Grant Award Date and Notification**

**When will the grant awards be made?**

We expect to make the awards prior to the end of the 2007-08 school year. The awards will be made no later than June 30, 2008.

**How will we be notified if we have received a grant award?**

You may first hear of your award from one of your Senators or House Representative. As a courtesy, the Department notifies your members of Congress about the pending award so that they can make the announcement if they wish. We will contact the project director listed in the application by telephone or email and mail two copies of the Grant Award Notification, one to the project director, and the second to the individual identified as the certifying representative in the application.

## **Selection Criteria**

### **What selection criteria apply to this competition?**

The maximum score for all selection criteria is 100 points. The points or weights assigned to each criterion and/or subcriterion are indicated in parentheses.

#### **Need for the Project (6)**

In determining the need for the proposed project, we will consider the magnitude of the need for the services that will be provided and the activities that will be carried out by the proposed project.

#### **Quality of the Project Design**

In determining the quality of the design of the proposed project, we will consider the extent to which--

- (1) Teachers, school administrators, parents and community stakeholders support the proposed project and have been and will continue to be involved in its development and implementation (5);
- (2) The applicant has carried out sufficient planning and preparatory activities to enable it to implement the proposed project during the school year in which the grant award will be made (5);
- (3) School administrators, teachers, and other school employees will receive effective, ongoing technical assistance and support in implementing structural and instructional reforms (7);
- (4) The applicant will offer all students a coherent sequence of rigorous English language arts, mathematics, and science courses that will provide students with the knowledge and skills needed to succeed in postsecondary education and careers without need for remediation (7); and
- (5) The proposed project is part of a districtwide strategy for high school redesign and strengthens the district's capacity to develop and implement smaller learning communities and improve student academic achievement as part of that strategy (1).

#### **Quality of Project Services**

In determining the quality of the services to be provided by the proposed project, we will consider the extent to which the proposed project is likely to be effective in--

- (1) Creating an environment in which a core group of teachers and other adults within the school know the needs, interests, and aspirations of each student well, closely monitor each student's progress, and provide the academic and other support each student needs to succeed (9);
- (2) Equipping all students with the reading/English language arts, mathematics, and science knowledge and skills they need to succeed in postsecondary education and careers without need for remediation (8);
- (3) Helping students who enter high school with reading/English language arts or mathematics skills that are significantly below grade-level "catch up" quickly and attain proficiency by the end of the 10th grade (8);
- (4) Providing teachers with the professional development, coaching, regular opportunities for collaboration with peers, and other supports needed to implement a rigorous curriculum and provide high-quality instruction (8);
- (5) Increasing the participation of students, particularly low-income students, in Advanced Placement, International Baccalaureate, or dual credit courses (8); and
- (6) Increasing the percentage of students who enter postsecondary education in the semester following high school graduation (8).

### Support for Implementation

In determining the adequacy of the support the applicant will provide for implementation of the proposed project, we will consider the extent to which--

(1) The management plan is likely to achieve the objectives of the proposed project on time and within budget and includes clearly defined responsibilities and detailed timelines and milestones for accomplishing project tasks (7);

(2) The project director and other key personnel are qualified to carry out their responsibilities, and their time commitments are appropriate and adequate to implement the SLC project effectively (4);

(3) The applicant will support the proposed project with funds provided under other Federal or State programs and local cash or in-kind resources (2); and

(4) The requested grant amount and the project costs are sufficient to attain project goals and reasonable in relation to the objectives and design of the project (2).

### Quality of the SLC Project Evaluation

In determining the quality of the proposed project evaluation to be conducted by an independent, third-party evaluator, we consider the extent to which--

(1) The evaluation will provide timely, regular, and useful feedback to the LEA and the participating schools on the success and progress of implementation, and identify areas for needed improvement (3); and

(2) The independent evaluator is qualified to conduct the evaluation (2).

### **Regulations**

#### **What regulations apply to this program?**

The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 75, 77, 79, 80, 81, 82, 84, 85, 97, 98, and 99; the NFP published in the Federal Register on April 28, 2005 (70 FR 22233); the notice of final priorities published in the Federal Register on October 11, 2006 (71 FR 60046); and the notice of final priority, requirements, and selection criteria published in the May 18, 2007 issue of the Federal Register.

### **More Information**

#### **Who should I contact for more information?**

Please contact Angela Hernandez-Marshall at (202) 205-1909 or by e-mail at [smallerlearningcommunities@ed.gov](mailto:smallerlearningcommunities@ed.gov)

## Technical Assistance Workshops for Prospective Applicants

We will hold three technical assistance workshops and a webinar to assist prospective applicants who are interested in submitting applications in this year's SLC grant competition. We will present information about the SLC program, the absolute and competitive priorities, selection criteria, program requirements, the submission of applications through Grants.gov, and other information. Materials presented at these meetings also will be posted on our website at

<http://www.ed.gov/programs/slcp/applicant.html>

### ***Regional Technical Assistance Workshops***

If you plan to attend one of these workshops, we encourage you to register so that we can be sure to have enough printed materials available for participants. **However, you do not need to register in order to attend.** You may register at the following link: <http://www.edjassociates.com/doed/slc2007/>

#### **St. Louis, MO**

***December 3, 2007, 9:00 am – 12 noon***

Renaissance Grand and Suites Hotel

Crystal Ballroom

800 Washington Avenue

St. Louis, MO 63101

Phone: (314) 621-9600

<http://www.marriott.com/hotels/travel/stldt-enaissance-st-louis-grand-and-suites-hotel/>

#### **Washington, DC**

***December 7, 2007, 2:30 pm – 5:30 pm***

Marriott Metro Center

775 12th Street NW

Washington, DC 20005

Phone: (202) 737-2200

<http://www.marriott.com/hotels/travel/wasmc-marriott-at-metro-center/>

#### **Scottsdale, AZ**

***December 10, 2007, 9:00 am – 12 noon***

Chaparral Suites Resort

Arizona-Barcelona Ballroom

501 N. Scottsdale Road

Scottsdale, AZ 85280

(800) 528-1456

<http://www.chaparralsuites.com>

*Technical Assistance Webinar*

*December 12, 2007, 3:00 – 6:00 pm (EST)*

If you want to participate in the webinar, you **must** register in advance. Please register by emailing your name, telephone number, and email address to: [slc@optimalsolutionsgroup.com](mailto:slc@optimalsolutionsgroup.com). We will email you information about how to access the webinar.

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Disclaimer: The resources listed below provide relevant information on high school improvement strategies, preparation for postsecondary education, the implementation of smaller learning communities, and related topics. They are provided for your convenience. These publications represent just a few examples of the numerous relevant reference materials currently available to the public that may be useful to you, and their inclusion is not intended to reflect their importance. The inclusion of these resources should not be construed or interpreted as an endorsement by the U.S. Department of Education of any views expressed, or products and services offered by the individuals or entities that produced these resources, or of the organizations or businesses that may be cited in these resources. *You are not required to use these resources in preparing your application, nor will you be given additional points for using them.*

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### ***Professional development***

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Maldonado, Luz (2002). *Effective Professional Development: Findings from Research*. New York, NY: The College Board.

[http://apcentral.collegeboard.com/apc/public/repository/ap05\\_profdev\\_effectiv\\_41935.pdf](http://apcentral.collegeboard.com/apc/public/repository/ap05_profdev_effectiv_41935.pdf)

Neufeld, Barbara and Roper, Dana (2003). *Coaching: A Strategy for Developing Instructional Capacity*. Washington, DC: The Aspen Institute and the Annenberg Institute for School Reform.

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### ***Project evaluation***

DTI Associates (2006). *Essential Elements of an SLC Evaluation: A Framework for Federal Smaller Learning Communities*. Arlington, VA: DTI Associates.

<http://www.nwrel.org/scpd/sslc/tutorials/evaluation/resources/EssentialElements.pdf>

### ***Smaller learning communities and other personalization strategies to support students***

*Smaller Learning Communities Tutorials*

<http://www.nwrel.org/scpd/sslc/tutorials/>

Produced by the Northwest Regional Educational Laboratory, these tutorials are designed to address the needs of schools and districts planning to implement, and those in the midst of implementing, smaller learning communities. Five topics are featured: (1) Measurable Goals and Objectives; (2) Evaluation; (3) Parent Engagement; (4) Scheduling; and (5) Instructional Improvement Teams.

*Smaller Learning Communities Resource Warehouse*

<http://www.slresourcewarehouse.com/index.cfm>

The Smaller Learning Communities Resource Warehouse includes implementation tools, information, and how-to suggestions. Most of the resources have been created by SLCs during their implementation process and are being made available to all current and prospective grantees. It was developed by the Northwest Regional Educational Laboratory in partnership with DTI Associates, a Haverstick Company, under contract with the U.S. Department of Education.

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Lee, Valerie E. and Ready, Douglas D. (2006). *Small Learning Communities and Tracking: Evidence from Five High Schools Divided into Schools-within-Schools*. Portland, OR: Northwest Regional Educational Laboratory. [http://www.nwrel.org/scpd/sslc/issue\\_papers/issue\\_paper\\_7\\_evidence.pdf](http://www.nwrel.org/scpd/sslc/issue_papers/issue_paper_7_evidence.pdf)

Oxley, Diana (2006). *Small Learning Communities: Implementing and Deepening Practice*. Portland, OR: Northwest Regional Educational Laboratory.  
<http://www.nwrel.org/scpd/sslc/SLCBooklet.pdf>

### ***Working with Technical Assistance Providers***

Center for Comprehensive School Reform and Improvement (2005). *How to Improve the Design and Delivery of High Quality Technical Assistance*. Washington, DC: The Center for Comprehensive School Reform and Improvement. [http://www.centerforsri.org/files/TheCenter\\_NL\\_Nov05\\_B.pdf](http://www.centerforsri.org/files/TheCenter_NL_Nov05_B.pdf)

Comprehensive School Reform Quality Center and the Finance Project (2006). *Choosing an Education Contractor: A Guide to Assessing Financial and Organizational Capacity*. Washington, DC: American Institutes of Research. <http://www.csrq.org/documents/CSRQConsumerGuide08-01-06.pdf>

Comprehensive School Reform Quality Center (2006). *CSRQ Center Report on Middle and High School Comprehensive School Reform Models*. Washington, DC: American Institutes of Research. [http://www.csrq.org/documents/MSHS2006Report\\_FinalFullVersion01-02-07.pdf](http://www.csrq.org/documents/MSHS2006Report_FinalFullVersion01-02-07.pdf)

Hassel, Bryan and Steiner, Lucy (2004). *Guide to Working with External Providers*. Naperville, IL: Learning Point Associates. <http://www.centerforsri.org/pubs/ExternalProviders.pdf>

## Application Transmittal Instructions

Applications for grants under this competition must be submitted electronically, unless you qualify for an exception to the electronic submission requirement in accordance with the instructions from the Federal Register found in this application.

We will reject your application if you submit it in paper format unless, as described elsewhere in this application, you qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions.

### Attention Electronic Applicants

Please note that you must follow the Application Procedures as described in the Federal Register notice announcing the grant competition.

This program requires the electronic submission of applications--specific requirements and instructions can be found in the Federal Register notice. **Your application must be fully uploaded and submitted, and must be date/time stamped by the Grants.gov system no later than 4:30 p.m., Washington, DC time, on the application deadline date.**

### Applications Submitted Electronically

You must submit your grant application through the Internet using the software provided on the Grants.gov Web site (<http://www.grants.gov>) by 4:30 p.m. (Washington, D.C. time) on the application deadline date. If you submit your application through the Internet via the Grants.gov Web site, you will receive an automatic acknowledgment when we receive your application.

For more information on using Grants.gov, please refer to the Notice Inviting Applications that was published in the Federal Register, the Grants.gov Submission Procedures and Tips document found in the application package instructions, and visit <http://www.grants.gov>.

### **Please note the following:**

- You must attach any narrative sections of your application as files in a **.DOC** (document), **.RTF** (rich text), or **.PDF** (Portable Document) format. **If you upload a file type other than the three file types specified in this paragraph or submit a password-protected file, we will not review that material.**
- Your electronic application must comply with any page-limit requirements described in this application package.
- The amount of time it can take to upload an application will vary depending on a variety of factors, including the size of the application and the speed of your Internet connection. Therefore, we strongly recommend that you do not wait until the application deadline date to begin the submission process through Grants.gov.
- If you are experiencing problems submitting your application through Grants.gov, please contact the Grants.gov Support Desk, toll free, at 1-800-518-4726. You must obtain a Grants.gov Support Desk Case Number and must keep a record of it.

**According to the instructions found in the Federal Register notice, those requesting and qualifying for an Exception to the electronic submission requirement may submit an application via mail, commercial carrier or by hand delivery.**

Applications Sent by Mail:

If you qualify for an exception to the electronic submission requirement, you may mail (through the U.S. Postal Service or a commercial carrier) your application to the Department. You must mail the original and two copies of your application, on or before the application deadline date, to the Department at the applicable following address:

*By mail through the U.S. Postal Service:*

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.215L)  
400 Maryland Avenue, SW.  
Washington, DC 20202-4260

**or**

*By mail through a commercial carrier:*

U.S. Department of Education  
Application Control Center – Stop 4260  
Attention: (CFDA Number 84.215L)  
7100 Old Landover Road  
Landover, MD 20785-1506

Regardless of which address you use, you must show proof of mailing consisting of one of the following:

- (1) A legibly dated U.S. Postal Service postmark,
- (2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service,
- (3) A dated shipping label, invoice, or receipt from a commercial carrier, or
- (4) Any other proof of mailing acceptable to the Secretary of the U.S. Department of Education.

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

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

If your application is postmarked after the application deadline date, we will not consider your application.

Note: The U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, you should check with your local post office.

Applications Delivered by Hand:

If you qualify for an exception to the electronic submission requirement, you (or a courier service) may deliver your paper application to the Department by hand. You must deliver the original and two



copies of your application by hand, on or before the application deadline date, to the Department at the following address:

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.215L)  
550 12th Street, SW.  
Room 7041, Potomac Center Plaza  
Washington, DC 20202-4260

The Application Control Center accepts hand deliveries daily between 8:00 a.m. and 4:30 p.m., Washington, DC time, except Saturdays, Sundays, and Federal holidays.

Note for Mail or Hand Delivery of Paper Applications: If you mail or hand deliver your application to the Department:

- (1) You must indicate on the envelope and-- if not provided by the Department-- in Item 11 of the SF 424 the CFDA number, including suffix letter, if any, of the competition under which you are submitting your application.
- (2) The Application Control Center will mail a grant application receipt acknowledgment to you. If you do not receive the grant application receipt acknowledgment within 15 business days from the application deadline date, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.



### ***Education Submission Procedures and Tips for Applicants***

Please note that the Grants.gov site works differently than the U.S. Department of Education's (Department) e-Application system. To facilitate your use of Grants.gov, this document includes important submission procedures you need to be aware of to ensure your application is received in a timely manner and accepted by the Department of Education.

- 1) **Register Early** – Grants.gov registration may take five or more business days to complete. You may begin working on your application while completing the registration process, but you cannot submit an application until all of the Registration steps are complete. For detailed information on the Registration Steps, please go to: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). [Note: Your organization will need to update its Central Contractor Registry (CCR) registration annually.]
- 2) **Submit Early** – **We strongly recommend that you do not wait until the last day to submit your application. Grants.gov will put a date/time stamp on your application and then process it after it is fully uploaded.** The time it takes to upload an application will vary depending on a number of factors including the size of the application and the speed of your Internet connection, and the time it takes Grants.gov to process the application will vary as well. If Grants.gov rejects your application (see step three below), you will need to resubmit successfully before 4:30 pm on the deadline date.

**Note: To submit successfully, you must provide the DUNS number on your application that was used when your organization registered with the CCR (Central Contractor Registry).**

- 3) **Verify Submission is OK** – You will want to verify that Grants.gov and the Department of Education receive your Grants.gov submission timely and that it was validated successfully. To see the date/time your application was received, login to Grants.gov and click on the Track My Application link. For a successful submission, the date/time received should be earlier than 4:30 p.m. on the deadline date, AND the application status should be: Validated, Received by Agency, or Agency Tracking Number Assigned.

