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Office of Elementary and Secondary Education
Academic Improvement and Teacher Quality Programs
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Application for New Grants Under the Striving Readers Comprehensive Literacy Program

CFDA 84.371C

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Closing Date:

Paperwork Burden Statement

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United States Department of Education
OFFICE OF ELEMENTARY AND SECONDARY EDUCATION
Academic Improvement and Teacher Quality Programs

Colleague:

Thank you for your interest in the Striving Readers Comprehensive Literacy program, administered by the Office of Elementary and Secondary Education of the U.S. Department of Education (Department).

The goal of Striving Readers Comprehensive Literacy (SRCL) is to advance literacy skills— including preliteracy skills, reading, and writing—for students from birth through grade 12.

Grants under this competition will be awarded to State Educational Agencies (SEAs) to provide subgrants to Local Educational Agencies (LEAs) and early learning providers. Subgrantees must serve high-need children and youths, limited-English-proficient students, and students with disabilities with effective literacy instruction. Activities should align with a comprehensive State literacy plan designed to improve student outcomes and have the characteristics of an effective literacy program such as professional development, screening and assessment, targeted interventions for students reading below grade level, and other research-based methods of improving classroom instruction and practice.

At least 15% of the subgranted funds must be used to serve children from birth to age 5, at least 40% must be used to serve students in kindergarten through grade 5, and at least 40% must be used to serve students in middle and high school with an equitable distribution of funds between middle and high schools. SEAs may use 5% or less for state leadership activities such as technical assistance and training, data collection, reporting, and administration.

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 it is **mandatory** for applicants to use the 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 *and* submit early.

Also be aware that applications submitted to Grants.gov for the Department of Education will now be posted using Adobe forms. Therefore, applicants will need to download the latest version of Adobe reader (at least Adobe Reader 8.1.2). Please review the **Submitting Applications with Adobe Reader Software** and **Education Submission Procedures and Tips for Applicants** forms found within this package for further information and guidance related to this requirement.

Using FY 2010 funds, the Department expects to award $178,000,000 for 3 to 18 new grants

under this competition. We will award discretionary grants on a competitive basis for a project period of up to 60 months. Grants are expected to be awarded in August.

Please visit our program website at http://www2.ed.gov/programs/strivingreaders-literacy for further information. If you have any questions about the program after reviewing the application package, please contact   Miriam Lund by telephone at (202) 401-2871 or via e-mail at miriam.lund@ed.gov.

Sylvia Lyles
Acting Director
Academic Improvement and Teacher Quality
Programs

Program Background Information

Purpose of the Program
The purpose of the Striving Readers Comprehensive Literacy (SRCL) program is to advance literacy skills, including pre-literacy skills, reading, and writing, for students from birth through grade 12, including limited English-proficient students and students with disabilities. Funds will be used to award grants to States to support competitive subgrants to local education agencies or other eligible entities for the purposes indicated above.

Legislation
The SRCL program is authorized as part of the FY 2010 Consolidated Appropriations Act (Pub. L. No. 111-117) under the Title I demonstration authority (Part E, Section 1502 of the Elementary and Secondary Education Act (ESEA)). The FY 2010 Appropriations Act provides $200 million under Section 1502 of the ESEA for a comprehensive literacy development and education program to advance literacy skills for students from birth through grade 12 including pre-literacy skills, reading and writing, including limited-English-proficient students and students with disabilities.

The Act reserves $10 million for formula grants to assist States in creating or maintaining a State Literacy Team with expertise in literacy development and education for children from birth through grade 12 and to assist States in developing a comprehensive literacy plan.

The Act also reserves one-half of one percent for the Secretary of Interior for the Bureau of Indian Education, one-half of one percent for the outlying areas, and up to five percent for national activities conducted by the Secretary of Education. The remaining funds must be used for competitive awards to State educational agencies of which up to five percent may be used for State leadership activities and not less than 95 percent shall be awarded as subgrants to local educational agencies or other entities serving greater numbers or percentages of disadvantaged children.

Subgrants must be allocated as follows: (1) at least 15 percent to serve children from birth through age five, (2) at least 40 percent to serve students in kindergarten through grade five, and (3) at least 40 percent to serve students in middle and high school, through grade 12, including an equitable distribution of funds between middle and high schools. Eligible entities receiving comprehensive literacy program subgrants must use these funds for services and activities that have certain characteristics of effective literacy instruction, professional development, screening and assessment, targeted interventions for students reading below grade level and other research-based methods of improving classroom instruction and practice.

