U.S. Department of Education
Office of Elementary and Secondary Education
Academic Improvement and Teacher Quality Programs
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Fiscal Year 2010

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**,** Smaller Learning Communities program, U.S. Department of Education, 400 Maryland Avenue, SW, Room 3W236, Washington D.C. 20202-6200.

Table of Contents

United States Department of Education
OFFICE OF ELEMENTARY AND SECONDARY EDUCATIONACADEMIC IMPROVEMENT AND TEACHER QUALITY PROGRAMS

ar 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 (Department). This information is for applicants seeking funding in Fiscal Year 2010 under the SLC program, which 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.   The SLC program awards discretionary grants to local educational agencies (LEAs) to support the implementation of smaller learning communities 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 priorities. [FINAL TEXT WILL BE REVISED WHEN NOTICE OF FINAL PRIORITIES IS COMPLETED] Additional information can be found within the application package.

For this competition it is **mandatory** for applicants to use the Department's Electronic Grant Application System (e-Application), accessible through the Department's e-Grants portal page at: http://e-grants.ed.gov. We strongly encourage you to familiarize yourself with e-Application and strongly recommend that you register *and* submit your application early.

Using FY 2010 funds, the Department expects to award $46,081,029 for new grants under this competition. We will award grants on a competitive basis for a project period of up to 60 months. Grants are expected to be awarded inSeptember.

Please visit our program Web site at 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 by telephone at (202) 205-1909 or via e-mail at 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 five large public high schools, are eligible to apply for a grant.   A "large public high school" is a public school that includes grades 11 and 12 and that, during the current school year or the most recently completed school year, has an enrollment of 1,000 or more students in grades 9 and above.   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.

An LEA may 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.

What evidence must an applicant provide to demonstrate that each school included in the application is a "large public high school?"

Along with its application, each applicant must provide, for each school included in its application:

- The school's name, postal mailing address, and the 12-digit identification number assigned the school by the National Center for Education Statistics; and

- Evidence that, during the current school year or the most recently completed school year, the school is a large public high school (i.e., a school that includes grades 11 and 12 and enrolls at least 1,000 students in grades 9 and above). This evidence must include a copy of either:

    ➤ The form or report that the LEA submits to the SEA to report the school's student enrollment (or student membership, as it is sometimes described) on or around October 1 of each year; or
    ➤ A document provided by the SEA that identifies the school's enrollment on or around October 1 of each year.

How many high schools may be included in an application?

An individual LEA or consortium of multiple LEAs may not request funding for more than five eligible high schools.

Our district has seven eligible high schools. May we submit one application on behalf of five high schools, and a second application on behalf of the other two 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 or most recently completed 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.

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, 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. However, during the current or most recently completed school year, 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.

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

Yes. However, 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, 2010).   High schools that are included in an active SLC implementation grant are not eligible to receive funds under this competition. This includes high schools included in grants awarded in 2006, 2007 and 2008.

Grant Award Amounts and Duration

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

 For a 60-month grant period, an eligible LEA may receive, on behalf of a single school, up to $2,500,000 of SLC grant funds, depending upon student enrollment in the school. An LEA may include up to five schools in a single application for a SLC grant. Therefore, an LEA applying on behalf of a group of eligible schools would be able to receive up to $12,500,000 for its SLC grant. LEAs must stay within the maximum school allocations when determining their group award request.

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

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

In its application, each applicant must provide detailed, yearly budget information for the total grant period requested.

Applications requesting 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 has the option of reviewing applications that requested funds exceeding the maximum amounts specified. Under this requirement, if the Secretary chooses to fund any of the additional applications, selected 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 $2.5 million over 60 months.   Are we required to apply for the full $2.5 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.

Uses of Funds

Can grant funds be used to purchase equipment?

Yes, grant funds may be used for equipment. However, a grantee may not use more than one percent of the total grant award for the acquisition of equipment. The purpose of this limitation on the use of grant for the purchase or use of equipment is to focus grant funds on the personnel, technical assistance, professional development and other costs related to implementing significant structural and instructional reforms that will improve student academic achievement and preparation for postsecondary education.

What is the definition of equipment?

Equipment means an article of nonexpendable, tangible personal property that has a useful life of more than one year and that has an acquisition cost which equals or exceeds the lesser of the capitalization level established by the governmental unit for financial statement purposes, or $500. It includes, but is not limited to, office equipment and furnishings, modular offices, telephone networks, information technology equipment and systems, air conditioning equipment, reproduction and printing equipment, and motor vehicles.