If the date/time received is later than 4:30 p.m. Washington, D.C. time, on the closing date, your application is late. If your application has a status of "Received" it is still awaiting validation by Grants.gov. Once validation is complete, the status will either change to "Validated" or "Rejected with Errors." If the status is "Rejected with Errors," your application has not been received successfully. Some of the reasons Grants.gov may reject an application can be found on the Grants.gov site:

[http://www.grants.gov/help/submit\\_application\\_faqs.jsp#10](http://www.grants.gov/help/submit_application_faqs.jsp#10). For more detailed information on why an application may be rejected, you can review Application Error Tips

<http://www.grants.gov/section910/ApplicationErrorTips.pdf>. If you discover your application is late or has been rejected, please see the instructions below.

Note: You will receive a series of confirmations both online and via email about the status of your application. Please do not rely solely on e-mail to confirm whether your application has been received timely and validated successfully.

### ***Submission Problems – What should you do?***

You **must** submit an electronic application before 4:30 p.m., unless you follow the procedures in the Federal Register notice and qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions. (See the Federal Register notice for detailed instructions.)

*If you have problems submitting to Grants.gov before the closing date, please contact Grants.gov Customer Support at 1-800-518-4726 and obtain and keep a record of a Grants.gov Support Desk Case Number or use the customer support available on the Web site: [http://www.grants.gov/applicants/applicant\\_help.jsp](http://www.grants.gov/applicants/applicant_help.jsp).*

If electronic submission is required, you must submit an electronic application before 4:30 p.m., unless you follow the procedures in the Federal Register notice and qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions. (See the Federal Register notice for detailed instructions.)

### **Helpful Hints When Working with Grants.gov**

Please note, once you download an application from Grants.gov, you will be working offline and saving data on your computer. Please be sure to note where you are saving the Grants.gov file on your computer. You will need to logon to Grants.gov to upload and submit the application. **You must provide on your application the DUNS number that was used when your organization registered with the CCR.**

Please go to [http://www.grants.gov/applicants/applicant\\_help.jsp](http://www.grants.gov/applicants/applicant_help.jsp) for help with Grants.gov. For additional tips related to submitting grant applications, please refer to the Grants.gov Submit Application FAQs found on the Grants.gov [http://www.grants.gov/help/submit\\_application\\_faqs.jsp](http://www.grants.gov/help/submit_application_faqs.jsp).

### **Dial-Up Internet Connections**

When using a dial up connection to upload and submit your application, it can take significantly longer than when you are connected to the Internet with a high-speed connection, e.g. cable modem/DSL/T1. While times will vary depending upon the size of your application, it can take a few minutes to a few hours to complete your grant submission using a dial up connection. **If you do not have access to a high-speed connection and electronic submission is required, you may want to consider following the instructions in the Federal Register notice to obtain an exception to the electronic submission requirement no later than two weeks before the application deadline date.** (See the Federal Register notice for detailed instructions.)

### **MAC Users**

If you do not have a Windows operating System, you will need to use the Citrix solution discussed on Grants.gov or a Windows Emulation program to submit an application using Grants.gov. For additional information, review the FAQs for non-windows users [http://www.grants.gov/resources/download\\_software.jsp#non\\_window](http://www.grants.gov/resources/download_software.jsp#non_window). Also, to view white paper for Macintosh users published by Pure Edge go to the following link: <http://www.grants.gov/section678/PureEdgeSupportforMacintosh.pdf>, and/or contact Grants.gov Customer Support (<http://www.grants.gov/contactus/contactus.jsp>) for more information. **If electronic submission is required and you are concerned about your ability to submit electronically as a non-windows user, please follow instructions in the Federal Register notice to obtain an exception to the electronic submission requirement no later than two weeks before the application deadline date.** (See the Federal Register notice for detailed instructions.)

***Important Information for Microsoft Vista and Word Users***

Please note that Grants.gov does not currently support the new Microsoft Vista Operating system. The PureEdge software used by Grants.gov for forms is not compatible with Vista.

In addition, the new version of Microsoft Word saves documents with the extension **.DOCX**. The Grants.gov system does not process Microsoft Word documents with the extension **.DOCX**. When submitting Microsoft Word attachments to Grants.gov, please use the version of Microsoft Word that ends in **.DOC**. If you have any questions regarding this matter please email the Grants.gov Contact Center at [support@grants.gov](mailto:support@grants.gov) or call 1-800-518-4726.

## Legal and Regulatory Information

### *Notice inviting applications for new awards using FY 2007 funds*

4000-01-U

#### DEPARTMENT OF EDUCATION

Office of Elementary and Secondary Education

Overview Information

Smaller Learning Communities Program

Notice inviting applications for new awards using fiscal year (FY) 2007 funds.

Catalog of Federal Domestic Assistance (CFDA) Number: 84.215L.

#### Dates:

Applications Available: November 26, 2007.

Deadline for Notice of Intent to Apply: January 10, 2008.

Deadline for Transmittal of Applications: February 25, 2008.

Deadline for Intergovernmental Review: April 15, 2008.

Full Text of Announcement

#### I. Funding Opportunity Description

Purpose of Program: The Smaller Learning Communities (SLC) program awards discretionary grants to local educational agencies (LEAs) to support the implementation of SLCs and activities to improve student academic achievement in large public high schools with enrollments of 1,000 or more students. SLCs include structures such as freshman academies, multi-grade academies organized around career interests or other themes, “houses” in which small groups of students remain together throughout high school, and autonomous schools-within-a-school, as well as personalization strategies, such as student advisories, family advocate systems, and mentoring programs.

Priority: This priority is from the notice of final priority, requirements, and selection criteria for this program published in the Federal Register on May 18, 2007 (72 FR 28426).

Absolute Priority: For new awards made using FY 2007 funds and any subsequent year in which we make awards from the list of unfunded applicants from this competition, this priority is an absolute priority. Under 34 CFR 75.105(c)(3) we consider only applications that meet this priority.

This priority is:

#### Preparing All Students to Succeed in Postsecondary Education and Careers

This priority supports projects that create or expand SLCs that are part of a comprehensive effort to prepare all students to succeed in postsecondary education and careers without need for remediation.

In order to meet this priority an applicant must demonstrate that, using SLC grant funds or other resources, it will:

(1) Provide intensive interventions to assist students who enter high school with reading/language arts or mathematics skills that are significantly below grade level to “catch up” quickly and attain proficiency by the end of 10th grade;

(2) Enroll students in a coherent sequence of rigorous English language arts, mathematics, and science courses that will equip them with the skills and content knowledge needed to succeed in postsecondary education and careers without need for remediation;

(3) Provide tutoring and other academic supports to help students succeed in rigorous academic courses;

(4) Deliver comprehensive guidance and academic advising to students and their parents that includes assistance in selecting courses and planning a program of study that will provide the academic preparation needed to succeed in postsecondary education, early and ongoing college awareness and planning activities, and help in identifying and applying for financial aid for postsecondary education; and

(5) Increase opportunities for students to earn postsecondary credit through Advanced Placement

courses, International Baccalaureate courses, or dual credit programs.

Competitive Preference Priority: Within this absolute priority, we give competitive preference to applications that address the following priority.

This priority is from the notice of final priorities for discretionary grant programs published in the Federal Register on October 11, 2006 (71 FR 60045).

Under 34 CFR 75.105(c)(2)(i) we award an additional 4 points to an application that meets this priority.

This priority is:

School Districts With Schools in Need of Improvement, Corrective Action, or Restructuring.

Projects that help school districts implement academic and structural interventions in schools that have been identified for improvement, corrective action, or restructuring under the Elementary and Secondary Education Act of 1965, as amended by the No Child Left Behind Act of 2001.

Note: To meet this priority, a school must receive funds under Title I, Part A of the Elementary and Secondary Education Act of 1965, as amended by the No Child Left Behind Act of 2001 (ESEA), and have been identified by a State educational agency as in need of improvement, corrective action, or restructuring at the time the application is submitted.

Invitational Priority: For new awards made using FY 2007 funds and any subsequent year in which we make awards from the list of unfunded applicants from this competition, this priority is an invitational priority. Under 34 CFR 75.105(c)(1), we do not give an application that meets this invitational priority a competitive or absolute preference over other applications.

This priority is:

Applications that propose to engage faith-based and community organizations in the delivery of services under this program.

Application Requirements: In the notice of final priorities published in the Federal Register on April 28, 2005 (70 FR 22233), we established application requirements in the following areas for competitions conducted under this program: Eligibility; School Report Cards; Consortium Applications and Educational Service Agencies; Student Placement; Including All Students; and Evaluation. In the notice of final priority, requirements, and selection criteria published in the Federal Register on May 18, 2007 (72 FR 28426), we established additional application requirements in the following areas: Types of Grants; Budget Information for Determination of Award; Indirect Costs; Performance Indicators; Required Meetings Sponsored by the Department; and Previous Grantees.

These requirements are in addition to the content that all SLC grant applicants must include in their applications as required by the program statute in title V, part D, subpart 4, section 5441(b) of the ESEA.

We have incorporated the terms of these requirements under appropriate sections of this notice (e.g., the Eligibility requirement is listed in section III. Eligibility Information, elsewhere in this notice).

Definitions: In addition to the definitions in the authorizing statute and 34 CFR 77.1, the following definitions apply to this program:

BIE School means a school operated or supported by the Bureau of Indian Education of the U.S Department of the Interior (DOI). Formerly, these schools were operated or supported by the DOI Bureau of Indian Affairs and were known as “BIA schools.”

Large High School means a public school that includes grades 11 and 12 and has an enrollment of 1,000 or more students in grades 9 and above.

Smaller Learning Community (SLC) means an environment in which a core group of teachers and other adults within the school knows the needs, interests, and aspirations of each student well, closely monitors each student's progress, and provides the academic and other support each student needs to succeed.

Program Authority: 20 U.S.C. 7249.

Applicable Regulations: (a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 75, 77, 79, 80, 81, 82, 84, 85, 97, 98, and 99. (b) The notice of final priorities published in the Federal Register on April 28, 2005 (70 FR 22233). (c) The notice of final priorities for discretionary grant programs published in the Federal Register on October 11, 2006 (71 FR 60045). (d) The notice of final priority, requirements, and selection criteria published in the Federal Register on May 18, 2007 (72 FR 28426).

II. Award Information

Type of Award: Discretionary grants.

Estimated Available Funds: \$88,323,609.

At the time of the initial award, the Department will provide funds for the first 36 months of the performance period. Funding to cover the remaining 24 months will be contingent on the availability of funds and each grantee's substantial progress toward accomplishing the goals and objectives of the project as described in its approved application. Contingent upon the availability of funds and the quality of applications, we may make additional awards using FY 2008 funds from the list of unfunded applicants from this competition.

Estimated Range of Awards: \$1,250,000-\$14,000,000.

The following chart provides the ranges of awards per high school size:

SLC Grant Award Ranges	
Student Enrollment	Award Ranges Per School
1,000 - 2,000 Students	\$1,000,000 - \$1,250,000
2,001 - 3,000 Students	\$1,000,000 - \$1,500,000
3,001 and Up	\$1,000,000 - \$1,750,000

Estimated Average Size of Awards: \$2,208,090 for the first 36 months of the 60-month project period.

LEAs may receive, on behalf of a single school, up to \$1,750,000, depending upon student enrollment in the school, during the 60-month project period. To ensure that sufficient funds are available to support awards to LEAs of all sizes, and not only the largest LEAs, we limit to eight the number of schools that an LEA may include in a single application for a grant. LEAs applying on behalf of a group of eligible schools thus could receive up to \$14,000,000 per grant. The actual size of awards will be based on a number of factors, including the scope, quality, and comprehensiveness of the proposed project, and the range of awards indicated in the application.

Maximum Award: Applications that request more funds than the maximum amounts specified for any school or for the total grant will not be read as part of the regular application process. However, if, after the Secretary selects applications to be funded, it appears that additional funds remain available, the Secretary may choose to read those additional applications that requested funds exceeding the maximum amounts specified. If the Secretary chooses to fund any of those additional applications, applicants will be required to work with the Department to revise their proposed budgets to fit within the appropriate funding range.

Estimated Number of Awards: 40.

Note: The Department is not bound by any estimates in this notice.

Project Period: Up to 60 months.

III. Eligibility Information

1. Eligible Applicants: Local educational agencies (LEAs), including educational service agencies and BIE schools, applying on behalf of one or more large high schools.

An LEA may apply only on behalf of a school or schools that is not included in an SLC implementation grant that has a performance period that extends beyond the current fiscal year (September 30, 2008).

To be considered for funding, LEAs must identify in their applications the name or names of the eligible large high school or schools and the number of students enrolled in each school. A large high school is defined as one having grades 11 and 12, with 1,000 or more students enrolled in grades 9 and above. Enrollment figures must be based upon data from the current school year.

Note: In prior years' competitions, we have also accepted enrollment data from the most recently completed school year, since applications were due after some schools had already completed the school year. This was done in an effort to give applicants the necessary flexibility required by the timing of the competition. However, applications for awards under this competition will be due during the school year and, thus, schools can easily determine enrollment data for the current school year. Further, allowing applicants to use data from the previous school year in these circumstances could result in inaccurate eligibility determinations. Consequently, in an effort to ensure consistent application of the eligibility requirements, applicants must submit data from the current school year to demonstrate that each school included in the application meets the definition of large high school.

We will not accept applications from LEAs applying on behalf of schools that are being constructed and do not have an active student enrollment at the time of application. LEAs may apply on behalf of no more than eight schools.

In an effort to encourage systemic, district-level reform efforts, we permit an individual LEA to submit only one grant application in a competition, specifying in each application which high schools the LEA intends to fund.

In addition, we require that an LEA applying for a grant under this competition apply only on behalf of a high school or high schools for which it has governing authority, unless the LEA is an educational service agency that includes in its application evidence that the entity that has governing authority over the eligible high school supports the application. An LEA, however, may form a consortium with another LEA and submit a joint application for funds. The consortium must follow the procedures for group applications described in 34 CFR 75.127 through 75.129 in EDGAR.

An LEA is eligible for only one grant whether the LEA applies independently or as part of a consortium.

2. Cost Sharing or Matching: This program does not require cost sharing or matching.

#### IV. Application and Submission Information

1. Address to Request Application Package: You can obtain an application package via the Internet, or from the program office.

To obtain a copy via the Internet, use the following address:

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

To obtain a copy from the program office, contact: Angela Hernandez-Marshall, Office of Elementary and Secondary Education, U.S. Department of Education, 400 Maryland Avenue, SW., room 3W236, Washington, DC 20202-6200. Telephone: (202) 205-1909 or by e-mail: [smallerlearningcommunities@ed.gov](mailto:smallerlearningcommunities@ed.gov).

If you use a telecommunications device for the deaf (TDD), call the Federal Relay Service (FRS), toll free, at: 1-800-877-8339.

Individuals with disabilities can obtain a copy of the application package in an alternative format (e.g., Braille, large print, audiotope, or computer diskette) by contacting the person or team listed under Alternative Format in section VIII of this notice.

2. Content and Form of Application Submission: All applicants must include in their applications the information required by the program statute in title V, part D, subpart 4, section 5441(b) of the ESEA. Applicants also must meet the following requirements:

(a) School Report Cards. We require that LEAs provide, for each school included in the application, the most recent "report card" produced by the State or the LEA to inform the public about the characteristics of the school and its students, including information about student academic achievement and other student outcomes. These "report cards" must include, at a minimum, the following information that LEAs are required to report for each school under section 1111(h)(2)(B)(ii) of the ESEA: (1) Whether the school has been

identified for school improvement; and (2) Information that shows how the academic assessments and other indicators of adequate yearly progress compare to those indicators for students in the LEA as a whole and also shows the performance of the school's students on statewide assessments.

(b) Student Placement. We require applicants for SLC grants to include a description of how students will be selected or placed in an SLC and an assurance that students will not be placed according to ability or any other measure, but will be placed at random or by student/parent choice and not pursuant to testing or other judgments.

(c) Including All Students. We require applicants for grants to create or expand an SLC project that will include every student within the school by no later than the end of the fifth school year of implementation. Elsewhere in this notice, we define an SLC as an environment in which a group of teachers and other adults within the school knows the needs, interests, and aspirations of each student well, closely monitors each student's progress, and provides the academic and other support each student needs to succeed.