Frequently Asked Questions

1. **Who may apply for a SRCL grant?**

   State educational agencies (SEAs) are eligible applicants.

2. **Who may receive a SRCL subgrant?**

The following entities are eligible: local educational agencies (LEAs) and—in the case of early literacy—LEAs or other nonprofit providers of early childhood education that partner with a public or private nonprofit organization or agency with a demonstrated record of effectiveness in improving the early literacy development of children from birth through kindergarten entry and in providing professional development in early literacy, giving priority to such agencies or other entities serving great numbers of percentages of disadvantaged children. Such partners may include libraries, Head Start Centers, health care providers, or other community-based organizations if they meet the statutory requirements described here.

3. **What do you mean by "comprehensive literacy"?**

For the purposes of this grant program, "comprehensive literacy" includes pre-literacy, reading, and writing skills for all students – including disadvantaged students, limited-English proficient students, and students with disabilities—from birth to grade 12.

4. **Are there any requirements about how awarded funds should be distributed across age specific bands?**

Yes. The FY 2010 Consolidated Appropriations Act (Pub. L. No. 111-117), which authorizes the Striving Readers Comprehensive Literacy program, provides that the SEA shall ensure that at least 15 percent of the subgranted funds are used to serve children birth through age 5, at least 40 percent of the funds are used to serve students in kindergarten through grade 5, and at least 40 percent of the funds are used to serve students in middle and high school including an equitable distribution of funds between middle and high schools.

5. **Will there be flexibility in the funding distribution across age specific bands?**

No. Distribution of funds across age specific bands is set by statute.

6. **Must each subgrantee adhere to the 15/40/40 funding distribution?**

No. An individual subgrantee might serve children using a different funding distribution. For example, if a subgrantee was an early childhood education agency, all subgrant funds might be used to serve children birth through age 5; alternatively, an SEA may award funds to an LEA to undertake comprehensive (birth through grade 12) literacy activities. It is not necessary for an SEA to run three separate subgrant competitions for each funding distribution band. However, the SEA is responsible for ensuring that the total amount of SRCL subgrant funds is allocated according to the statutorily mandated funding distribution. In responding to Selection Criteria (D)(ii) of the Notice Inviting Applications, the SEA should clearly explain how it will design its subgrant competition to ensure compliance with the required funding distribution.

7. **How many grants will be awarded?**

The Department estimates that it will make between 3 and 18 awards, ranging between $3,000,000 and $70,000,000 for a four-year period with average size of awards

$25,000,000. The Department will award the grants on a competitive basis for a project period of up to 60 months.

8. What is the maximum award an SEA can receive?

In order to balance the goal of stimulating comprehensive literacy reform through funding high-quality plans with the goal of recognizing a number of SEAs that can serve as models for other SEAs, the Department has developed mandatory budget limits for each SEA. These limits were determined by ranking every State according to its share of the national population of children in poverty ages 5 through 17 based on data from "Table 1: 2009 Poverty and Median Income Estimates – States" released by the Small Area Estimates Branch of the U.S. Census Bureau in December, 2010. The State should develop a budget that is appropriate for the plan it outlines in its application; however we will not consider an SEA's application if its request exceeds the maximum in its budget range, as follows:

Category	Maximum Budget Allowed	States
1	up to $70 million	California, Texas
2	up to $50 million	Florida, Georgia, Illinois, Michigan, New York, North Carolina, Ohio, Pennsylvania, Puerto Rico
3	up to $30 million	Alabama, Arizona, Indiana, Kentucky, Louisiana, Mississippi, Missouri, New Jersey, South Carolina, Tennessee, Virginia, Washington
4	up to $15 million	Arkansas, Colorado, Connecticut, Iowa, Kansas, Maryland, Massachusetts, Minnesota, Nevada, New Mexico, Oklahoma, Oregon, West Virginia, Wisconsin, Utah
5	up to $8 million	Alaska, Delaware, District of Columbia, Hawaii, Idaho, Maine, Montana, Nebraska, New Hampshire, North Dakota, Rhode Island, South Dakota, Vermont, Wyoming

9. How much funding will grantees receive to administer leadership activities?

An SEA may use up to 5 percent of the awarded funds to provide leadership activities, including technical assistance and training, data collection, reporting, and administration.

10. Is there a requirement for in-kind contributions?

No. There is no requirement for matching funds, in-kind contributions, or a local project cost-share.