Please note that the SLC program's acquisition cost threshold of $500 (or the capitalization level established by the governmental unit for financial statement purposes, whichever is less) is less than the threshold established in Office of Management and Budget Circular A-87, Cost Principles for State, Local, and Indian Tribal Governments.

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 these be held? Where will they 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

May we charge indirect costs to the grant?

Yes, indirect costs may be charged to the grant. However, if an applicant seeks to charge indirect costs it must include a copy of its approved indirect cost agreement with its application.

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.

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.

Personnel Requirements

Who is the project director?

The project director is the individual designated by the grantee to oversee the implementation of the SLC grant and to communicate with the Department on all matters related to the grant. Each grantee should ensure that the designated individual has sufficient authority to carry out these responsibilities.

What are the responsibilities of the project director of the grant?

The responsibilities of a project director for an SLC grant include coordinating grant activities to ensure that they are carried out on time and within budget, overseeing the fiscal management of the project, and fulfilling performance reporting and other requirements established by the Department.

Are there requirements concerning the amount of time the project director must commit to overseeing the grant?

Yes. The SLC program has established a minimum time commitment for this position to ensure that the project director has sufficient time to carry out his or her responsibilities. For a grant that includes only one school, a grantee must designate a project director whose time commitment is not less than 50 percent of a full-time equivalent (FTE) position. For a grant that includes more than one school, a grantee must designate a project director whose time commitment is not less than one FTE.

Why does the SLC program require these minimum time commitments?

In our experience, many of the grants in which the time commitment of the project director was less than the minimum we have established have experienced significant implementation delays. In some cases, these grant recipients were unable to implement key elements of their approved applications.

Can grant funds be used to pay the salary, benefits, and other expenses of the project director?

Yes, grant funds may be used for those purposes.

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.

Student placement

According to the <u>Federal Register</u> 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 instruction to students within the academy or other structure on the basis of their academic needs.

Performance Reporting

What performance indicators apply to this program?

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, as well as the graduation rates for the following subgroups:

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

3. The percentage of all graduates who enroll in postsecondary education in the semester following high school graduation, as well as the percentage disaggregated by the following subgroups:

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

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

What information must an applicant include in its application concerning these performance indicators?

Each applicant must identify in its application:

• Performance objectives for each of performance indicators 1, 2, and 3 for each year of the project period;

• Baseline data for performance indicator 3 (placement in postsecondary education); and

- A description of other appropriate performance indicators it proposes to use to evaluate the progress of the project and performance objectives for these indicators for each year of the project period.

Why don't we need to provide baseline data for performance indicators 1 and 2?

The Department will obtain baseline data for performance indicators 1 and 2 (student performance on reading/language arts and mathematics assessments and the graduation rate) from the data that are now reported to the Department by State educational agencies (SEAs) using the EDEN Submission System (ESS). An applicant does not need to provide these data in its application. Because data on postsecondary enrollment are not available through the ESS, each applicant must provide baseline data for performance indicator 3 in its application.

Will we be required to report annually on all of these performance indicators?

No. Grantees will not be required to report data for performance indicators 1 and 2 (student performance on reading/language arts and mathematics assessments and the graduation rate). Instead, the Department will obtain these data from the ESS.

However, grantees must still report annually on performance indicator 3 (placement in postsecondary education) and any additional performance indicators they established in their applications.

Are there any requirements concerning how we must collect data for performance indicator 3 (placement in postsecondary education)?

Yes. The SLC program requires grantees to use administrative records maintained by State, national, or regional entities that already collect data on student enrollment in postsecondary education as the principal source of data for this performance indicator. These administrative records include, for example, data available through State longitudinal databases, the National Student Clearinghouse or other sources. Grantees may supplement these records with data collected through surveys administered to students or parents after graduation. Grant funds may be used to collect these data.

Grant Award Date and Notification

When will the grant awards be made?

We expect to make the awards in September 2010.

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 Representatives in the House. 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 e-mail 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.

Continuation Awards

Grantees will be awarded implementation grants for a period up to 60 months, with the initial award to provide funding for the first 24 months of the performance period. Funding for the remainder of the performance period will be made annually, 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.