(d) Performance Indicators. We require applicants to identify in their application specific performance indicators and annual performance objectives for each of these indicators. Specifically, we require applicants to use the following performance indicators to measure the progress of each school:

(1) The percentage of students who score at or above the proficient level on the reading/language arts and mathematics assessments used by the State to determine whether a school has made adequate yearly progress under part A of title I of the ESEA, as well as these percentages disaggregated by subject matter and the following subgroups:

- (A) Major racial and ethnic groups;
- (B) Students with disabilities;
- (C) Students with limited English proficiency; and
- (D) Economically disadvantaged students.

(2) The school's graduation rate, as defined in the State's approved accountability plan for part A of title I of the ESEA.

(3) The percentage of graduates who enroll in postsecondary education, advanced training, or a registered apprenticeship program in the semester following high school graduation.

Applicants must include in their applications baseline data for each of these indicators and identify performance objectives for each year of the project period. We further require recipients of grant funds to report annually on the extent to which each school achieves its performance objectives for each indicator during the preceding school year. We require grantees to include in these reports comparable data, if available, for the preceding three school years so that trends in performance will be more apparent.

Grantees must submit this additional data using the Department's SLC electronic reporting Web site within three months after awards are made.

(e) Evaluation. We require each applicant to provide assurances that it will support an evaluation of the project that provides information to the project director and school personnel, and that will be useful in gauging the project's progress and in identifying areas for improvement. Each evaluation must include an annual report for each of the first four years of the project period and a final report that would be completed at the end of the fifth year of implementation and that will include information on implementation during the fifth year as well as information on the implementation of the project across the entire project period. We require grantees to submit each of these reports to the Department.

In addition, we require that the evaluation be conducted by an independent third party, selected by the applicant, whose role in the project is limited to conducting the evaluation.

(f) Required Meetings Sponsored by the Department. Applicants must set aside adequate funds within their proposed budget to send their project director and at least two individuals from each school included in the application to a two-day technical assistance meeting in Washington, DC, in each year of the project period. The Department will host these meetings.



(g) Additional Requirements. Additional requirements concerning the content of an application for this program, together with the forms you must submit, are in the application package for this competition.

Page Limit: The application narrative is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. We encourage you to limit the narrative to the equivalent of no more than 40 pages and suggest that you use the following standards:

- A “page” is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides.
- Double space (no more than three lines per vertical inch) all text in the application narrative. Titles, headings, footnotes, quotations, references, and captions, as well as text in charts, tables, figures, and graphs, can be single spaced.
- Use a font that is either 12 point or larger or no smaller than 10 pitch (characters per inch).
- Use one of the following fonts: Times New Roman, Courier, Courier New, or Arial.
  - Number all pages consecutively using the style 1 of 40, 2 of 40, and so forth.
  - Include a Table of Contents with page references.

The suggested page limit does not apply to the Table of Contents; forms; the budget section, including the narrative budget justification; the assurances and certifications; the one-page abstract; the resumes; school report cards; the indirect cost agreement; or letters of support. However, the suggested page limit does apply to all of the application narrative section. We further encourage applicants to limit to no more than 20 pages any attachments or appendices that are not resumes; school report cards; the indirect cost agreement; or letters of support.

### 3. Submission Dates and Times:

Applications Available: November 26, 2007.

Deadline for Notice of Intent to Apply: January 10, 2008. We will be able to develop a more efficient process for reviewing grant applications if we have a better understanding of the number of entities that intend to apply for funding.

Therefore, we strongly encourage each potential applicant to send a notification of its intent to apply for funding to [smallerlearningcommunities@ed.gov](mailto:smallerlearningcommunities@ed.gov) by January 10, 2008. The notification of intent to apply for funding is optional. Applicants that do not supply this e-mail notification may still apply for funding.

Deadline for Transmittal of Applications: February 25, 2008.

Applications for grants under this competition must be submitted electronically using the Grants.gov Apply site (Grants.gov). For information (including dates and times) about how to submit your application electronically, or in paper format by mail or hand delivery if you qualify for an exception to the electronic submission requirement, please refer to section IV. 6. Other Submission Requirements in this notice.

We do not consider an application that does not comply with the deadline requirements.

Individuals with disabilities who need an accommodation or auxiliary aid in connection with the application process should contact the person listed under For Further Information Contact in section VII in this notice. If the Department provides an accommodation or auxiliary aid to an individual with a disability in connection with the application process, the individual's application remains subject to all other requirements and limitations in this notice.

Deadline for Intergovernmental Review: April 24, 2008.

4. Intergovernmental Review: This program is subject to Executive Order 12372 and the regulations in 34 CFR part 79. Information about Intergovernmental Review of Federal Programs under Executive Order 12372 is the application package for this competition.

5. Funding Restrictions: Eligible applicants that propose to use SLC grant funds for indirect costs must include, as part of their applications, a copy of their approved indirect cost agreement. We reference regulations outlining funding restrictions in the Applicable Regulations section in this notice.

6. Other Submission Requirements: Applications for grants under this competition must be submitted electronically unless you qualify for an exception to this requirement in accordance with the instructions in this section.

a. Electronic Submission of Applications.

Applications for grants under the Smaller Learning Communities Program, CFDA Number 84.215L, must be submitted electronically using the Governmentwide Grants.gov Apply site at <http://www.Grants.gov>. Through this site, you will be able to download a copy of the application package, complete it offline, and then upload and submit your application. You may not e-mail an electronic copy of a grant application to us.

We will reject your application if you submit it in paper format unless, as described elsewhere in this section, you qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions. Further information regarding calculation of the date that is two weeks before the application deadline date is provided later in this section under Exception to Electronic Submission Requirement.

You may access the electronic grant application for the Smaller Learning Communities Program at <http://www.Grants.gov>. You must search for the downloadable application package for this competition by the CFDA number. Do not include the CFDA number's alpha suffix in your search (e.g., search for 84.215, not 84.215L).

Please note the following:

- When you enter the Grants.gov site, you will find information about submitting an application electronically through the site, as well as the hours of operation.
- Applications received by Grants.gov are date and time stamped. Your application must be fully uploaded and submitted and must be date and time stamped by the Grants.gov system no later than 4:30 p.m., Washington, DC time, on the application deadline date. Except as otherwise noted in this section, we will not consider your application if it is date and time stamped by the Grants.gov system later than 4:30 p.m., Washington, DC time, on the application deadline date. When we retrieve your application from Grants.gov, we will notify you if we are rejecting your application because it was date and time stamped by the Grants.gov system after 4:30 p.m., Washington, DC time, on the application deadline date.
- The amount of time it can take to upload an application will vary depending on a variety of factors, including the size of the application and the speed of your Internet connection. Therefore, we strongly recommend that you do not wait until the application deadline date to begin the submission process through Grants.gov.
- You should review and follow the Education Submission Procedures for submitting an application through Grants.gov that are included in the application package for this competition to ensure that you submit your application in a timely manner to the Grants.gov system. You can also find the Education Submission Procedures pertaining to Grants.gov at <http://e-Grants.ed.gov/help/GrantsgovSubmissionProcedures.pdf>
- To submit your application via Grants.gov, you must complete all steps in the Grants.gov registration process (see [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp)). These steps include (1) registering your organization, a multi-part process that includes registration with the Central Contractor Registry (CCR); (2) registering yourself as an Authorized Organization Representative (AOR); and (3) getting authorized as an AOR by your organization. Details on these steps are outlined in the Grants.gov 3-Step Registration Guide (see <http://www.grants.gov/section910/Grants.govRegistrationBrochure.pdf>). You also must provide on your application the same D-U-N-S Number used with this registration. Please note that the registration process may take five or more business days to complete, and you must have completed all registration steps to allow you to submit successfully an application via Grants.gov. In addition you will need to update your CCR registration on an annual basis. This may take three or more business days to complete.

- You will not receive additional point value because you submit your application in electronic format, nor will we penalize you if you qualify for an exception to the electronic submission requirement, as described elsewhere in this section, and submit your application in paper format.

- You must submit all documents electronically, including all information you typically provide on the following forms: Application for Federal Assistance (SF 424), the Department of Education Supplemental Information for SF 424, Budget Information--Non-Construction Programs (ED 524), and all necessary assurances and certifications. Please note that two of these forms--the SF 424 and the Department of Education Supplemental Information for SF 424--have replaced the ED 424 (Application for Federal Education Assistance).

- You must attach any narrative sections of your application as files in a .DOC (document), .RTF (rich text), or .PDF (Portable Document) format. If you upload a file type other than the three file types specified in this paragraph or submit a password-protected file, we will not review that material.

- Your electronic application must comply with any page-limit requirements described in this notice.

- After you electronically submit your application, you will receive from Grants.gov an automatic notification of receipt that contains a Grants.gov tracking number. (This notification indicates receipt by Grants.gov only, not receipt by the Department.) The Department then will retrieve your application from Grants.gov and send a second notification to you by e-mail. This second notification indicates that the Department has received your application and has assigned your application a PR/Award number (an ED-specified identifying number unique to your application).

- We may request that you provide us original signatures on forms at a later date.

Application Deadline Date Extension in Case of Technical Issues with the Grants.gov System: If you are experiencing problems submitting your application through Grants.gov, please contact the Grants.gov Support Desk, toll free, at 1-800-518-4726. You must obtain a Grants.gov Support Desk Case Number and must keep a record of it.

If you are prevented from electronically submitting your application on the application deadline date because of technical problems with the Grants.gov system, we will grant you an extension until 4:30 p.m., Washington, DC time, the following business day to enable you to transmit your application electronically or by hand delivery. You also may mail your application by following the mailing instructions described elsewhere in this notice.

If you submit an application after 4:30 p.m., Washington, DC time, on the application deadline date, please contact the person listed under For Further Information Contact in section VII in this notice and provide an explanation of the technical problem you experienced with Grants.gov, along with the Grants.gov Support Desk Case Number. We will accept your application if we can confirm that a technical problem occurred with the Grants.gov system and that that problem affected your ability to submit your application by 4:30 p.m., Washington, DC time, on the application deadline date. The Department will contact you after a determination is made on whether your application will be accepted.

Note: The extensions to which we refer in this section apply only to the unavailability of, or technical problems with, the Grants.gov system. We will not grant you an extension if you failed to fully register to submit your application to Grants.gov before the application deadline date and time or if the technical problem you experienced is unrelated to the Grants.gov system.

Exception to Electronic Submission Requirement: You qualify for an exception to the electronic submission requirement, and may submit your application in paper format, if you are unable to submit an application through the Grants.gov system because—

- You do not have access to the Internet; or
- You do not have the capacity to upload large documents to the Grants.gov system;

and

- No later than two weeks before the application deadline date (14 calendar days or, if the fourteenth calendar day before the application deadline date falls on a Federal holiday, the next business day following the Federal holiday), you mail or fax a written statement to the Department, explaining which of the two grounds for an exception prevent you from using the Internet to submit your application.

If you mail your written statement to the Department, it must be postmarked no later than two weeks before the application deadline date. If you fax your written statement to the Department, we must receive the faxed statement no later than two weeks before the application deadline date.

Address and mail or fax your statement to: Angela Hernandez-Marshall, Office of Elementary and Secondary Education, U.S. Department of Education, 400 Maryland Avenue, SW., room 3W236, Washington, DC 20202-6200.

FAX: (202) 205-4921.

Your paper application must be submitted in accordance with the mail or hand delivery instructions described in this notice.

b. Submission of Paper Applications by Mail.

If you qualify for an exception to the electronic submission requirement, you may mail (through the U.S. Postal Service or a commercial carrier) your application to the Department. You must mail the original and two copies of your application, on or before the application deadline date, to the Department at the applicable following address:

By mail through the U.S. Postal Service:

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.215L)  
400 Maryland Avenue, SW.  
Washington, DC 20202-4260

or

By mail through a commercial carrier:

U.S. Department of Education  
Application Control Center, Stop 4260  
Attention: (CFDA Number 84.215L)  
7100 Old Landover Road  
Landover, MD 20785-1506

Regardless of which address you use, you must show proof of mailing consisting of one of the following:

- (1) A legibly dated U.S. Postal Service postmark.
- (2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service.
- (3) A dated shipping label, invoice, or receipt from a commercial carrier.
- (4) Any other proof of mailing acceptable to the Secretary of the U.S. Department of Education.

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

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

If your application is postmarked after the application deadline date, we will not consider your application.

Note: The U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, you should check with your local post office.

c. Submission of Paper Applications by Hand Delivery.

If you qualify for an exception to the electronic submission requirement, you (or a courier service) may deliver your paper application to the Department by hand. You must deliver the original and two copies of your application by hand, on or before the application deadline date, to the Department at the following address:

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.215L)  
550 12th Street, SW.  
Room 7041, Potomac Center Plaza  
Washington, DC 20202-4260

The Application Control Center accepts hand deliveries daily between 8:00 a.m. and 4:30 p.m., Washington, DC time, except Saturdays, Sundays, and Federal holidays.

Note for Mail or Hand Delivery of Paper Applications: If you mail or hand deliver your application to the Department--

(1) You must indicate on the envelope and--if not provided by the Department--in Item 11 of the SF 424 the CFDA number, including suffix letter, if any, of the competition under which you are submitting your application; and

(2) The Application Control Center will mail to you a notification of receipt of your grant application. If you do not receive this notification within 15 business days from the application deadline date, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.

#### V. Application Review Information

Selection Criteria: The following selection criteria will be used to evaluate applications for new grants under this program and are from the notice of final priority, requirements, and selection criteria published in the Federal Register on May 18, 2007 (72 FR 28426).

Note: The maximum score for all selection criteria is 100 points. The points or weights assigned to each criterion or subcriterion are indicated in parentheses.

#### Need for the Project (6)

In determining the need for the proposed project, we will consider the magnitude of the need for the services that will be provided and the activities that will be carried out by the proposed project.

#### Quality of the Project Design

In determining the quality of the design of the proposed project, we will consider the extent to which--

(1) Teachers, school administrators, parents and community stakeholders support the proposed project and have been and will continue to be involved in its development and implementation (5);

(2) The applicant has carried out sufficient planning and preparatory activities to enable it to implement the proposed project during the school year in which the grant award will be made (5);

(3) School administrators, teachers, and other school employees will receive effective, ongoing technical assistance and support in implementing structural and instructional reforms (7);

(4) The applicant will offer all students a coherent sequence of rigorous English language arts, mathematics, and science courses that will provide students with the knowledge and skills needed to succeed in postsecondary education and careers without need for remediation (7); and

(5) The proposed project is part of a districtwide strategy for high school redesign and strengthens the district's capacity to develop and implement smaller learning communities and improve student academic achievement as part of that strategy (1).

#### Quality of Project Services

In determining the quality of the services to be provided by the proposed project, we will consider the extent to which the proposed project is likely to be effective in--

(1) Creating an environment in which a core group of teachers and other adults within the school know the needs, interests, and aspirations of each student well, closely monitor each student's progress, and provide the academic and other support each student needs to succeed (9);

- (2) Equipping all students with the reading/English language arts, mathematics, and science knowledge and skills they need to succeed in postsecondary education and careers without need for remediation (8);
- (3) Helping students who enter high school with reading/English language arts or mathematics skills that are significantly below grade-level “catch up” quickly and attain proficiency by the end of the 10th grade (8);
- (4) Providing teachers with the professional development, coaching, regular opportunities for collaboration with peers, and other supports needed to implement a rigorous curriculum and provide high-quality instruction (8);
- (5) Increasing the participation of students, particularly low-income students, in Advanced Placement, International Baccalaureate, or dual credit courses (8); and
- (6) Increasing the percentage of students who enter postsecondary education in the semester following high school graduation (8).

Support for Implementation

In determining the adequacy of the support the applicant will provide for implementation of the proposed project, we will consider the extent to which--

- (1) The management plan is likely to achieve the objectives of the proposed project on time and within budget and includes clearly defined responsibilities and detailed timelines and milestones for accomplishing project tasks (7);
- (2) The project director and other key personnel are qualified to carry out their responsibilities, and their time commitments are appropriate and adequate to implement the SLC project effectively (4);
- (3) The applicant will support the proposed project with funds provided under other Federal or State programs and local cash or in-kind resources (2); and
- (4) The requested grant amount and the project costs are sufficient to attain project goals and reasonable in relation to the objectives and design of the project (2).

Quality of the SLC Project Evaluation

In determining the quality of the proposed project evaluation to be conducted by an independent, third-party evaluator, we consider the extent to which--

- (1) The evaluation will provide timely, regular, and useful feedback to the LEA and the participating schools on the success and progress of implementation, and identify areas for needed improvement (3); and
- (2) The independent evaluator is qualified to conduct the evaluation (2).