11. May applicants include the cost of food in their budgets?

Food expenditures are only allowable if food is not for entertainment and is necessary and reasonable to accomplish project goals.

12. Can SRCL subgrant funds be used for construction?

No. Construction costs are not allowed to be charged to the Federal funds for a Striving Readers Comprehensive Literacy grant. This is a requirement of the Education Department General Administrative Regulations (EDGAR) at 34 CFR 75.533. (Applicants can access EDGAR provisions on the Department's website at http://www.ed.gov/policy/fund/reg/edgarReg/edgar.html.)

However, Striving Readers Comprehensive Literacy grant funds may be used for minor remodeling (which does not include any structural alterations) to accomplish the program's purpose and objectives, such as to enhance the quality of the physical environment to make it more conducive to developing early language and early reading skills. (See the Education Department General Administrative Regulations (EDGAR) at 34 CFR section 77.1, definition of "minor remodeling," which you can access on the Department's website at http://www.ed.gov/policy/fund/reg/edgarReg/edgar.html.)

13. Is direct teacher support an allowable expense?

So long as the expense is necessary and reasonable to accomplish the program's purpose and objectives, direct teacher support such as salaries for specialists or new teachers, stipends, bonuses, or scholarships generally would be allowable.

14. Can SRCL subgrant funds be used for paying rent?

Yes. However, the rent must be reasonable and necessary to accomplish the program's purpose and objectives.

15. May I include letters of support or the resumes of my key project personnel with my application?

Yes. Only include resumes and letters of support in the appendices section of the submitted application.

16. Do charts and tables have to be double-spaced?

No. It is permissible to prepare charts in a single-spaced format.

17. Why do attachments have to be in .pdf format only?

Attachments must be in .pdf (portable document file) format in order to effectively upload to Grants.gov. This is a change from some previous Department grant competitions.

18. Is the SRCL grant application subject to Executive Order 12372?

Executive Order 12372 concerns the Intergovernmental Review of Federal Programs, and essentially gives States the opportunity to review and provide comments to Federal agencies on applications for Federal discretionary (competitive) grants.

SRCL grants are subject to Executive Order 12372 if your State is listed as having a Single State Point of Contact. Further information about the Single State Point of Contact (SPOC) process and a list of names by State can be found at http://www.whitehouse.gov/omb/grants/spoc.pdf.

19. What is the timeline for the FY 2011 project, i.e., approximately when will awards be made?

We anticipate that grants will be awarded in August 2011 for a project period of up to 60 months.

20. What is the date the application is due?

The applications are due [TK]. They must be submitted via www.Grants.gov. Your application must be fully uploaded and submitted and must be date and time stamped by the Grants.gov system no later than 4:30:00 p.m., Washington, D.C. 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.

21. Who can I contact for additional information?

The official website is: http://www2.ed.gov/programs/strivingreaders-literacy/index.html. Key Staff are:

Miriam Lund
U.S. Department of Education, OESE
400 Maryland Avenue, S.W., Rm. 3E245
LBJ Federal Office Building
Washington, DC 20202-6200
Telephone: (202) 401-2871
Fax: (202) 260-8969
Email: Miriam.Lund@ed.gov

Rebecca Marek
U.S. Department of Education, OESE
400 Maryland Avenue, S.W., Rm. 3E250
LBJ Federal Office Building
Washington, DC 20202-6200
Telephone: (202) 260-0968
Fax: (202) 260-8969
Email: Rebecca.Marek@ed.gov

Katie Chase
U.S. Department of Education, OESE
400 Maryland Avenue, S.W., Rm. 3E248
LBJ Federal Office Building

Washington, DC 20202-6200
Telephone: (202) 205-0266
Fax: (202) 260-8969
Email: Katie.Chase@ed.gov

Tiffany McClenton
U.S. Department of Education, OESE
400 Maryland Avenue, S.W., Rm. 3E236
LBJ Federal Office Building
Washington, DC 20202-6200
Telephone: (202) 401-2871
Fax: (202) 260-8969
Email: Tiffany.Mcclenton@ed.gov

Applicant Guide

Striving Readers Comprehensive Literacy is a national competitive grant program that is directly administered by the U.S. Department of Education. (the Department). The grant competition requires a full and complete application to be submitted electronically unless you qualify under an exception explained in the *Federal Register* application notice for this competition. All applicants will submit an application that includes up to 50 double-spaced pages addressing the priorities and selection criteria.