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

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

Deadlines

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

We ask prospective applicants to inform us by e-mail if they intend to apply by [TBD]. Submitting a notice of intent to apply is <u>optional</u>. 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 e-mail your notice of intent to apply to <u>smallerlearningcommunities@ed.gov</u>. 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?

[TBD]

Priorities

What priorities apply to this program?

There are three priorities under the FY 2010 competition.

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 (such as dual enrollment or early college programs).

Common Planning Time for Teachers.
This proposed priority supports projects that increase the amount of time regularly provided to teachers for common planning and collaboration during or immediately following the school day without decreasing the amount of time provided to teachers for individual planning and preparation. This common planning time shall be used for one or more of the following activities: (1) the structured examination of student work and outcome data; (2) classroom observation, collaborative professional development, and coaching; (3) identifying instructional and other interventions for struggling students; or (4) curriculum and assessment development.

Persistently Lowest-Achieving Schools.
This proposed priority supports projects that include one or more schools that have been identified by an SEA as a "persistently lowest-achieving school."

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 and Performance Objectives*
  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, as well as the graduation rates for the following subgroups:

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

  3. The percentage of all graduates who enroll in postsecondary education in the semester following high school graduation, as well as the percentage disaggregated by the following subgroups:

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

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

  Each applicant must identify in its application:

➢ Performance objectives for each of performance indicators 1, 2, and 3 for each year of the project period;

➢ Baseline data for performance indicator 3 (placement in postsecondary education); and

➢ A description of other appropriate performance indicators it proposes to use to evaluate the progress of the project and performance objectives for these indicators for each year of the project period.

- *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.

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; required Department 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, 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.

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.

(a) 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 professional development in implementing structural and instructional reforms and providing effective instruction; and

(4) The applicant demonstrates that the proposed project is aligned with and advances a coordinated, district-wide strategy to improve student academic achievement and preparation for postsecondary education and careers without need for remediation.

(b) 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 multiple 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 to "catch up" and attain, maintain and exceed proficiency by providing supplemental instruction and supports to these students during the ninth grade and, to the extent necessary, in later grades;

(4) Increasing the amount of time regularly provided to teachers for common planning and collaboration during or immediately following the school day, without decreasing the amount of time provided to teachers for individual planning and preparation;

(5) Ensuring, through technical assistance, professional development, and other means, that teachers use opportunities for common planning and collaboration effectively to improve instruction and student academic achievement;

(6) Increasing the participation of students, particularly low-income students, in Advanced Placement, International Baccalaureate, or dual-credit courses (such as dual enrollment or early college programs) that offer students the opportunity to earn simultaneously both high school and college credit; and

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

(c) 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; and

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

(d) Need for the Project. In determining the need for the proposed project, we will consider the extent to which the applicant has identified specific gaps and weaknesses in the preparation of all students for postsecondary education and careers without need for remediation, the nature and magnitude of those gaps and weaknesses, and the extent to which the proposed project will address those gaps and weaknesses effectively.

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); the notice of final priority, requirements, and selection criteria published in the May 18, 2007 issue of the Federal Register; and [will insert reference to notice of final priorities, requirements, and selection criteria to be published 2010].

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

Technical Assistance Workshops for Prospective Applicants

We will hold [TBD] technical assistance webinars 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 priorities, selection criteria, program requirements, the submission of applications through e-Grants, and other information.   Materials presented through the webinars also will be posted on our Web site at
http://www.ed.gov/programs/slcp/applicant.html

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Technical Assistance Webinars

XXX XX, 2010, X:XX – X:XX pm (EST)

XXX XX, 2010, X:XX – X:XX pm (EST)

If you want to participate in the webinar, you **must** register in advance. Please register by e-mailing your name, telephone number, and e-mail address to: [TDB]. We will e-mail you information about how to access the webinar.

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Application Submission Procedures

The deadline for submission of Smaller Learning Communities Program applications through e-Application is [TBD]   .

Application Transmittal Instructions

<u>Attention Electronic Applicants:</u>   This program **requires** the electronic submission of applications--specific requirements and instructions can be found in the <u>Federal Register</u> notice. Please note that you **must** follow the Application Procedures as described in the <u>Federal Register</u> notice announcing the grant competition.

We will reject your application if you submit it in paper format unless, as described in the <u>Federal Register</u> notice for this competition, 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.