VI. Award Administration Information

1. Award Notices: If your application is successful, we notify your U.S. Representative and U.S. Senators and send you a Grant Award Notification (GAN). We may notify you informally, also. If your application is not evaluated or not selected for funding, we notify you.

2. Administrative and National Policy Requirements: We identify administrative and national policy requirements in the application package and reference these and other requirements in the Applicable Regulations section in this notice.

We reference the regulations outlining the terms and conditions of an award in the Applicable Regulations section in this notice and include these and other specific conditions in the GAN. The GAN also incorporates your approved application as part of your binding commitments under the grant.

3. Reporting: At the end of your project period, you must submit a final performance report, including financial information, as directed by the Secretary. If you receive a multi-year award, you must submit an annual performance report that provides the most current performance and financial expenditure information as directed by the Secretary under 34 CFR 75.118. The Secretary may also require more frequent performance reports under 34 CFR 75.720(c). For specific requirements on reporting, please go to <http://www.ed.gov/fund/grant/apply/appforms/appforms.html>

4. Performance Measures: The application requirements and other information related to performance indicators and objectives are described elsewhere in this notice under section IV. Application and Submission Information, 2. Content and Form of Application Submission.

## VII. Agency Contact

For Further Information Contact: Angela Hernandez-Marshall, Office of Elementary and Secondary Education, U.S. Department of Education, 400 Maryland Avenue, SW., room 3W236, Washington, DC 20202-6200. Telephone: (202) 205-1909 or by e-mail: [smallerlearningcommunities@ed.gov](mailto:smallerlearningcommunities@ed.gov). If you use a TDD, call the FRS, toll free, at 1-800-877-8339.

## VIII. Other Information

Alternative Format: Individuals with disabilities can obtain this document and a copy of the application package in an alternative format (e.g., Braille, large print, audiotape, or computer diskette) on request to the program contact person listed under For Further Information Contact in section VII in this notice.

Electronic Access to This Document: You can view this document, as well as all other documents of this Department published in the Federal Register, in text or Adobe Portable Document Format (PDF) on the Internet at the following site: [www.ed.gov/news/fedregister](http://www.ed.gov/news/fedregister)

To use PDF you must have Adobe Acrobat Reader, which is available free at this site. If you have questions about using PDF, call the U.S. Government Printing Office (GPO), toll free, at 1-888-293-6498; or in the Washington, DC, area at (202) 512-1530.

Note: The official version of this document is the document published in the Federal Register. Free Internet access to the official edition of the Federal Register and the Code of Federal Regulations is available on GPO Access at: [www.gpoaccess.gov/nara/index.html](http://www.gpoaccess.gov/nara/index.html)

Dated: November 20, 2007

/s/  
Kerri L. Briggs,  
Assistant Secretary for Elementary and Secondary Education.

***Notice of final priority, requirements, and selection criteria for FY 2006 and subsequent years' funds***

4000-01-U

DEPARTMENT OF EDUCATION

Smaller Learning Communities Program

AGENCY: Office of Elementary and Secondary Education, Department of Education.

ACTION: Notice of final priority, requirements, and selection criteria for fiscal year (FY) 2006 and subsequent years' funds.

SUMMARY: The Acting Assistant Secretary for Elementary and Secondary Education announces a priority, requirements, and selection criteria under the Smaller Learning Communities (SLC) program. The Acting Assistant Secretary will use the priority, requirements, and selection criteria, in addition to any other previously established priorities and requirements, for a competition using fiscal year (FY) 2006 funds and may use them in later years. We take this action to focus Federal financial assistance on an identified national need. We intend the priority, requirements, and selection criteria to enhance the effectiveness of SLC projects in improving academic achievement and the preparation of students for postsecondary education and careers.

EFFECTIVE DATE: The priority, requirements, and selection criteria are effective June 18, 2007.

FOR FURTHER INFORMATION CONTACT: Gregory Dennis, U.S. Department of Education, 400 Maryland Avenue, SW., room 3W243, Washington, DC 20202-6200. Telephone: (202) 205-3784 or via Internet: [smallerlearningcommunities@ed.gov](mailto:smallerlearningcommunities@ed.gov)

If you use a telecommunications device for the deaf (TDD), you may call the Federal Relay Service (FRS) at 1-800-877-8339.

Individuals with disabilities may obtain this document in an alternative format (e.g., Braille, large print, audiotape, or computer diskette) on request to the contact person listed under FOR FURTHER INFORMATION CONTACT.

SUPPLEMENTARY INFORMATION:

General

The SLC program is authorized under Title V, Part D, Subpart 4 of the Elementary and Secondary Education Act of 1965 (ESEA) (20 U.S.C. 7249), as amended by the No Child Left Behind Act of 2001. It awards discretionary grants to local educational agencies (LEAs) to support the implementation of SLCs and activities to improve student academic achievement in large public high schools with enrollments of 1,000 or more students. SLCs include structures such as freshman academies, multi-grade academies organized around career interests or other themes, "houses" in which small groups of students remain together throughout high school, and autonomous schools-within-a-school, as well as personalization strategies, such as student advisories, family advocate systems, and mentoring programs. As used in this notice, the terms smaller learning community, large high school, and BIE school have the meanings assigned to them in the notice of final priority, requirements, definitions, and selection criteria (NFP) for this program, published in the Federal Register on April 28, 2005 (70 FR 22233).

Evidence from recently completed evaluations suggests that SLCs are most likely to be successful in raising academic achievement and improving other student outcomes if their implementation is integrated closely with improvements in curriculum and instruction. Since earning a bachelor's degree or higher is now the goal of an overwhelming majority of high school students, regardless of their race, gender, ethnicity, or family income, the focus of these efforts should be on preparing all students to succeed in postsecondary education and careers without need for remediation.

Currently, too many young people do not receive the academic preparation, guidance, and support they need to achieve their ambitious educational aspirations. Many students lack a clear understanding of the academic requirements for entrance to postsecondary education, how to apply for postsecondary education, or



options for financial aid. Most importantly, considerable numbers of young people are graduating from high school without the academic foundation needed to succeed in postsecondary education. Consequently, a significant number of students begin their postsecondary education by enrolling in one or more remedial reading, writing, or mathematics courses (NCES, 2004).

We published a notice of proposed priority, requirements, and selection criteria (NPP) for this program in the Federal Register on March 8, 2007 (72 FR 10502). We discussed our proposals for this program in the NPP on pages 10502-10506.

This notice of final priority, requirements, and selection criteria contains several changes from the NPP. We fully explain these changes in the Analysis of Comments and Changes section that follows.

#### Analysis of Comments and Changes

In response to our invitation in the NPP, 11 parties submitted comments. An analysis of the comments and of any changes in the priority, requirements, and selection criteria follows. We group major issues according to subject.

Generally, we do not address technical and other minor changes and suggested changes we are not authorized to make under the applicable statutory authority. We also do not address comments related to definitions, such as the definition of a large high school, and requirements that were established in the NFP for this program in the Federal Register on April 28, 2005 (70 FR 22233) because we did not seek public comment on these provisions.

#### Proposed Priority

Comment: One commenter contended that the priority is focused exclusively on academic preparation for postsecondary education and careers and recommended that it be amended to include activities related to career exploration and career and technical education, such as internships, school-based enterprises, and certificate programs that integrate technical and academic content.

Discussion: The priority focuses on academic preparation for postsecondary education and careers because many young people, including, particularly, low-income and minority youth, leave high school without the rigorous academic foundation they need to pursue these goals. In contrast, nearly every student who leaves high school has participated in career and technical education (National Assessment of Vocational Education, 2004). Moreover, under paragraph (5) of the priority, an applicant could propose to include career academies or career and technical education courses that offer students the opportunity to earn postsecondary credit. For example, an agriculture-themed career academy could include Advanced Placement Biology, Chemistry, and Environmental Science courses. A dual credit pre-engineering course offered in conjunction with a local college or university also could be proposed under the priority.

Changes: None.

Comment: One commenter recommended that we establish a competitive priority for LEAs and schools that have been identified as in need of improvement under Title I of the ESEA.

Discussion: We agree that LEAs and schools that have been identified as in need of improvement merit special consideration in many of the Department's discretionary grant competitions. For this reason, we established a priority for LEAs with schools in need of improvement, corrective action, or restructuring in the Federal Register on October 11, 2006 (71 FR 60045). This priority may be used for any appropriate discretionary grant program, including the SLC program, in FY 2007 and FY 2008.

Changes: None.

#### Types of Grants

Comment: One commenter asked us to clarify whether an implementation grant could be awarded to support a project in which a large high school is closed and reconstituted as a set of autonomous SLCs.

Discussion: Implementation grants support the creation or expansion of an SLC or SLCs within a large high school. This includes projects in which a large high school will be closed and reconstituted during the performance period as a set of autonomous SLCs, which may be located on the same site as the large high school or in other locations. At the time of application and award, all large high schools to be served must meet

the definition of large high school; any closing and reconstitution as described above must happen after the award.

Changes: None.

Comment: One commenter noted that successful SLC implementation requires significant prior planning and recommended that we offer grants to LEAs to support planning activities.

Discussion: While we agree that significant prior planning is important, we do not agree that it is necessary for the Department to award grants for this purpose. We believe it is reasonable to expect that prospective applicants will carry out these planning activities using their own funds, or with funds from other sources. The Department administers many other discretionary grant programs that also require significant prior planning by applicants but that do not award planning grants to support these activities.

Changes: None.

#### Budget Information for Determination of Award

Comment: One commenter recommended that we limit the number of schools that may be included in an LEA's application to five, rather than ten, as we had proposed. The commenter maintained that permitting LEAs to include as many as ten schools would give larger LEAs an unfair competitive advantage over smaller and medium-sized LEAs and would make it likely that all or most of the available grant funds would be awarded to LEAs that included ten schools in their applications. The commenter also expressed concern that a grant that included as many as ten schools would be difficult for an LEA to manage effectively.

Discussion: Permitting LEAs to include as many as ten schools in their applications has not given larger LEAs a competitive advantage over smaller and medium-sized LEAs in recent SLC grant competitions. Only eight of the 51 grants we awarded with FY 2005 funds included more than five schools, and only three of these included ten schools. Only four of the 70 grants we awarded with FY 2004 funds included more than five schools, and only two of these included ten schools. The average number of schools included in grants made in both years is three. However, the commenter's concern that an LEA may have difficulty managing effectively a grant that includes as many as ten schools does have merit. The proposed priority promotes the integration of SLC implementation with comprehensive efforts to improve curriculum and instruction and student preparation for postsecondary education. This is challenging work, and ongoing support and technical assistance from an LEA will be critical to each school's success. We also have proposed larger grant award amounts than we offered in previous SLC competitions. An LEA that includes ten schools in its application could receive up to \$17.5 million for a 60-month project period, nearly \$6 million more than it could have received in last year's competition. For these reasons, we agree that reducing the number of schools that an LEA may include in its application is appropriate and prudent.

Changes: We have reduced the maximum number of schools an LEA may include in its application from ten to eight.

Comment: One commenter disagreed with our proposal to determine maximum award amounts on the basis of the number of students enrolled in each high school included in an application. The commenter recommended that our proposed maximum award amount of \$1,750,000 be available to every eligible high school, regardless of its enrollment.

Discussion: As we have in previous SLC competitions, we proposed to use student enrollment to determine maximum grant award amounts because there is a clear relationship between student enrollment and the costs of implementing SLC projects. All SLC projects, for example, typically include extensive professional development activities. During the 2004-05 school year, public high schools with enrollments between 1,000 to 2,000 students had an average of 83 full-time equivalent (FTE) teachers, while public high schools with 2,001 to 3,000 students had an average of 120 FTE teachers (National Center for Education Statistics, Common Core of Data). Providing professional development for 120 teachers is clearly more costly than serving 83 teachers. The relationship between student enrollment and the costs of curricula, assessments, external technical assistance, student guidance and support services, and other activities is similarly evident. Accordingly, we decline to make the change proposed by the commenter.

Changes: None.

Comment: One commenter objected to our proposal to award grants for up to a 60-month project period, with funding for the first 36 months provided in a single award from the FY 2006 appropriation and funding for the remaining 24 months provided in a second award in FY 2009, contingent upon the availability of appropriations and the grant recipient's demonstration of substantial progress in implementing its project objectives. The commenter was concerned that our proposal did not guarantee that grant recipients would receive continuation awards for the final 24 months of the 60-month project period and, for this reason, recommended that we award grants for a 36-month project period only.

Discussion: In 2005, we increased the project period for SLC grants from 36 to up to 60 months in response to recommendations we received from grant recipients and individuals with expertise in leading or supporting high school reform and improvement efforts. They argued persuasively that LEAs and schools needed a minimum of 60 months to implement systemic, sustainable reforms. Our proposal to condition continuation awards on the availability of appropriations and the grant recipient's progress in implementing the project is common among discretionary grant programs administered by the Department and ensures that multi-year grants do not receive continued funding unless they can provide evidence that they are making sufficient progress.

Changes: None.

Comment: One commenter recommended that we permit an LEA to retain a portion of the SLC grant for district-level activities.

Discussion: We did not propose to prohibit or limit the use of SLC grant funds for activities carried out at the district level, provided that these activities support the implementation of the project by the schools included in the application. While we proposed using student enrollment in each high school included in an application to determine maximum grant award amounts, an LEA is not required to provide each school in an application with all of the funds that its enrollment generates. Districts can play an important role in supporting the work of teachers and school administrators, and there are some activities that may be more appropriately or economically carried out at the district level. These activities could include, for example, implementing data and assessment systems and analytic tools that can be used by the staff of the schools included in the application to monitor student progress and improve instruction or providing curriculum pacing guides, sample lessons and other instructional supports. We leave to each applicant to decide how best to address the program requirements, priority, and selection criteria, including the amount of funds it proposes to use for district-level activities that support the implementation of the project serving the schools included in the application. Funds may not be used, however, for district-level activities that serve schools that are not included in the application or for general, district-wide high school reform initiatives.

Changes: None.

#### Performance Indicators

Comment: One commenter recommended that we revise the proposed performance indicator for student enrollment in postsecondary education to include enrollment in advanced training and apprenticeships as well.

Discussion: We agree that enrollment in advanced training or a registered apprenticeship program is an outcome that is consistent with the purpose of this indicator. Registered apprenticeship programs, for example, combine structured on-the-job training with classroom instruction that is often offered by a community college and articulated with a postsecondary certificate or associate's degree program.

Change: We revised the indicator to include, in addition to student enrollment in postsecondary education, enrollment in advanced training or a registered apprenticeship program.

Comment: One commenter recommended that we require grant recipients to collect and report data for an indicator that measured student success in achieving employment- or career-related outcomes, such as placement in employment, attainment of a technical certificate, or participation in work-related experiences during high school.

Discussion: We agree that there are a variety of other indicators that may be useful to applicants in gauging their progress in implementing their projects. We encourage applicants to include in their applications

additional indicators that they consider appropriate. However, in the interests of limiting burden on applicants and grant recipients, we decline to establish any additional mandatory performance indicators.

Changes: None.

#### Required Meetings Sponsored by the Department

Comment: One commenter recommended that we require applicants to set aside funds within their proposed budgets to attend Department meetings in each year of the project period, rather than in the first and second years only, as we had proposed. The commenter indicated that meetings should be offered on an annual basis because they are helpful to project directors.

Discussion: We agree that annual meetings would be helpful to grant recipients in implementing their projects.

Change: We revised the requirement to direct applicants to set aside funding to attend annual meetings hosted by the Department.

Comment: None.

Discussion: We proposed requiring applicants to set aside funds in the first year of the project period to support the participation of five key staff in a two-day regional institute, in addition to a meeting for project directors. During intradepartmental review, we determined that this requirement is inconsistent with our intent, which is to include several staff from each high school included in a grant. Five staff will be insufficient if a grant includes six high schools. Similarly, five staff may be excessive for a grant that includes a single high school. We also determined that describing this meeting as a regional event was inaccurate because our current expectation is that these meetings will be held in Washington, DC.

Change: We revised the requirement to direct applicants to set aside funds to support the participation of at least two individuals from each high school included in an application in technical assistance meetings hosted by the Department in Washington, DC.