The Department, through a peer review by a panel of experts, will evaluate each application on the priorities and the selection criteria. In determining which applicants to fund, the Department will consider the rank order of applications as determined by the total score of the application based on the priorities and selection criteria published in the *Federal Register* application notice.

In making funding decisions, the Department will use the procedures in section 75.217 of EDGAR, 34 CFR 75.217. The Department estimates that we will make between 3 and 18 grant awards, ranging between $3,000,000 and $70,000,000 for a five-year period, with the average size of award being $25,000,000. The Department anticipates making final awards no later than August 30, 2011.

PRIORITIES

The Secretary has established in the *Federal Register* application notice three (3) priorities for the FY 2011 Striving Readers Comprehensive Literacy program.

Absolute Priorities: These priorities are absolute priorities. Under 34 CFR 75.105(c)(3) we consider only applications that meet these priorities.

Priority 1: Improving Learning Outcomes.
To meet this priority, an applicant must propose a project that is designed to improve school readiness and success through grade 12 in the area of language and literacy development for disadvantaged students (as defined in this application).

Background on this priority:

Improving the language and literacy development of disadvantaged students is essential to improving academic achievement for these students in all content areas. The 2009 National Assessment of Educational Progress (NAEP) results show disproportionately large numbers of disadvantaged students struggle with developing the necessary pre-literacy and literacy skills needed to read, comprehend, and use language effectively. This results in persistent gaps in academic achievement through the elementary and secondary school years and in high school graduation rates, and presents civic and economic difficulties for these students later in life. Meeting the language and literacy needs of disadvantaged students, including limited-English-proficient students and students with disabilities, is a particular focus of the SRCL program.

Priority 2: Enabling More Data-Based Decision-Making.
To meet this priority, an applicant must propose a project that is designed to collect, analyze, and use high-quality and timely data, especially on program participant outcomes, in accordance with privacy requirements (as defined in this notice), to improve instructional practices, policies, and student outcomes in early learning settings and in elementary and secondary schools.

Background on this priority: Accurate, timely, relevant, and appropriate data, and the effective use of that data for informed decision-making, are essential to the continuous improvement of children's literacy and language development. In developing comprehensive literacy plans and programs, it is important for States to consider strategies that provide educators, as well as families and other key stakeholders, with the data they need and the capacity and training to use those data to improve school readiness, respond to the learning and academic needs of students, improve educator effectiveness, inform professional development practices and approaches, and make informed decisions that increase student pre-literacy, literacy, and language development.

Competitive Preference Priorities: The following priority is a competitive preference priority. Under 34 CFR 75.105(c)(2)(ii) we award up to an additional five points to an application that meets this priority.

Competitive Preference Priority: Effective Use of Technology.
To meet this priority, an applicant must (1) propose to use technology—which may include technology to support principles of universal design for learning (as defined in this application)—to address student learning challenges; and (2) provide, in its application, an evidence-based (as defined in this application) rationale that its proposed technology program, practice, or strategy will increase student engagement and achievement or increase teacher effectiveness.

Background on this priority: The effective use of technology is a critical tool for improving learning outcomes and providing professional development. Use of concepts, ideas, programming techniques, and computer-assisted text displays that give access to the text for students who cannot access traditional print, including limited-English-proficient children and students with disabilities, is a basic tenet of universal design for learning (as defined in this application) and can help improve students' literacy and language development and identify and address student learning challenges.

PROGRAM REQUIREMENTS
Statutory Requirements (see Department of Education Appropriations Act, 2010 (Pub. L. 111-117)).

An SEA awarded a grant under this program--

      (a) Must subgrant no less than 95 percent of funds received under this competition to LEAs or, in the case of early literacy, to LEAs or other nonprofit providers of early childhood education that partner with a public or private nonprofit organization or agency with a demonstrated record of effectiveness in improving the early literacy development of children from birth through kindergarten entry and in providing professional development (as defined in this notice) in early literacy, giving priority to such agencies or other entities serving greater numbers or percentages of disadvantaged students;

      (b) Must ensure that at least--

          (1) 15 percent of the funds it subgrants to LEAs or other nonprofit providers of early childhood education (SRCL subgranted funds) are used to serve children from birth through age 5;

          (2) 40 percent of its SRCL subgranted funds are used to serve students in kindergarten through grade 5; and

          (3) 40 percent of its SRCL subgranted funds are used to serve students in middle and high school, including an equitable distribution of funds between middle and high schools;

      (c) May reserve up to 5 percent of funds received under this competition for State leadership activities, including technical assistance and training, data collection, reporting, and administration.