<u>Applications Submitted Electronically</u>
Applications for grants under this program must be submitted electronically using the Electronic Grant Application System (e-Application) accessible through the Department's e-Grants site at <u>http://e-grants.ed.gov</u>.

While completing your electronic application, you will be entering data online that will be saved into a database. You may **not** e-mail an electronic copy of a grant application to us.

You should review and follow the *e-Application Submission Procedures and Tips for Applicants* in this application package to ensure that you submit your application in a timely manner to the e-Application system.

Please note the following:
- You must complete the electronic submission of your grant application by 4:30:00 p.m., Washington, DC time, on the application deadline date. The e-Application system will not accept an application for this competition after 4:30:00 p.m., Washington, DC time, on the application deadline date. Therefore, we strongly recommend that you do not wait until the application deadline date to begin the application process.
- If you are experiencing problems submitting your application through e-Application, please contact the e-Grants help desk, toll free, at 1-888-336-8930.
- The hours of operation of the e-Grants Web site are 6:00 a.m. Monday until 7:00 p.m. Wednesday; and 6:00 a.m. Thursday until 8:00 p.m. Sunday, Washington, DC time. Please note that, because of maintenance, the system is unavailable between 8:00 p.m. on Sundays and 6:00 a.m. on Mondays, and between 7:00 p.m. on Wednesdays and 6:00 a.m. on Thursdays, Washington, DC time. Any modifications to these hours are posted on the e-Grants Web site.
- 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: the 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.
- Ensure that you only attach the Education approved file types detailed in the Federal Register application notice (.doc, .pdf or .rtf). If using Word 2007, save your file to an earlier version of Word before uploading. Also, do not upload any password-protected files to your application.
- Your electronic application must comply with any page limit requirements described in the *Federal Register* notice.
- Prior to submitting your electronic application, you may wish to print a copy of it for your records.
- After you electronically submit your application, you will receive an automatic acknowledgment that will include a PR/Award number (an identifying number unique to your application).
- Within three working days after submitting your electronic application, fax a signed copy of the SF 424 to the Application Control Center after following these steps:
  1) Print SF 424 from e-Application.
  2) The applicant's Authorizing Representative must sign this form.
  3) Place the PR/Award number in the upper right hand corner of the hard-copy signature page of the SF 424.
  4) Fax the signed SF 424 to the Application Control Center at (202) 245-6272.
- We may request that you provide us original signatures on other forms at a later date.

Application Deadline Date Extension in Case of e-Application System Unavailability
If you are prevented from electronically submitting your application on the application deadline date because the e-Application system is unavailable, we will grant you an extension of one business day in order to transmit your application electronically, by mail, or by hand delivery. We will grant this extension if—
  1) You are a registered user of e-Application and you have initiated an electronic application for this competition; and
  2) (a) The e-Application system is unavailable for 60 minutes or more between the hours of 8:30 a.m. and 3:30 p.m., Washington, DC time, on the application deadline date; or (b) The e-Application system is unavailable for any period of time between 3:30 p.m. and 4:30 p.m., Washington, DC time, on the application deadline date.

We must acknowledge and confirm these periods of unavailability before granting you an extension. To request this extension or to confirm our acknowledgement of any system unavailability, you may contact either (1) the person listed in the Federal Register notice under For Further Information Contact (see VII. Agency Contact) or (2) the e-Grants help desk at 1-888-336-8930. If the system is down and therefore the application deadline is extended, an e-mail will be sent to all registered users who have initiated an e-Application. Extensions referred to in this section apply only to the unavailability of the Department's e-Application system.

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

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 following address:

U.S. Department of Education
Application Control Center
Attention: (CFDA Number 84.215L)
LBJ Basement Level 1
400 Maryland Avenue, SW.
Washington, DC 20202-4260

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.

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.
Washington, DC 20202-4260

The Application Control Center accepts hand deliveries daily between 8:00 a.m. and 4:30:00 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.

e-Application Submission Procedures and Tips for Applicants
http://e-grants.ed.gov

To facilitate your use of e-Application, this document includes important application preparation and 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. Please read and follow these step-by-step directions to create and submit your application.

ATTENTION
Applicants using the Department of Education's e-Application system will need to register first to access an application package. Forms in an application package are completed on line and narratives are uploaded while logged into the system. Therefore, allow sufficient time to complete your application before the closing date. If you have not used e-Application in the past, you may want to walk through the Demo available on the e-Application homepage. If you encounter difficulties, you may also contact the e-Grants help desk on 1-888-336-8930. The following are steps you should follow to successfully complete an application with e-Application.