#### Previous Grantees

Comment: None.

Discussion: We proposed to allow an LEA to apply only on behalf of a school or schools that will not receive funds through an SLC implementation grant that has a performance period that extends beyond the current fiscal year. During intradepartmental review, we determined that our reference to a school's receipt of funds was ambiguous and could be interpreted in ways that are not consistent with our intent. An LEA can provide many services and supports to a school that is included in an application without transferring funds to the school. An LEA, for example, may purchase professional development services on behalf of a school, rather than provide the school with funds to purchase these services. In proposing this limitation, our intent was to exclude any high school that is included in an SLC grant with a performance period that extends beyond the current fiscal year, regardless of whether the high school actually receives grant funds from the LEA.

Change: We revised the limitation to permit an LEA to apply only on behalf of a school or schools that is not included in an SLC implementation grant that has a performance period that extends beyond the current fiscal year.

#### Selection Criteria

Comment: One commenter expressed concern about a proposed selection criterion under Quality of Project Design that evaluates an applicant's readiness to implement its proposed project during the school year in which the grant award is made. Noting that grant awards are likely to be made after the start of the 2007-08 school year, the commenter asked us to clarify the types of activities we expected grant recipients to undertake during the school year in which the grant is awarded.

Discussion: The commenter is correct that grant awards are likely to be made after the start of the 2007-08 school year. Given this, we do not expect grant recipients to implement immediately activities, such as creating freshman academies or other structures, that require changes in teacher assignments, student scheduling, and course offerings. However, there are a wide variety of other implementation activities that a grant recipient can carry out during the 2007-08 school year, such as professional development, piloting new curricula, and enhancing academic support services for students. In designing their proposed projects, applicants should take

the expected date of the grant award into account, and identify substantive activities that they will be able to implement during the 2007-08 school year. Applications in which first year activities are limited to planning only are unlikely to be rated highly on the selection criterion that evaluates implementation readiness.

Changes: None.

Comment: One commenter recommended that we require applicants to describe how students will be selected or placed in an SLC to assure that these placements are not made on the basis of students' test scores or perceptions of their ability. The commenter also recommended including this requirement in the selection criteria and awarding points to applicants on the basis of their responses.

Discussion: The description recommended by the commenter is one that, by statute, all applicants must provide. Since the statute prohibits projects from placing students in SLCs on the basis of their ability or pursuant to testing or other judgments, it is not appropriate to make this a selection criterion.

Changes: None.

Comments: One commenter recommended that we establish a selection criterion that evaluates the extent to which an applicant will place all students in an SLC by the end of the project period. Another commenter asked that we clarify whether projects are required to include all students in SLCs. A third commenter asked if the requirement that an SLC project include all students by the end of the fifth year of the project period means that projects must assign all students to academies or other smaller organizational units within a school.

Discussion: In the notice of final priority, requirements, definitions, and selection criteria (NFP) published in the Federal Register on April 28, 2005 (70 FR 22233), we established a requirement that SLC projects include all students by no later than the end of the fifth year of the project. We also defined an SLC as an environment in which a group of teachers and other adults within the school knows the needs, interests, and aspirations of each student well, closely monitors each student's progress, and provides the academic and other support each student needs to succeed. We did not propose any changes to the requirement or the SLC definition or seek public comment on them in the NPP. It is clear from the comments we received, however, that there is confusion about their meaning. We do not prescribe how an applicant creates the environment of strong academic and personal support described by the SLC definition, or how it provides this environment for all students. While we expect that SLC projects will include a structural component, such as an academy, we do not require projects to assign all students to academies, "houses," or other smaller organizational units. Depending upon the circumstances and needs of a particular school and its students, there may be a variety of ways to create an environment in which all students receive strong personal and academic support. Thus, for example, an applicant could propose a project that places all entering ninth graders in a freshman academy to support their transition to high school, and establish teacher advisories or mentoring programs to create an environment of academic and personal support for all students in the upper grades. Another applicant might decide to propose a project in which all students in a school are assigned to theme-based academies. Finally, in the NPP, we proposed a selection criterion under Quality of Project Services that evaluates the likely effectiveness of the proposed project in creating for all students the environment described in the SLC definition so we do not believe any further change is necessary.

Changes: None.

Comment: One commenter urged us to revise the selection criteria to encourage applicants to align their proposed project with activities they carry out with funds provided under the Safe and Drug-Free Schools and Communities Act, which is authorized by Title IV of the ESEA.

Discussion: We agree that applicants should seek to utilize funds provided under Title IV of ESEA and other Federal programs in which they participate. For this reason, we proposed a selection criterion under Support for Implementation that evaluates the extent to which an applicant will support the proposed project with funds provided under Federal and State programs, as well as local cash and in-kind resources. We decline, however, to highlight specific Federal programs because there are numerous programs in which applicants may be participating.

Changes: None.

Note: This notice does not solicit applications. In any year in which we choose to use this priority, we invite applications through a notice in the Federal Register. A notice soliciting applications for new awards for the SLC program with fiscal year 2006 funds is published elsewhere in this issue of the Federal Register. When inviting applications we designate the priority as absolute, competitive preference, or invitational. The effect of each type of priority follows:

Absolute priority: Under an absolute priority we consider only applications that meet the priority (34 CFR 75.105(c)(3)).

Competitive preference priority: Under a competitive preference priority we give competitive preference to an application by either (1) awarding additional points, depending on how well or the extent to which the application meets the competitive priority (34 CFR 75.105(c)(2)(i)); or (2) selecting an application that meets the competitive priority over an application of comparable merit that does not meet the priority (34 CFR 75.105(c)(2)(ii)).

Invitational priority: Under an invitational priority we are particularly interested in applications that meet the invitational priority. However, we do not give an application that meets the invitational priority a competitive or absolute preference over other applications (34 CFR 75.105(c)(1)).

PRIORITY:

Preparing All Students to Succeed in Postsecondary Education and Careers

This priority supports projects that create or expand SLCs that are part of a comprehensive effort to prepare all students to succeed in postsecondary education and careers without need for remediation.

In order to meet this priority an applicant must demonstrate that, using SLC grant funds or other resources, it will:

(1) Provide intensive interventions to assist students who enter high school with reading/language arts or mathematics skills that are significantly below grade level to “catch up” quickly and attain proficiency by the end of 10th grade;

(2) Enroll students in a coherent sequence of rigorous English language arts, mathematics, and science courses that will equip them with the skills and content knowledge needed to succeed in postsecondary education and careers without need for remediation;

(3) Provide tutoring and other academic supports to help students succeed in rigorous academic courses;

(4) Deliver comprehensive guidance and academic advising to students and their parents that includes assistance in selecting courses and planning a program of study that will provide the academic preparation needed to succeed in postsecondary education, early and ongoing college awareness and planning activities, and help in identifying and applying for financial aid for postsecondary education; and

(5) Increase opportunities for students to earn postsecondary credit through Advanced Placement courses, International Baccalaureate courses, or dual credit programs.

APPLICATION REQUIREMENTS:

Application Requirements

The Acting Assistant Secretary announces the following application requirements for the SLC competition. These requirements are in addition to the content that all SLC grant applicants must include in their applications as required by the program statute under Title V, Part D, Subpart 4, Section 5441(b) of the ESEA, and the application requirements we established in the NFP for this program, published in the Federal Register on April 28, 2005 (70 FR 22233) in the following areas: Eligibility; School Report Cards; Consortium Applications and Educational Service Agencies; Student Placement; Including All Students; and Evaluation. LEAs, including BIE schools and educational service agencies, applying on behalf of large public high schools, are eligible to apply for a grant.

1. Types of Grants

We will award implementation grants to applicants to support the creation or expansion of an SLC or

SLCs within each targeted high school during the school year in which funds are first awarded.

Grants will be awarded for a period up to 60 months. We require applicants to provide detailed, yearly budget information for the total grant period requested. At the time of the initial award, the Department will provide funds for the first 36 months of the performance period. Funding for the remaining 24 months will be contingent on the availability of funds and each grantee's substantial progress toward accomplishing the goals and objectives of the project as described in its approved application.

2. Budget Information for Determination of Award

LEAs may receive, on behalf of a single school, up to \$1,750,000, depending upon student enrollment in the school, during the 60-month project period. To ensure that sufficient funds are available to support awards to LEAs of all sizes, and not only the largest LEAs, we limit to eight the number of schools that an LEA may include in a single application for a grant. LEAs applying on behalf of a group of eligible schools thus could receive up to \$14,000,000 per grant.

The following chart provides the ranges of awards per high school size:

SLC Grant Award Ranges	
Student Enrollment	Award Ranges Per School
1,000 - 2,000 Students	\$1,000,000 - \$1,250,000
2,001 - 3,000 Students	\$1,000,000 - \$1,500,000
3,001 and Up Students	\$1,000,000 - \$1,750,000

The actual size of awards will be based on a number of factors, including the scope, quality, and comprehensiveness of the proposed project, and the range of awards indicated in the application.

Applications that request more funds than the maximum amounts specified for any school or for the total grant will not be read as part of the regular application process. However, if, after the Secretary selects applications to be funded, it appears that additional funds remain available, the Secretary may choose to read those additional applications that requested funds exceeding the maximum amounts specified. If the Secretary chooses to fund any of those additional applications, applicants will be required to work with the Department to revise their proposed budgets to fit within the appropriate funding range.

3. Indirect Costs

Eligible applicants that propose to use SLC grant funds for indirect costs must include, as part of their applications, a copy of their approved indirect cost agreement.

4. Performance Indicators

We require applicants to identify in their application specific performance indicators and annual performance objectives for each of these indicators. Specifically, we require applicants to use the following performance indicators to measure the progress of each school:

(1) The percentage of students who score at or above the proficient level on the reading/language arts and mathematics assessments used by the State to determine whether a school has made adequate yearly progress under part A of Title I of the ESEA, as well as these percentages disaggregated by subject matter and the following subgroups:

- (A) Major racial and ethnic groups;
- (B) Students with disabilities;
- (C) Students with limited English proficiency; and
- (D) Economically disadvantaged students.

(2) The school's graduation rate, as defined in the State's approved accountability plan for Part A of Title I of the ESEA; and

(3) The percentage of graduates who enroll in postsecondary education, advanced training, or a

registered apprenticeship program in the semester following high school graduation.

Applicants must include in their applications baseline data for each of these indicators and identify performance objectives for each year of the project period. We further require recipients of grant funds to report annually on the extent to which each school achieves its performance objectives for each indicator during the preceding school year. We require grantees to include in these reports comparable data, if available, for the preceding three school years so that trends in performance will be more apparent.

#### 5. Required Meetings Sponsored by the Department

Applicants must set aside adequate funds within their proposed budget to send their project director and at least two individuals from each school included in the application to a two-day technical assistance meeting in Washington, DC, in each year of the project period. The Department will host these meetings.

#### Previous Grantees

An LEA may apply only on behalf of a school or schools that is not included in an SLC implementation grant that has a performance period that extends beyond the current fiscal year (September 30, 2007).

#### SELECTION CRITERIA:

The following selection criteria will be used to evaluate applications for new grants under this program. We may apply these selection criteria to any SLC competition in the future.

#### Need for the Project

In determining the need for the proposed project, we will consider the magnitude of the need for the services that will be provided and the activities that will be carried out by the proposed project.

#### Quality of the Project Design

In determining the quality of the design of the proposed project, we will consider the extent to which--

- (1) Teachers, school administrators, parents and community stakeholders support the proposed project and have been and will continue to be involved in its development and implementation;
- (2) The applicant has carried out sufficient planning and preparatory activities to enable it to implement the proposed project during the school year in which the grant award will be made;
- (3) School administrators, teachers, and other school employees will receive effective, ongoing technical assistance and support in implementing structural and instructional reforms;
- (4) The applicant will offer all students a coherent sequence of rigorous English language arts, mathematics, and science courses that will provide students with the knowledge and skills needed to succeed in postsecondary education and careers without need for remediation; and
- (5) The proposed project is part of a districtwide strategy for high school redesign and strengthens the district's capacity to develop and implement smaller learning communities and improve student academic achievement as part of that strategy.

#### Quality of Project Services

In determining the quality of the services to be provided by the proposed project, we will consider the extent to which the proposed project is likely to be effective in--

- (1) Creating an environment in which a core group of teachers and other adults within the school know the needs, interests, and aspirations of each student well, closely monitor each student's progress, and provide the academic and other support each student needs to succeed;
- (2) Equipping all students with the reading/English language arts, mathematics, and science knowledge and skills they need to succeed in postsecondary education and careers without need for remediation;
- (3) Helping students who enter high school with reading/English language arts or mathematics skills that are significantly below grade-level "catch up" quickly and attain proficiency by the end of the 10th grade;
- (4) Providing teachers with the professional development, coaching, regular opportunities for collaboration with peers, and other supports needed to implement a rigorous curriculum and provide high-quality instruction;
- (5) Increasing the participation of students, particularly low-income students, in Advanced Placement, International Baccalaureate, or dual credit courses; and



(6) Increasing the percentage of students who enter postsecondary education in the semester following high school graduation.

#### Support for Implementation

In determining the adequacy of the support the applicant will provide for implementation of the proposed project, we will consider the extent to which--

- (1) The management plan is likely to achieve the objectives of the proposed project on time and within budget and includes clearly defined responsibilities and detailed timelines and milestones for accomplishing project tasks;
- (2) The project director and other key personnel are qualified to carry out their responsibilities, and their time commitments are appropriate and adequate to implement the SLC project effectively;
- (3) The applicant will support the proposed project with funds provided under other Federal or State programs and local cash or in-kind resources; and
- (4) The requested grant amount and the project costs are sufficient to attain project goals and reasonable in relation to the objectives and design of the project.

#### Quality of the SLC Project Evaluation

In determining the quality of the proposed project evaluation to be conducted by an independent, third-party evaluator, we consider the extent to which--

- (1) The evaluation will provide timely, regular, and useful feedback to the LEA and the participating schools on the success and progress of implementation, and identify areas for needed improvement; and
- (2) The independent evaluator is qualified to conduct the evaluation.

#### Executive Order 12866

This notice of final priority, requirements, and selection criteria has been reviewed in accordance with Executive Order 12866. Under the terms of the order, we have assessed the potential costs and benefits of this regulatory action.

The potential costs associated with this notice of final priority, requirements, and selection criteria are those resulting from statutory requirements and those we have determined as necessary for administering this program effectively and efficiently.

In assessing the potential costs and benefits--both quantitative and qualitative--of this notice of final priority, requirements, and selection criteria, we have determined that the benefits of the final priority, requirements, and selection criteria justify the costs.

We have also determined that this regulatory action does not unduly interfere with State, local, and tribal governments in the exercise of their governmental functions.

#### Intergovernmental Review

This program is subject to Executive Order 12372 and the regulations in 34 CFR part 79. One of the objectives of the Executive order is to foster an intergovernmental partnership and a strengthened federalism. The Executive order relies on processes developed by State and local governments for coordination and review of proposed Federal financial assistance. This document provides early notification of our specific plans and actions for this program.

#### Electronic Access to This Document

You may view this document, as well as all other Department of Education documents published in the Federal Register, in text or Adobe Portable Document Format (PDF) on the Internet at the following site:

[www.ed.gov/news/fedregister](http://www.ed.gov/news/fedregister)

To use PDF you must have Adobe Acrobat Reader, which is available free at this site. If you have questions about using PDF, call the U.S. Government Printing Office (GPO), toll free, at 1-888-293-6498; or in the Washington, DC, area at (202) 512-1530.

Note: The official version of this document is the document published in the Federal Register. Free Internet access to the official edition of the Federal Register and the Code of Federal Regulations is available on GPO Access at: <http://www.gpoaccess.gov/nara/index.html>  
(Catalog of Federal Domestic Assistance Number 84.215L, Smaller Learning Communities Program)  
PROGRAM AUTHORITY: 20 U.S.C. 7249.

Dated: May 15, 2007

\_\_\_\_\_/s/\_\_\_\_\_  
Kerri L. Briggs,  
Acting Assistant Secretary for Elementary and Secondary  
Education.

### ***Program Statute***

Electronic version of the statute available online:

<http://www.ed.gov/policy/elsec/leg/esea02/pg70.html>

#### **Sec. 5441. Smaller Learning Communities.**

(a) GRANT AUTHORITY- The Secretary is authorized to award grants to local educational agencies to enable the agencies to create a smaller learning community or communities.