Additional Requirements.

      The Department establishes the following additional requirements for the FY 2011 competition and any subsequent year in which we make awards from the list of unfunded applications from this competition.

      An SEA awarded a grant under this program--

      (a) Must develop or update, implement, and continuously improve a comprehensive State literacy plan (as defined in this notice);

      (b) Must align the use of Federal and State funds and programs within the SEA and in LEAs in the State, including funds under Title I, Title II-A, and Title III of the Elementary and Secondary Education Act of 1965, as amended (ESEA), and, as appropriate, under the Head Start Act, the Individuals with Disabilities Education Act, and the Carl D. Perkins Career and Technical Education Act of 2006, to support a coherent approach to funding and implementing effective literacy instruction (as defined in this notice) for disadvantaged students;

      (c) Must make the process and the results of its review of subgrant applications publicly available, including the procedures the SEA used to review and judge the evidence base and the alignment with State standards for the curricula and materials LEAs propose to use; and

      (d) Must ensure that SRCL subgrant funds are used to implement a comprehensive and coherent literacy program that serves students from birth through grade 12, or at any period in the birth through grade 12 continuum as determined by a needs assessment, and includes each of the components of effective literacy instruction and that--

          (1) Provides effective professional development in literacy, including in instructional strategies to meet the literacy needs of disadvantaged students such as limited-English-proficient students and students with disabilities, to teachers of reading, English, or language arts, which may also include professional development in literacy for teachers of other subjects and for teachers or instructional providers for children from birth through age five;

          (2) Uses curriculum and instructional materials that are aligned with State standards, incorporate the components of effective literacy instruction, and, as appropriate, incorporate technology and principles of universal design for learning to support children and youth with diverse learning needs, including disadvantaged students;

(3) Uses coherent assessment systems that are aligned with State standards and assessments and that include--

    (i) Valid and reliable screening measures or strategies;

    (ii) Valid and reliable diagnostic and progress-monitoring measures;

    (iii) The systematic use of the assessment data to inform instruction, interventions, professional development, and continuous program improvement; and

    (iv) Appropriate accommodations necessary to ensure that all children and youth, including disadvantaged students, are reliably and accurately assessed;

    (4) Implements interventions to ensure that all children and youth, including both children and youth who have mastered the material ahead of their peers and children and youth struggling with the material, are served appropriately;

    (5) Provides language- and text-rich classroom, school, and early learning program environments that engage and motivate children and youth in speaking, listening, reading, and writing; and

    (6) Informs continuous improvement by monitoring program implementation and outcomes, including the effectiveness of professional development, and tracking implementation and outcomes at the LEA or early childhood education provider, school, classroom, and student levels.

Additional Applicant Guidance:

- *Absolute Priorities* – In order to be eligible, applicant proposals must address Absolute Priorities 1 and 2. If an application does not meet these priorities, it will not be considered for funding.
- *Competitive Preference Priority*– The Competitive Preference Priority must be addressed explicitly in the application and applicants applying for the Competitive Preference Priority may receive up to an additional 5 points, as determined by Department of Education staff.
- *Program Requirements:* Applicants are not required to address the program requirements in the application; however, any applicant that receives a grant under the SRCL program must comply with all the Program Requirements.

See the "Legal and Regulatory Information" section at the end of this application package for the "Notice inviting applications" containing the *Selection Criteria.*

GPRA MEASURES

SRCL is subject to the Government Performance and Results Act (GPRA). The GPRA requires each agency and program to set targets for its performance; measure progress toward those targets; report on whether or not the targets have been met; and describe future strategies for continued striving toward those targets. This process is designed to improve program management, and to help Congress, the Department of Education, the Office of Management and Budget, and others review a program's progress toward its goals.

    The Department has established the following Government Performance and Results Act of 1993 (GPRA) performance measures for the Striving Readers Comprehensive Literacy grant program:

    (1) The percentage of participating 4-year-old children who achieve significant gains in oral language skills.

    (2) The percentage of participating 5th-grade students who meet or exceed proficiency on State English language arts assessments under section 1111(b)(3) of the ESEA.

(3) The percentage of participating 8th-grade students who meet or exceed proficiency on State English language arts assessments under section 1111(b)(3) of the ESEA.

(4) The percentage of participating high school students who meet or exceed proficiency on State English language arts assessments under section 1111(b)(3) of the ESEA.