        Step 1 – Electronic submission is **required** for this competition. **Familiarize** yourself with the application requirements published in the Federal Register Notice. A copy of the Federal Register Notice is included in this application package. In addition, you may view the Department's Federal Register notices online at:
http://www.ed.gov/news/fedregister/announce/index.html.

        Step 2 – **Register in e-Application** to access the application package. If you are a new user, you will need to register to use e-Application. From the e-Grants Portal Page http://e-grants.ed.gov/, click on the continue button and click the register button on the right side of the next page. Select the e-Application module and click the next button. Please provide the requested information. Your e-Grants password will be sent to the e-mail address you provide. Once you receive the e-mail, enter your username and password and click the login button.

If you already have a username and password for e-Grants, use them to login. If you have access to more than one e-Grants module, you will be directed to select which module you wish to enter. Keep in mind that this username and password will be used for all e-Grants modules. In order to update your registration for additional e-Grants modules, click the appropriate tab on the top of the screen and provide the requested information.

Note the following browser compatibility problems. The site is viewed best in Internet Explorer 5. We currently support IE 5, Netscape 6.2, Firefox 2.2 (along with later versions of IE, Netscape and Firefox). Please make sure that you have **Cookies** and **JavaScript** enabled in your browser.

Step 3 - **Add Application Package to your Start Page**. From your Start Page, click on the "Add" button to see the list of application packages. Click on a specific package link on the List of Application Packages to apply. The package will now appear on your Start Page. From this point forward, you will access your unique application from your Start Page (not the Packages Page).

Step 4 - **Begin the Application**. Click on the underlined Application Package Title on your Start Page. This brings you to a page where you will see all of the application's forms and narratives listed as underlined links.

Step 5 - **Fill out Forms**. Enter a form by clicking on the underlined form title in order to enter data. Remember to click the "Save" button at the bottom of the form and check the "Form Completed" box for each form as you complete it.

Step 6 - **Upload File(s) for Narrative Responses**. Click on an underlined narrative form title for the e-Application. Enter the title of the document, and click on the "Browse" button to locate your file. Remember to click the "Save" button after you upload the document and check the "Form Completed" box when you finish uploading your file(s). Please note for file uploads, we accept .doc, .rtf, and .pdf files only. If you are using Word 2007, please save your document in a lower version of Word before uploading into e-Application.

Step 7 - **Verify Information/Print Application**. Verify your information is complete and correct on all required forms and narratives. You have the option to print each form at any time by clicking on the print/view icon next to the appropriate form. After submission of the forms and narratives, you have the option to print a complete e-Application package in PDF by clicking on the "Request Complete Package in PDF" on the e-Application PR/Award page. A second window will open informing you that your request has been received and that you will be notified via e-mail once it is available. This process can take anywhere from a few minutes to a few hours. Once you receive the e-mail, click on the link in the text of the message and enter your username and password in the new window. This will open the PDF file from which you can view/print the entire package. In addition, a blank complete package in PDF will be accessible from the package page in e-Application.

Step 8 - **Submit your Application**. Only authorized individuals for your organization can submit an application. Please check with your Authorizing Representative or sponsored research office before submission. Click on the "Ready to submit" button at the bottom of your application. Enter and verify the Authorizing Representative information. Click the "Submit" button. You will receive an e-mail to confirm that your application was received, and it will include a unique application number. Please print and keep this e-mail for your records. [Reminder: applications must be submitted before 4:30:00 p.m., Washington, DC time, on the deadline date for applications. e-Application will not accept your application if you try to submit it after 4:30:00 on the deadline date.]

Step 9 - **Fax the signed SF 424 Cover Page**. Write your unique application number (received in step 8) on the upper right corner of your printed SF 424 Cover Page and fax it to the Application Control Center (202) 245-6272 within 3 business days of submitting your e-Application.

NOTE: For more detailed information on submitting an e-Application, please see the **User Guide**. In addition, please try practicing with our e-Application Demo site by clicking on the Demo button found on the upper left corner of the e-Application Home Page. Both the User Guide and Demo can be found at http://e-grants.ed.gov.