(b) APPLICATION- Each local educational agency desiring a grant under this subpart shall submit an application to the Secretary at such time, in such manner, and accompanied by such information as the Secretary may require. The application shall include descriptions of the following:

- (1) Strategies and methods the local educational agency will use to create the smaller learning community or communities.
- (2) Curriculum and instructional practices, including any particular themes or emphases, to be used in the smaller learning environment.
- (3) The extent of involvement of teachers and other school personnel in investigating, designing, implementing, and sustaining the smaller learning community or communities.
- (4) The process to be used for involving students, parents, and other stakeholders in the development and implementation of the smaller learning community or communities.
- (5) Any cooperation or collaboration among community agencies, organizations, businesses, and others to develop or implement a plan to create the smaller learning community or communities.
- (6) The training and professional development activities that will be offered to teachers and others involved in the activities assisted under this subpart.
- (7) The objectives of the activities assisted under this subpart, including a description of how such activities will better enable all students to reach challenging State academic content standards and State student academic achievement standards.
- (8) The methods by which the local educational agency will assess progress in meeting the objectives described in paragraph (7).
- (9) If the smaller learning community or communities exist as a school-within-a-school, the relationship, including governance and administration, of the smaller learning community to the remainder of the school.
- (10) The administrative and managerial relationship between the local educational agency and the smaller learning community or communities, including how such agency will demonstrate a commitment to the continuity of the smaller learning community or communities (including the continuity of student and teacher assignment to a particular learning community).
- (11) How the local educational agency will coordinate or use funds provided under this subpart with other funds provided under this Act or other Federal laws.

(12) The grade levels or ages of students who will participate in the smaller learning community or communities.

(13) The method of placing students in the smaller learning community or communities, such that students are not placed according to ability or any other measure, but are placed at random or by their own choice, and not pursuant to testing or other judgments.

(c) AUTHORIZED ACTIVITIES- Funds under this section may be used for one or more of the following:

(1) To study—

(A) the feasibility of creating the smaller learning community or communities; and

(B) effective and innovative organizational and instructional strategies that will be used in the smaller learning community or communities.

(2) To research, develop, and implement—

(A) strategies for creating the smaller learning community or communities; and

(B) strategies for effective and innovative changes in curriculum and instruction, geared to challenging State academic content standards and State student academic achievement standards.

(3) To provide professional development for school staff in innovative teaching methods that—

(A) challenge and engage students; and

(B) will be used in the smaller learning community or communities.

(4) To develop and implement strategies to include parents, business representatives, local institutions of higher education, community-based organizations, and other community members in the smaller learning communities as facilitators of activities that enable teachers to participate in professional development activities and provide links between students and their community.

# Application Instructions

## *Electronic Application Format*

Applications for grants under this competition must be submitted electronically, unless you qualify for an exception to the electronic submission requirement in accordance with the instructions in this application package. **The deadline for submission of Smaller Learning Communities Program applications through Grants.gov is February 25, 2008.**

In accordance with EDGAR §75.216 (b) and (c), an application will not be evaluated for funding if the applicant does not comply with all of the procedural rules that govern the submission of the application or the application does not contain the information required under the program.

## *Electronic Application Submission Checklist*

It is recommended that your electronic application be organized in the following manner and include the following parts in order to expedite the review process. To apply electronically via Grants.gov, you must download, complete and submit the Pure Edge application forms found on Grants.gov.

Instructions for all parts and forms of the application are found either on the following pages of the application package or individually for each form on Grants.gov.

**Note: Please do not attach any narratives, supporting files, or application components to any forms unless it is specifically required by the instructions for the individual section of the application. Although several forms accept attachments, the Department of Education will only review materials/files attached in accordance with the instructions provided within this application package.**

Review your electronic application to ensure you have completed the following forms and sections:

### **Part 1: Preliminary Documents**

- Application for Federal Assistance (form SF 424)
- ED Supplemental Information for SF 424

### **Part 2: Budget Information**

- ED Budget Information Non-Construction Programs (ED Form 524)

### **Part 3: ED Abstract Form**

- Project Abstract

### **Part 4: Project Narrative Attachment Form**

- Application Narrative

**Part 5: Budget Narrative Attachment Form**

- Budget Narrative

**Part 6: Other Attachments Form**

- Competitive Preference Priority
- Student Placement
- Individual Resumes for Project Directors & Key Personnel
- Performance Indicators
- School Report Cards
- Copy of Indirect Cost Rate Agreement (if applicable)

**Part 7: Assurances and Certifications**

- Assurances – Non-Construction Programs (SF 424B Form)
- Disclosure of Lobbying Activities (Standard Form LLL)
- Grants.gov Lobbying Form
- General Education Provisions Act (GEPA) Requirements – Section 427 (ED GEPA427 form)

**Part 8: Intergovernmental Review (Executive Order 12372)**

- State Single Point of Contact (SPOC) List

***Part 1: Preliminary Documents***

- Application for Federal Assistance (Form SF 424)
- ED Supplemental Information for SF 424

These forms require basic identifying information about the applicant and the application. Please provide all requested applicant information (including name, address, e-mail address and DUNS number).

**When applying electronically via Grants.gov, you will need to ensure that the DUNS number you enter on your application is the same as the DUNS number your organization used when it registered with the Central Contractor Registry.**

Applicants are advised to complete the Application for Federal Assistance (Form SF 424) first. Grants.gov will automatically insert the correct CFDA and program name automatically wherever needed on other forms.

*NOTE: Please do not attach any narratives, supporting files, or application components to the Standard Form (SF 424). Although this form accepts attachments, the Department of Education will only review materials/files attached in accordance with the instructions provided within this application.*

## Instructions for the SF-424

Public reporting burden for this collection of information is estimated to average 60 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.

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

This is a standard form (including the continuation sheet) required for use as a cover sheet for submission of preapplications and applications and related information under discretionary programs. Some of the items are required and some are optional at the discretion of the applicant or the Federal agency (agency). Required items are identified with an asterisk on the form and are specified in the instructions below. In addition to the instructions provided below, applicants must consult agency instructions to determine specific requirements.

Item	Entry:	Item	Entry:
1.	<b>Type of Submission:</b> (Required): Select one type of submission in accordance with agency instructions. <ul style="list-style-type: none"> <li>• Preapplication</li> <li>• Application</li> <li>• Changed/Corrected Application – If requested by the agency, check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this to submit changes after the closing date.</li> </ul>	10.	<b>Name Of Federal Agency:</b> (Required) Enter the name of the Federal agency from which assistance is being requested with this application.
		11.	<b>Catalog Of Federal Domestic Assistance Number/Title:</b> Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.
2.	<b>Type of Application:</b> (Required) Select one type of application in accordance with agency instructions. <ul style="list-style-type: none"> <li>• New – An application that is being submitted to an agency for the first time.</li> <li>• Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals.</li> <li>• Revision - Any change in the Federal Government's financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided.               <ul style="list-style-type: none"> <li>A. Increase Award      B. Decrease Award</li> <li>C. Increase Duration    D. Decrease Duration</li> <li>E. Other (specify)</li> </ul> </li> </ul>	12.	<b>Funding Opportunity Number/Title:</b> (Required) Enter the Funding Opportunity Number and title of the opportunity under which assistance is requested, as found in the program announcement.
		13.	<b>Competition Identification Number/Title:</b> Enter the Competition Identification Number and title of the competition under which assistance is requested, if applicable.
		14.	<b>Areas Affected By Project:</b> List the areas or entities using the categories (e.g., cities, counties, states, etc.) specified in agency instructions. Use the continuation sheet to enter additional areas, if needed.
3.	<b>Date Received:</b> Leave this field blank. This date will be assigned by the Federal agency.	15.	<b>Descriptive Title of Applicant's Project:</b> (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For preapplications, attach a summary description of the project.
4.	<b>Applicant Identifier:</b> Enter the entity identifier assigned by the Federal agency, if any, or applicant's control number, if applicable.	16.	<b>Congressional Districts Of:</b> (Required) 16a. Enter the applicant's Congressional District, and 16b. Enter all District(s) affected by the program or project. Enter in the format: 2 characters State Abbreviation – 3 characters District Number, e.g., CA-005 for California 5th <sup>th</sup> district, CA-012 for California 12 <sup>th</sup> district, NC-103 for North Carolina's 103 <sup>rd</sup> district. <ul style="list-style-type: none"> <li>• If all congressional districts in a state are affected, enter "all" for the district number, e.g., MD-all for all congressional districts in Maryland.</li> <li>• If nationwide, i.e. all districts within all states are affected, enter US-all.</li> <li>• If the program/project is outside the US, enter 00-000.</li> </ul>
5a.	<b>Federal Entity Identifier:</b> Enter the number assigned to your organization by the Federal Agency, if any.		
5b.	<b>Federal Award Identifier:</b> For new applications leave blank. For a continuation or revision to an existing award, enter the previously assigned Federal award identifier number. If a changed/corrected application, enter the Federal Identifier in accordance with agency instructions.		
6.	<b>Date Received by State:</b> Leave this field blank. This date will be assigned by the State, if applicable.		
7.	<b>State Application Identifier:</b> Leave this field blank. This identifier will be assigned by the State, if applicable.		
8.	<b>Applicant Information:</b> Enter the following in accordance with agency instructions: <ul style="list-style-type: none"> <li>a. <b>Legal Name:</b> (Required): Enter the legal name of applicant that will undertake the assistance activity. This is the name that the organization has registered with the Central Contractor Registry. Information on registering with CCR may be obtained by visiting the Grants.gov website.</li> <li>b. <b>Employer/Taxpayer Number (EIN/TIN):</b> (Required): Enter the Employer or Taxpayer Identification Number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.</li> <li>c. <b>Organizational DUNS:</b> (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting the Grants.gov website.</li> </ul>	17.	<b>Proposed Project Start and End Dates:</b> (Required) Enter the proposed start date and end date of the project.
		18.	<b>Estimated Funding:</b> (Required) Enter the amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses.



	<p><b>d. Address:</b> Enter the complete address as follows: Street address (Line 1 required), City (Required), County, State (Required, if country is US), Province, Country (Required), Zip/Postal Code (Required, if country is US).</p>																										
	<p><b>e. Organizational Unit:</b> Enter the name of the primary organizational unit (and department or division, if applicable) that will undertake the assistance activity, if applicable.</p>	19.	<p><b>Is Application Subject to Review by State Under Executive Order 12372 Process?</b> Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. Select the appropriate box. If "a." is selected, enter the date the application was submitted to the State</p>																								
	<p><b>f. Name and contact information of person to be contacted on matters involving this application:</b> Enter the name (First and last name required), organizational affiliation (if affiliated with an organization other than the applicant organization), telephone number (Required), fax number, and email address (Required) of the person to contact on matters related to this application.</p>	20.	<p><b>Is the Applicant Delinquent on any Federal Debt?</b> (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.</p> <p>If yes, include an explanation on the continuation sheet.</p>																								
9.	<p>Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions.</p> <table border="0" data-bbox="154 724 844 1302"> <tr> <td data-bbox="154 724 503 751">A. State Government</td> <td data-bbox="511 724 844 751">M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)</td> </tr> <tr> <td data-bbox="154 751 503 779">B. County Government</td> <td data-bbox="511 751 844 779">N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)</td> </tr> <tr> <td data-bbox="154 779 503 806">C. City or Township Government</td> <td data-bbox="511 779 844 806">O. Private Institution of Higher Education</td> </tr> <tr> <td data-bbox="154 806 503 833">D. Special District Government</td> <td data-bbox="511 806 844 833">P. Individual</td> </tr> <tr> <td data-bbox="154 833 503 861">E. Regional Organization</td> <td data-bbox="511 833 844 861">Q. For-Profit Organization (Other than Small Business)</td> </tr> <tr> <td data-bbox="154 861 503 888">F. U.S. Territory or Possession</td> <td data-bbox="511 861 844 888">R. Small Business</td> </tr> <tr> <td data-bbox="154 888 503 915">G. Independent School District</td> <td data-bbox="511 888 844 915">S. Hispanic-serving Institution</td> </tr> <tr> <td data-bbox="154 915 503 942">H. Public/State Controlled Institution of Higher Education</td> <td data-bbox="511 915 844 942">T. Historically Black Colleges and Universities (HBCUs)</td> </tr> <tr> <td data-bbox="154 942 503 970">I. Indian/Native American Tribal Government (Federally Recognized)</td> <td data-bbox="511 942 844 970">U. Tribally Controlled Colleges and Universities (TCCUs)</td> </tr> <tr> <td data-bbox="154 970 503 997">J. Indian/Native American Tribal Government (Other than Federally Recognized)</td> <td data-bbox="511 970 844 997">V. Alaska Native and Native Hawaiian Serving Institutions</td> </tr> <tr> <td data-bbox="154 997 503 1024">K. Indian/Native American Tribally Designated Organization</td> <td data-bbox="511 997 844 1024">W. Non-domestic (non-US) Entity</td> </tr> <tr> <td data-bbox="154 1024 503 1052">L. Public/Indian Housing Authority</td> <td data-bbox="511 1024 844 1052">X. Other (specify)</td> </tr> </table>	A. State Government	M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)	B. County Government	N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)	C. City or Township Government	O. Private Institution of Higher Education	D. Special District Government	P. Individual	E. Regional Organization	Q. For-Profit Organization (Other than Small Business)	F. U.S. Territory or Possession	R. Small Business	G. Independent School District	S. Hispanic-serving Institution	H. Public/State Controlled Institution of Higher Education	T. Historically Black Colleges and Universities (HBCUs)	I. Indian/Native American Tribal Government (Federally Recognized)	U. Tribally Controlled Colleges and Universities (TCCUs)	J. Indian/Native American Tribal Government (Other than Federally Recognized)	V. Alaska Native and Native Hawaiian Serving Institutions	K. Indian/Native American Tribally Designated Organization	W. Non-domestic (non-US) Entity	L. Public/Indian Housing Authority	X. Other (specify)	21.	<p><b>Authorized Representative:</b> (Required) To be signed and dated by the authorized representative of the applicant organization. Enter the name (First and last name required) title (Required), telephone number (Required), fax number, and email address (Required) of the person authorized to sign for the applicant.</p> <p>A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)</p>
A. State Government	M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)																										
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## Instructions for the ED Supplemental Information for SF 424

- 1. Project Director.** Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application.
- 2. Novice Applicant.** Check “Yes” or “No” only if assistance is being requested under a program that gives special consideration to novice applicants. Otherwise, leave blank.

Check “Yes” if you meet the requirements for novice applicants specified in the regulations in 34 CFR 75.225 and included on the attached page entitled “Definitions for Department of Education Supplemental Information for SF 424.” By checking “Yes” the applicant certifies that it meets these novice applicant requirements. Check “No” if you do not meet the requirements for novice applicants.

- 3. Human Subjects Research.** (See I. A. “Definitions” in attached page entitled “Definitions for Department of Education Supplemental Information For SF 424.”)

**If Not Human Subjects Research.** Check “No” if research activities involving human subjects are not planned at any time during the proposed project period. The remaining parts of Item 3 are then not applicable.

**If Human Subjects Research.** Check “Yes” if research activities involving human subjects are planned at any time during the proposed project period, either at the applicant organization or at any other performance site or collaborating institution. Check “Yes” even if the research is exempt from the regulations for the protection of human subjects. (See I. B. “Exemptions” in attached page entitled “Definitions for Department of Education Supplemental Information For SF 424.”)

**If Human Subjects Research is Exempt from the Human Subjects Regulations.** Check “Yes” if all the research activities proposed are designated to be exempt from the regulations. Insert the exemption number(s) corresponding to one or more of the six exemption categories listed in I. B. “Exemptions.” In addition, follow the instructions in II. A. “Exempt Research Narrative” in the attached page entitled “Definitions for Department of Education Supplemental Information For SF 424.”

**If Human Subjects Research is Not Exempt from Human Subjects Regulations.** Check “No” if some or all of the planned research activities are covered (not exempt).

In addition, follow the instructions in II. B. “Nonexempt Research Narrative” in the page entitled “Definitions for Department of Education Supplemental Information For SF 424

**Human Subjects Assurance Number.** If the applicant has an approved Federal Wide (FWA) on file with the Office for Human Research Protections (OHRP), U.S. Department of Health and Human Services, that covers the specific activity, insert the number in the space provided. If the applicant does not have an approved assurance on file with OHRP, enter “None.” In this case, the applicant, by signature on the SF-424, is declaring that it will comply with 34 CFR 97 and proceed to obtain the human subjects assurance upon request by the designated ED official. If the application is recommended/selected for funding, the designated ED official will request that the applicant obtain the assurance within 30 days after the specific formal request.

**Note about Institutional Review Board Approval.** ED does not require certification of Institutional Review Board approval with the application. However, if an application that involves non-exempt human subjects research is recommended/selected for funding, the designated ED official will request that the applicant obtain and send the certification to ED within 30 days after the formal request.

*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 1890-0017. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, DC 20202-4700. If you have comments or concerns regarding the status of your individual submission of this form write directly to: Joyce I. Mays, Application Control Center, U.S. Department of Education, Potomac Center Plaza, 550 12<sup>th</sup> Street, S.W. Room 7076, Washington, DC 20202-4260.*

## Definitions for ED Supplemental Information for SF 424

### Definitions:

**Novice Applicant (See 34 CFR 75.225).** For discretionary grant programs under which the Secretary gives special consideration to novice applications, a novice applicant means any applicant for a grant from ED that—

- Has never received a grant or subgrant under the program from which it seeks funding;
- Has never been a member of a group application, submitted in accordance with 34 CFR 75.127-75.129, that received a grant under the program from which it seeks funding; and
- Has not had an active discretionary grant from the Federal government in the five years before the deadline date for applications under the program. For the purposes of this requirement, a grant is active until the end of the grant’s project or funding period, including any extensions of those periods that extend the grantee’s authority to obligate funds.

In the case of a group application submitted in accordance with 34 CFR 75.127-75.129, a group includes only parties that meet the requirements listed above.

### PROTECTION OF HUMAN SUBJECTS IN RESEARCH

#### I. Definitions and Exemptions

##### A. Definitions.

A research activity involves human subjects if the activity is research, as defined in the Department’s regulations, and the research activity will involve use of human subjects, as defined in the regulations.

##### —Research

The ED Regulations for the Protection of Human Subjects, Title 34, Code of Federal Regulations, Part 97, define research as “a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge.” *If an activity follows a deliberate plan whose purpose is to develop or contribute to generalizable knowledge it is research.* Activities, which meet this definition, constitute research whether or not they are conducted or

supported under a program that is considered research for other purposes. For example, some demonstration and service programs may include research activities.

##### —Human Subject

The regulations define human subject as “a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information.” *(1) If an activity involves obtaining information about a living person by manipulating that person or that person’s environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met. (2) If an activity involves obtaining private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), the definition of human subject is met.* [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).]

##### B. Exemptions.

Research activities in which the **only** involvement of human subjects will be in one or more of the following six categories of **exemptions** are not covered by the regulations:

(1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and

(b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. *If the subjects are children, exemption 2 applies only to research involving educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed. Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed.* [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

(3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed public officials or candidates for public office; or federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

(5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs.

(6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

## II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives

If the applicant marked "Yes" for Item 3 of Department of Education Supplemental Information for SF 424, the applicant must provide a human subjects "exempt research" or "nonexempt research" narrative. Insert the narrative(s) in the space provided. If you have multiple projects and need to provide more than one narrative, be sure to label each set of responses as to the project they address.

### A. Exempt Research Narrative.

If you marked "Yes" for item 3 a. and designated exemption numbers(s), provide the "exempt research" narrative. The narrative must contain sufficient information about the involvement of human subjects in the proposed research to allow a determination by ED that the designated exemption(s) are appropriate. The narrative must be succinct.

### B. Nonexempt Research Narrative.

If you marked "No" for item 3 a. you must provide the "nonexempt research" narrative. The narrative must address the following seven points. Although no specific page limitation applies to this section of the application, be succinct.

#### (1) Human Subjects Involvement and Characteristics:

Provide a detailed description of the proposed involvement of human subjects. Describe the characteristics of the subject population, including their anticipated number, age range, and health status. Identify the criteria for inclusion or exclusion of any subpopulation. Explain the rationale for the involvement of special classes of subjects, such as children, children with disabilities, adults with disabilities, persons with mental disabilities, pregnant women, prisoners, institutionalized individuals, or others who are likely to be vulnerable

(2) **Sources of Materials:** Identify the sources of research material obtained from individually identifiable living human subjects in the form of specimens, records, or data. Indicate whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.

(3) **Recruitment and Informed Consent:** Describe plans for the recruitment of subjects and the consent procedures to be followed. Include the circumstances under which consent will be sought and obtained, who

will seek it, the nature of the information to be provided to prospective subjects, and the method of documenting consent. State if the Institutional Review Board (IRB) has authorized a modification or waiver of the elements of consent or the requirement for documentation of consent.

**(4) Potential Risks:** Describe potential risks (physical, psychological, social, legal, or other) and assess their likelihood and seriousness. Where appropriate, describe alternative treatments and procedures that might be advantageous to the subjects.

**(5) Protection Against Risk:** Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss provisions for ensuring necessary medical or professional intervention in the event of adverse effects to the subjects. Also, where appropriate, describe the provisions for monitoring the data collected to ensure the safety of the subjects.

**(6) Importance of the Knowledge to be Gained:** Discuss the importance of the knowledge gained or to be gained as a result of the proposed research. Discuss why the risks to subjects are reasonable in relation to the

anticipated benefits to subjects and in relation to the importance of the knowledge that may reasonably be expected to result.

**(7) Collaborating Site(s):** If research involving human subjects will take place at collaborating site(s) or other performance site(s), name the sites and briefly describe their involvement or role in the research.

*Copies of the Department of Education's Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the Grants Policy and Oversight Staff, Office of the Chief Financial Officer, U.S. Department of Education, Washington, DC 20202-4250, telephone: (202) 245-6120, and on the U.S. Department of Education's Protection of Human Subjects in Research Web Site:  
<http://www.ed.gov/about/offices/list/ocfo/humansub.html>*

NOTE: The **State Applicant Identifier** on the SF 424 is for State Use only. Please complete it on the OMB Standard 424 in the upper right corner of the form (if applicable).

## **Part 2: Budget Information**

### ED Budget Information Non-Construction Programs (ED Form 524)

This part of your application contains information about the Federal funding you are requesting. Remember that you must provide all requested budget information for each year of the project (up to 60 months) and the total column in order to be considered for Federal funding. Specific instructions for completing the budget forms are provided within this application package.

*Instructions for completing ED Form 524 Section A:*

Name of Institution/Organization: Enter the name of the applicant in the space provided.

Personnel (line 1): Enter project personnel salaries and wages only. Include fees and expenses for consultants on line 6.

Fringe Benefits (line 2): The institution's normal fringe benefits contribution may be charged to the program. Leave this line blank if fringe benefits applicable to direct salaries and wages are treated as part of the indirect cost.

Travel (line 3): Indicate the travel costs of employees and participants only. Include travel of persons such as consultants on line 6. *Applicants must set aside adequate funds within their proposed budget to send a project director and at least two individuals from each school included in the application to a two-day technical assistance meeting in Washington, DC, in each year of the project period.*

Equipment (line 4): Indicate the cost of tangible, non-expendable personal property that has a usefulness greater than one year and acquisition costs that are the lesser of the capitalization level established by the applicant entity for financial statement purposes or \$5,000 per article. Lower limits may be established to maintain consistency with the applicant's policy.

Supplies (line 5): Show all tangible, expendable personal property. Direct supplies and materials differ from equipment in that they are consumable, expendable, and of a relatively low unit cost. *Supplies purchased with grant funds should directly benefit the grant project and be necessary for achieving the goals of the project.*

Contractual (line 6): The contractual category should include all costs specifically incurred with actions that the applicant takes in conjunction with an established internal procurement system. Include consultant fees, expenses, and travel costs in this category if the consultant's services are obtained through a written binding agreement or contract.

Construction (line 7): Not applicable.

Other (line 8): Indicate all direct costs not covered on lines 1-6. For example, include costs such as space rental, required fees, honoraria and travel (where a contract is not in place for services), training, and communication and printing costs. *Do not include costs that are included in the indirect cost rate.*

Total Direct Costs (line 9): The sum of lines 1-8.

Indirect Costs (line 10): Indicate the applicant's approved indirect cost rate, per sections 75.560 – 75.564 of EDGAR. If an applicant does not have an approved indirect cost rate agreement with a cognizant Federal agency, the applicant must apply to the Department for a temporary indirect cost rate if it wishes to charge indirect costs to the grant. For more information, go to the Department's website at: <http://www.ed.gov/about/offices/list/ocfo/fipao/icgindex.html>.

Training Stipends (line 11): This line item is not applicable to this program. The training stipend line item only pertains to costs associated with long term training programs and college or university coursework, not workshops or short-term training supported by this program. *Salary stipends paid to teachers and other school personnel for participating in short-term professional development should be reported in Personnel (line 1).*

Total Cost (line 12): This should equal to sum of lines 9-11 (total direct costs + indirect + stipends). The sum for column one, labeled *Project Year 1 (a)*, should also be equal to item 15a on the application cover sheet (SF Form 424).

## 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. Please 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 breakdown 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 12, columns (a)-(e): Show the total budget request for each project year for which funding is requested.

Line 12, 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, this 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. (2): If you checked "yes" in (1), indicate in (2) the beginning and ending dates covered by the Indirect Cost Rate Agreement. In addition, indicate whether ED or another federal agency (Other) issued the approved agreement. If you check "Other," specify the name of the federal agency that issued the approved agreement. (3): 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.

### Section B - Budget Summary Non-Federal Funds

If you are required to provide or volunteer to provide 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

4.

### **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 listed in Sections A and B. For grant projects that will be 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. If applicable to this program, provide the rate and base on which fringe benefits are calculated.

3. 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.

Provide other explanations or comments you deem necessary.

### **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 **1890-0004**. 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, DC 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form, write directly to (insert program office), U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, DC 20202.



**Part 3: ED Abstract Form**

*This section should be attached as a single document to the ED Abstract Form in accordance with the instructions found on Grants.gov and should be organized in the following manner and include the following parts in order to expedite the review process.*

*You must attach any narrative sections of your application as files in a **.DOC** (document), **.RTF** (rich text), or **.PDF** (Portable Document) format. If you upload a file type other than the three file types specified in this paragraph or submit a password-protected file, we will not review that material.*

**Project Abstract**

Applicants must submit a project abstract that briefly describes their proposed project. Include the following information in your project abstract:

LEA Name and Address:

NCES District ID: (for help, please see <a href="http://www.nces.ed.gov/globallocator/">http://www.nces.ed.gov/globallocator/</a> )

Name and Address of Each School included in the SLC Application:

Name of School	Address	Number of students enrolled
1.		
2.		
3.		
4.		
5.		
6.		
7.		
8.		

#### **Part 4: Project Narrative Attachment Form**

*This section should be attached as a **single** document to the Project Narrative Attachment Form in accordance with the instructions found on Grants.gov and should be organized in the following manner and include the following parts in order to expedite the review process.*

*You must attach any narrative sections of your application as files in a **.DOC** (document), **.RTF** (rich text), or **.PDF** (Portable Document) format. If you upload a file type other than the three file types specified in this paragraph or submit a password-protected file, we will not review that material.*

##### Table of Contents

The Table of Contents shows where and how the important sections of your proposal are organized and should not exceed **one** double spaced page.

##### Application Narrative

*The application narrative responds to the selection criteria found in this application package and should follow the order of the selection criteria.*

We encourage applicants to limit this section of the application to the equivalent of **no more than 40 pages** and adhere to the following guidelines:

- A “page” is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides.
- Double space (no more than three lines per vertical inch) all text in the application narrative. Titles, headings, footnotes, quotations, references, and captions, as well as text in charts, tables, figures, and graphs, can be single spaced.
- Use a font that is either 12 point or larger or no smaller than 10 pitch (characters per inch).
- Use one of the following fonts: Times New Roman, Courier, Courier New, or Arial.
- Number all pages consecutively using the style 1 of 40, 2 of 40, and so forth.

The suggested page limit does not apply to the Table of Contents; forms; the budget section, including the narrative budget justification; the assurances and certifications; the one-page abstract; the resumes; school report cards; the indirect cost agreement; or letters of support.

#### **Selection Criteria for Program Narrative**

The maximum score for all selection criteria is 100 points. The points or weights assigned to each criterion and/or subcriterion are indicated in parentheses. Non-Federal peer reviewers will review each application. They will be asked to evaluate and score each program narrative against the following selection criteria:

##### **A. Need for the Project.**

In determining the need for the proposed project, we will consider the magnitude of the need for the services that will be provided and the activities that will be carried out by the proposed project (6).

## **B. Quality of the Project Design**

In determining the quality of the design of the proposed project, we will consider the extent to which—

- (1) Teachers, school administrators, parents and community stakeholders support the proposed project and have been and will continue to be involved in its development and implementation (5);
- (2) The applicant has carried out sufficient planning and preparatory activities to enable it to implement the proposed project during the school year in which the grant award will be made (5);
- (3) School administrators, teachers, and other school employees will receive effective, ongoing technical assistance and support in implementing structural and instructional reforms (7);
- (4) The applicant will offer all students a coherent sequence of rigorous English language arts, mathematics, and science courses that will provide students with the knowledge and skills needed to succeed in postsecondary education and careers without need for remediation (7); and
- (5) The proposed project is part of a districtwide strategy for high school redesign and strengthens the district's capacity to develop and implement smaller learning communities and improve student academic achievement as part of that strategy (1).

## **C. Quality of Project Services**

In determining the quality of the services to be provided by the proposed project, we will consider the extent to which the proposed project is likely to be effective in--

- (1) Creating an environment in which a core group of teachers and other adults within the school know the needs, interests, and aspirations of each student well, closely monitor each student's progress, and provide the academic and other support each student needs to succeed (9);
- (2) Equipping all students with the reading/English language arts, mathematics, and science knowledge and skills they need to succeed in postsecondary education and careers without need for remediation (8);
- (3) Helping students who enter high school with reading/English language arts or mathematics skills that are significantly below grade-level "catch up" quickly and attain proficiency by the end of the 10th grade (8);
- (4) Providing teachers with the professional development, coaching, regular opportunities for collaboration with peers, and other supports needed to implement a rigorous curriculum and provide high-quality instruction (8);
- (5) Increasing the participation of students, particularly low-income students, in Advanced Placement, International Baccalaureate, or dual credit courses (8); and
- (6) Increasing the percentage of students who enter postsecondary education in the semester following high school graduation (8).

#### **D. Support for Implementation**

In determining the adequacy of the support the applicant will provide for implementation of the proposed project, we will consider the extent to which--

- (1) The management plan is likely to achieve the objectives of the proposed project on time and within budget and includes clearly defined responsibilities and detailed timelines and milestones for accomplishing project tasks (7);
- (2) The project director and other key personnel are qualified to carry out their responsibilities, and their time commitments are appropriate and adequate to implement the SLC project effectively (4);
- (3) The applicant will support the proposed project with funds provided under other Federal or State programs and local cash or in-kind resources (2); and
- (4) The requested grant amount and the project costs are sufficient to attain project goals and reasonable in relation to the objectives and design of the project (2).

#### **E. Quality of the SLC Project Evaluation**

In determining the quality of the proposed project evaluation to be conducted by an independent, third-party evaluator, we consider the extent to which—

- (1) The evaluation will provide timely, regular, and useful feedback to the LEA and the participating schools on the success and progress of implementation, and identify areas for needed improvement (3); and
- (2) The independent evaluator is qualified to conduct the evaluation (2).

### **Part 5: Budget Narrative**

*This section should be attached as a single document to the Budget Narrative Attachment Form in accordance with the instructions found on Grants.gov. It should be organized in the following manner and include the following parts in order to expedite the review process.*

*You must attach any narrative sections of your application as files in a **.DOC** (document), **.RTF** (rich text), or **.PDF** (Portable Document) format. If you upload a file type other than the three file types specified in this paragraph or submit a password-protected file, we will not review that material.*

Each application must also provide a Budget Narrative (which serves to meet the requirements of ED Form 524, Section C) for requested Federal funds. The Budget Narrative for requested Federal funds should provide a justification of how the money requested for each budget item will be spent.