Other Submission Tips

1) **SUBMIT EARLY** - **We strongly recommend that you do not wait until the last day to submit your application.**   The time it takes to upload the narratives for your application will vary depending on a number of factors including the size of the files and the speed of your Internet connection. If you try to submit your application after 4:30:00 p.m., Washington, DC time on the deadline date, the e-Application system will not accept it.

2) Electronic submission is required and you must submit an electronic application before 4:30:00 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.)

3) 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.)

Attaching Files – Additional Tips

Please note the following tips related to attaching files to your application:

1. Ensure that you only attach the Education approved file types detailed in the Federal Register application notice (.doc, .pdf or .rtf). If using Word 2007, save your file to an earlier version of Word before uploading. Also, do not upload any password-protected files to your application.

2. When attaching files, applicants should limit the size of their file names. Lengthy file names could result in difficulties with opening and processing your application. We

recommend you keep your file names to less than 50 characters. In addition, applicants should avoid including special characters in their file names (for example, %, *, /, etc.) Both of these conditions (lengthy file names and/or special characters including in the file names) could result in difficulties opening and processing a submitted application.

3. Applicants should limit the size of their file attachments. Documents submitted that contain graphics and/or scanned material often greatly increase the size of the file attachments and can result in difficulties opening the files. Please note that each file attachment in e-Application has a file size limitation, which is anywhere from 2 to 8 MB, and the limitation will be indicated on the individual screen when you upload a file. For reference, however, the average discretionary grant application package totals 1 to 2 MB. Therefore, you may want to check the size of your attachments before uploading them into e-Application.

Electronic Application Format

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.

It is recommended that your electronic application be organized in the following manner (see next page) and include the following parts in order to expedite the review process. 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 http://e-grants.ed.gov.

We strongly recommend that you review these details on http://e-grants.ed.gov before completing and submitting your application. In addition, applicants should submit their application a day or two in advance of the closing date as detailed below.

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.

Electronic Application Submission Checklist

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 Forms
❑ Resumes for Project Directors & Key Personnel
❑ Student Placement
❑ Performance Indicators
❑ 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)
❑ Certification Regarding Lobbying (ED 80-0013 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)

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).

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.

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 Forms

❑ Resumes for Project Directors & Key Personnel
❑ Student Placement
❑ Performance Indicators
❑ Copy of Indirect Cost Rate Agreement (if applicable)

Part 7: Assurances and Certifications

Be certain to complete all required assurances and certifications in http://e-grants.ed.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)
- ❑ Certification Regarding Lobbying (ED 80-0013 Form)
- ❑ General Education Provisions Act (GEPA) Requirements – Section 427
- ❑ Survey on Ensuring Equal Opportunity for Applicants (form 1890-0014)

Part 8: Intergovernmental Review of Federal Programs (Executive Order 12372)

This program falls under the rubric of Executive Order 12372 (Intergovernmental Review of Federal Programs) and the regulations in 34 CFR Part 79. One of the objectives of the Executive order is to strengthen federalism--or the distribution of responsibility between localities, States, and the Federal government--by fostering intergovernmental partnerships. This idea includes supporting processes that State or local governments have devised for coordinating and reviewing proposed Federal financial grant applications.

The process for doing this requires grant applicants to contact State Single Points of Contact for information on how this works. Multi-state applicants should follow procedures specific to each state.

Further information about the State Single Point of Contact (SPOC) process and a list of names by State can be found at:

http://www.whitehouse.gov/omb/grants/spoc.pdf

Absent specific State review programs, applicants may submit comments directly to the Department. All recommendations and comments must be mailed or hand-delivered by the date indicated in the actual application notice to the following address: The Secretary, EO 12372--CFDA# [commenter must insert number--including suffix letter, if any], 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.***

Not all states have chosen to participate in the intergovernmental review process, and therefore do not have a SPOC. If you are located in a State that does not have a SPOC, you may send application materials directly to the Department as described in the *Federal Register* notice.

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:

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, as well as the graduation rates for the following subgroups:

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

3. The percentage of all graduates who enroll in postsecondary education in the semester following high school graduation, as well as the percentage disaggregated by the following subgroups:

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

    For specific requirements on grantee reporting, please go to the ED Performance Report Form 524B at http://www.ed.gov/fund/grant/apply/appforms/appforms.html.

Legal and Regulatory Information

Notice inviting applications

Notice of final priority, requirements, and selection criteria for FY 2010 and subsequent years' funds

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.