This section requires an **itemized budget breakdown** for each project year and the **basis for estimating the costs** of personnel salaries, benefits, project staff travel, materials and supplies, consultants and subcontracts, indirect costs and any other projected expenditures. Be sure to complete an itemized budget breakdown and narrative for each year of the proposed project (up to 60 months).

The Budget Narrative provides an opportunity for the applicant to identify the nature and amount of the proposed expenditures. The applicant should provide sufficient detail to enable reviewers and project staff to understand how requested funds will be used, how much will be expended, and the relationship between the requested funds and project activities and outcomes.

### **Important Notes**

- Applicants are encouraged to review OMB Circular A-187, *Cost Principles for State, Local, and Indian Tribal Governments*, in preparing their budget and budget narrative. Circular A-187 may be found at the following link:

[http://www.whitehouse.gov/omb/circulars/a087/a87\\_2004.html](http://www.whitehouse.gov/omb/circulars/a087/a87_2004.html)

- Selection criterion D (4) asks reviewers to evaluate the extent to which “the requested grant amount and the project costs are sufficient to attain project goals and reasonable in relation to the objectives and design of the project.”

### **Suggested Guidelines for the Budget Narrative**

In accordance with 34 CFR 75.232, Department of Education staff perform a cost analysis of the each recommended project to ensure that costs relate to the activities and objectives of the project, are reasonable, allowable and allocable. We may delete or reduce costs from the budget during this review.

To facilitate the review of your Budget Narrative, we encourage each applicant to include the following information for each year of the project:

### **1. Personnel**

- Provide the title and duties of each position to be compensated under this project.
- Provide the salary for each position under this project.
- Provide the amounts of time, such as hours or percentage of time to be expended by each position under this project.
- Explain the importance of each position to the success of the project.
- Provide the basis for cost estimates or computations.

### **2. Fringe Benefits**

- Give the fringe benefit percentages of all personnel included under Personnel.
- Provide the rate and base on which fringe benefits are calculated.

### **3. Travel**

- Explain the purpose of the travel, how it relates to project success, how it aligns with the project goals and objectives and which program participants or staff will participate.
- Submit an estimate for the number of trips, points of origin and destination, and purpose of travel.
- Submit an itemized estimate of transportation and/or subsistence costs for each trip.
- Provide the basis for cost estimates or computations.

### **4. Equipment**

- Indicate the estimated unit cost for each item to be purchased.
- Identify each type of equipment.
- Provide adequate justification of the need for items of equipment to be purchased.
- Explain the purpose of the equipment, and how it relates to project success.
- Provide the basis for cost estimates or computations.

### **5. Supplies**

- Provide an itemized estimate of materials and supplies by nature of expense or general category (e.g., instructional materials, office supplies, etc.).
- Explain the purpose of the supplies and how they relate to project success.
- Provide the basis for cost estimates or computations.

### **6. Contractual**

- Provide the purpose and relation to project success.
- Describe the products to be acquired, and/or the professional services to be provided.
- Provide a brief justification for the use of the contractors selected.
- Identify the name(s) of the contracting party, including consultants, if available.
- Provide the cost per contractor.
- Provide the amount of time that the project will be working with the contractor(s).
- For professional services contracts, provide the amounts of time to be devoted to the project, including the costs to be charged to this proposed grant award.
- Provide a brief statement that you have followed the procedures for procurement under 34 CFR Parts 74.40 - 74.48 and Part 80.36.
- Provide the basis for cost estimates or computations.

**7. Construction**

- Not applicable.

**8. Other**

- List and identify items by major type or category (e.g., communications, printing, postage, equipment rental, etc.).
- Provide the cost per item (printing = \$500, postage = \$750).
- Provide the purpose for the expenditures and relation to project success.
- Provide the basis for cost estimates or computations.

**9. Total Direct Costs**

- The amount that is the sum of expenditures, per budget category, of lines 1-8.

**10. Indirect Costs**

- Identify indirect cost rate (if the applicant will charge indirect costs to the grant)
- *Note:* remember to provide a copy of the most recent approved indirect cost agreement in the Other Attachments form section of the application.

**11. Training Stipends**

- Not applicable.

**12. Total Costs**

- Sum total of direct costs, indirect costs, and stipends.
- Please provide total costs for each year of the project as well as grand total cost for the entire project period (up to 60 months)

### ***Important Information Regarding Indirect Cost Rates***

The Department of Education (ED) reimburses grantees for its portion of indirect costs that a grantee incurs in projects funded by the (Smaller Learning Communities Program, 84.215L). Any grantee charging indirect costs to a grant from this program must use the indirect cost rate (ICR), negotiated with its *cognizant agency*, i.e., either the Federal agency from which it has received the most direct funding, subject to indirect cost support, the particular agency specifically assigned cognizance by the Office of Management and Budget or the State agency that provides the most subgrant funds to the grantee.

**Note:** Applicants should pay special attention to specific questions on the application budget form (ED 524) about their cognizant agency and the ICR they are using in their budget.



### **Part 6: Other Attachments Form**

*Attach one or more documents to the Other Attachments Form in accordance with the instructions found on Grants.gov. You may provide all of the required information in a single document, or in multiple documents.*

*You must attach any narrative sections of your application as files in a **.DOC** (document), **.RTF** (rich text), or **.PDF** (Portable Document) format. If you upload a file type other than the three file types specified in this paragraph or submit a password-protected file, we will not review that material.*

- Competitive Preference Priority:** In order to receive the additional points under the competitive preference priority, an applicant must: (1) identify the school or schools included in the application that receive Title I funds and that have been identified for improvement, corrective action, or restructuring under the Elementary and Secondary Education Act of 1965, as amended by the No Child Left Behind Act of 2001; and (2) provide evidence to substantiate that the school or schools have been identified for improvement, corrective action, or restructuring (e.g., a copy of a letter or other communication from a State Educational Agency. A general statement of an applicant’s qualification for the competitive preference priority is **not** sufficient to meet this requirement.
- Student Placement:** A description of how students will be selected or placed in an SLC and an assurance that students will not be placed according to ability or any other measure, but will be placed at random or by student/parent choice and not pursuant to testing or other judgments.
- Individual Resumes for Project Directors and Key Personnel:** Provide brief resumes or job descriptions that describe their qualifications for the responsibilities they will carry out under the project.
- Performance Indicators:** Baseline data and annual performance objectives for each year of the project for each of the following:
  - The percentage of students who score at the proficient and advanced levels on the reading/language arts and mathematics assessments used by the State to determine whether a school has made adequate yearly progress under part A of title I of the ESEA, as well as these percentages disaggregated by subject matter and the following subgroups:
    - Major racial and ethnic groups.
    - Students with disabilities.
    - Students with limited English proficiency.
    - Economically disadvantaged students.
  - The school's graduation rate, as defined in the State's approved accountability plan for part A of title I of the ESEA.

- The percentage of graduates who enroll in postsecondary education, advanced training, or a registered apprenticeship program in the semester following graduation.

**School Report Cards:** Applicants must provide, for each school included in the application, the most recent “report card” produced by the State or the LEA to inform the public about the characteristics of the school and its students, including information about student academic achievement and other student outcomes. These “report cards” must include, at a minimum, the following information that LEAs are required to report for each school under section 1111(h)(2)(B)(ii) of the ESEA:

1. Whether the school has been identified for school improvement; and
2. Information that shows how the academic assessments and other indicators of adequate yearly progress compare to those indicators for students in the LEA as a whole and also shows the performance of the school's students on statewide assessments.

**Copy of Indirect Cost Rate Agreement:** If an applicant decides to charge indirect costs to this program and there is an indirect cost rate in place, the applicant shall provide a copy of the most recent **approved** Indirect Cost Agreement in the Other Attachments form section of the application.

**NOTE:** We recommend strongly that you limit to no more than 20 pages any attachments or appendices that are not resumes; school report cards; the indirect cost agreement; or letters of support.

***Part 7: Assurances and Certifications***

Be certain to complete all required assurances and certifications in Grants.gov, and include all required information in the appropriate place on each form. The assurances and certifications required for this application are:

- Assurances – Non-Construction Programs (SF 424B Form)
- Disclosure of Lobbying Activities (SF LLL Form)
- Grants.gov Lobbying Form
- General Education Provisions Act (GEPA) Requirements – Section 427

## Instructions for Completion of SF-LLL, Disclosure of Lobbying Form

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

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.  
  
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

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

## **Instructions for Meeting the General Education Provisions Act (GEPA) Section 427 Requirements**

All applicants **must** include information in their applications to address this provision in order to receive funding under this program.

Section 427 **requires** each applicant 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 section allows applicants discretion in developing the required description. The statute highlights six barriers that can impede equitable access or participation that you may address: *gender, race, national origin, color, disability, or age*.

A general statement of an applicant's nondiscriminatory hiring policy is **not** sufficient to meet this requirement. Applicants must identify potential barriers and explain steps they will take to overcome these barriers.

**Applicants are required to address this provision by attaching a statement (not to exceed three pages) to the *ED GEPA427 form* that is included in the electronic application package in Grants.gov.**

**Part 8: Intergovernmental Review (SPOC List)**

It is estimated that in 2008 the Federal Government will outlay \$449 billion in grants to State and local governments. [Executive Order 12372](#), "Intergovernmental Review of Federal Programs," was issued with the desire to foster the intergovernmental partnership and strengthen federalism by relying on State and local processes for the coordination and review of proposed Federal financial assistance and direct Federal development. The Order allows each State to designate an entity to perform this function.

**This program is subject to the requirements of Executive Order 12372 (Intergovernmental Review of Federal Programs) and the regulations in 34 CFR part 79.**

Applicants must contact the appropriate State single point of contact to find out about, and to comply with, the State's process under Executive Order 12372. Applicants proposing to perform activities in more than one State should immediately contact the single point of contact for each of those States and follow the procedures established in each State under the Executive order.

In keeping with the Executive Order, the Office of Management and Budget has established and maintains a list of the States participating in the program. The list below provides the names, addresses, telephone and fax numbers of designated State single points of contact and can be electronically accessed at: <http://www.whitehouse.gov/omb/grants/spoc.html>

Any State process recommendation and other comments submitted by a State single point of contact and any comments from State, area-wide, regional, and local entities must be mailed or hand-delivered by the date indicated in this notice to the following address:

The Secretary  
**EO 12372**  
U.S. Department of Education  
Room 7E200  
400 Maryland Avenue SW  
Washington, DC 20202

Proof of mailing will be determined on the same basis as applications (see 34 CFR § 75.102). Recommendations or comments may be hand-delivered until 4:30 p.m. (eastern time) on the closing date indicated in this notice.

**Important note:** The above address is not the same address as the one to which the applicant submits its completed applications. **Do not send applications to the above address.**

States that are not listed on the following pages have chosen not to participate in the intergovernmental review process, and therefore do not have a SPOC. If you are located within a State that does not have a SPOC, you may send application materials directly to the Department as described in the Federal Register notice announcing the grant competition.

<p><b><u>ARKANSAS</u></b>  Tracy L. Copeland  Manager, State Clearinghouse  Office of Intergovernmental Services  Department of Finance and  Administration  1515 W. 7th St., Room 412  Little Rock, Arkansas 72203  Telephone: (501) 682-1074  Fax: (501) 682-5206  <a href="mailto:tracy.copeland@dfa.state.ar.us">tracy.copeland@dfa.state.ar.us</a></p>	<p><b><u>CALIFORNIA</u></b>  Grants Coordination  State Clearinghouse  Office of Planning and Research  P.O. Box 3044, Room 222  Sacramento, California 95812-3044  Telephone: (916) 445-0613  Fax: (916) 323-3018  <a href="mailto:state.clearinghouse@opr.ca.gov">state.clearinghouse@opr.ca.gov</a></p>
<p><b><u>DELAWARE</u></b>  Jennifer L. Carlson  Associate Fiscal and Policy Analyst  Office of Management and Budget  Budget Development, Planning &amp;  Administration  Haslet Armory, Third Floor  122 William Penn Street  Dover, Delaware 19901  Telephone: (302) 739-4206  Fax: (302) 739-5661  <a href="mailto:jennifer.carlson@state.de.us">jennifer.carlson@state.de.us</a></p>	<p><b><u>DISTRICT OF COLUMBIA</u></b>  Donna Bexley  DC Government Office of Partnerships  and Grants Development  441 4th Street, NW  Washington, DC 20001  Telephone: (202) 727-6437  Fax: (202) 727-1652  <a href="mailto:Donna.bexley@dc.gov">Donna.bexley@dc.gov</a></p>
<p><b><u>FLORIDA</u></b>  Lauren P. Milligan  Florida State Clearinghouse  Florida Dept. of Environmental  Protection  3900 Commonwealth Blvd.  Mail Station 47  Tallahassee, Florida 32399-3000  Telephone: (850) 245-2161  Fax: (850) 245-2190  <a href="mailto:Lauren.Milligan@dep.state.fl.us">Lauren.Milligan@dep.state.fl.us</a></p>	<p><b><u>GEORGIA</u></b>  Barbara Jackson  Georgia State Clearinghouse  270 Washington Street, SW, 8th Floor  Atlanta, Georgia 30334  Telephone: (404) 656-3855  Fax: (404) 656-7916  <a href="mailto:gach@opb.state.ga.us">gach@opb.state.ga.us</a></p>
<p><b><u>IOWA</u></b>  Kathy Mabie  Iowa Department of Management  State Capitol Building Room G12  1007 E Grand Avenue  Des Moines, Iowa 50319  Telephone: (515) 281-8834  Fax: (515) 242-5897  <a href="mailto:Kathy.Mabie@iowa.gov">Kathy.Mabie@iowa.gov</a></p>	<p><b><u>KENTUCKY</u></b>  Lee Nalley  The Governor's Office for Local  Development  1024 Capital Center Drive, Suite 340  Frankfort, Kentucky 40601  Telephone: (502) 573-2382 Ext. 274  Fax: (502) 573-1519  <a href="mailto:Lee.Nalley@ky.gov">Lee.Nalley@ky.gov</a></p>

<p><b>MAINE</b>  Joyce Benson  State Planning Office  184 State Street  38 State House Station  Augusta, Maine 04333  Telephone: (207) 287-3261  (Direct) (207) 287-1461  Fax: (207) 287-6489  <a href="mailto:Joyce.benson@maine.gov">Joyce.benson@maine.gov</a></p>	<p><b>MARYLAND</b>  Linda C. Janey, J.D.  Director, Maryland State Clearinghouse  For Intergovernmental Assistance  301 West Preston Street, Room 1104  Baltimore, Maryland 21201-2305  Telephone: (410) 767-4490  Fax: (410) 767-4480  <a href="mailto:ljaney@mdp.state.md.us">ljaney@mdp.state.md.us</a></p>
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Changes to this list can be made only after OMB is notified by a State's officially designated representative. E-mail messages can be sent to [Hai M. Tran@omb.eop.gov](mailto:Hai.M.Tran@omb.eop.gov). If you prefer, you may send correspondence to the following postal address:

Attn: Grants Management  
Office of Management and Budget  
New Executive Office Building, Suite 6025  
725 17th Street, NW  
Washington, DC 20503

**Please note:** Inquiries about obtaining a Federal grant should not be sent to the OMB e-mail or postal address shown above. The best source for this information is the *Catalog of Federal Domestic Assistance* or CFDA (<http://www.cfda.gov>) and the Grants.gov website (<http://www.grants.gov>).

## Reporting and Accountability

Successful applicants with multi-year grants must submit an **annual performance report** demonstrating their progress in meeting approved project objectives. Grantees must also provide the most current financial and performance measure data for each year of the project.

At the end of the project period, applicants will also be required to submit a **final performance report**.

Under the Government Performance and Results Act (GPRA), the following performance indicators have been established to evaluate the overall effectiveness of the Smaller Learning Communities Program:

- The percentage of students who score at the proficient and advanced levels on the reading/language arts and mathematics assessments used by the State to determine whether a school has made adequate yearly progress under part A of title I of the ESEA, as well as these percentages disaggregated by subject matter and the following subgroups:
  - Major racial and ethnic groups.
  - Students with disabilities.
  - Students with limited English proficiency.
  - Economically disadvantaged students.
  
- The school's graduation rate, as defined in the State's approved accountability plan for part A of title I of the ESEA.
  
- The percentage of graduates who enroll in postsecondary education, advanced training, or registered apprenticeship programs in the semester following graduation.