Alternative Measures

All States are required to report on Performance Measure 1 above. States have the option of either reporting on Performance Measures 2, 3, and 4 above, or reporting on the following growth measures:

(2) The percentage of participating 5th-grade students who meet or exceed proficiency on State English language arts assessments under section 1111(b)(3) of the ESEA, including those students who demonstrate adequate growth under the State's Department-approved growth model and are counted as meeting or exceeding proficiency for purposes of accountability determinations.

(3) The percentage of participating 8th-grade students who meet or exceed proficiency on State English/language arts assessments under section 1111(b)(3) of the ESEA, including those students who demonstrate adequate growth under the State's Department-approved growth model and are counted as meeting or exceeding proficiency for purposes of accountability determinations.

(4) The percentage of participating high school students who meet or exceed proficiency on the State English language arts assessments under section 1111(b)(3) of the ESEA, including those students who demonstrate adequate growth under the State's Department-approved growth model and are counted as meeting or exceeding proficiency for purposes of accountability determinations.

All of the performance measures described in this section will include data disaggregated for disadvantaged students, including limited-English-proficient students and students with disabilities.

These measures described in this section constitute the Department's indicators of success for this program. Consequently, we advise an applicant for a grant under this program to give careful consideration to these measures in conceptualizing the approach and evaluation for its proposed project. Each grantee will be required to provide, in its annual performance and final reports, data about its progress in meeting these measures.

DEFINITIONS

Comprehensive State literacy plan: The term "comprehensive State literacy plan" means a plan (which may be a component or modification of the plan submitted under the Striving Readers Comprehensive Literacy formula grant program, CFDA 84.371B) that addresses the pre-literacy and literacy needs of children from birth through grade 12, including limited-English-proficient students and students with disabilities; aligns policies, resources, and practices; contains clear instructional goals; and sets high expectations for all students and student subgroups.

Disadvantaged students: The term "disadvantaged students" means children and students at risk of educational failure, such as children and students who are living in poverty, who are limited-English-proficient, who are far below grade level or who are not on track to becoming college- or career-ready by graduation, who have left school before receiving a regular high school diploma, who are at risk of not graduating with a diploma on time, who are homeless,

who are in foster care, who are pregnant or parenting teenagers, who have been incarcerated, who are new immigrants, who are migrant, or who have disabilities.

Effective literacy instruction: The term "effective literacy instruction" means developmentally appropriate, explicit, evidence-based, and systematic instruction that provides students with--
(i) Early development and grade-level mastery of (A) oral language skills, both listening and speaking, (B) phonological awareness, using a wide vocabulary, (C) conventional forms of grammar, and (D) academic language;
(ii) The ability to read regularly spelled words and high-frequency irregularly spelled words with automaticity and to decode regularly spelled unfamiliar words accurately, using phonemic awareness, print awareness, alphabet knowledge, and knowledge of English spelling patterns;
(iii) The ability to read texts accurately, fluently, and with comprehension, relying on knowledge of the vocabulary in those texts and of the background information that the students possess;
(iv) The ability to read with a purpose and the capacity to differentiate purposes and to select and apply comprehension strategies appropriate to achieving the purpose;
(v) An understanding of, and ability to adapt to, the varying demands of different genres, formats, and types of texts across the core content areas in order to comprehend texts of appropriate levels of complexity and content, including texts necessary for mastery of grade-level standards;
(vi) The ability to effectively access, critically evaluate, and appropriately synthesize information from a variety of sources and formats;
(vii) The development and maintenance of a motivation to read and write, as reflected in habits of reading and writing regularly and of discussing one's reading and writing with others; and
(viii) The ability to write clearly, accurately, and quickly so as to communicate ideas and deepen comprehension in ways that fit purpose, audience, occasion, discipline, and format; adhere to conventions of spelling and punctuation; and benefit from revision so as to improve clarity, coherence, logical development, and the precise use of language.
With respect to programs serving children birth through age five, the term "effective literacy instruction," means supporting young children's early language and literacy development through developmentally appropriate, explicit, intentional, and systematic instruction, in language- and literacy-rich environments, that provides children with foundational skills and dispositions for literacy, such as--
(i) Rich vocabulary development;
(ii) Expressive language skills;
(iii) Receptive language skills;
(iv) Comprehension;
(v) Phonological awareness;
(vi) Print awareness;
(vii) Alphabet knowledge;
(viii) Book knowledge;
(ix) Emergent writing skills;
(x) Positive dispositions toward language and literacy-related activities; and
(xi) Other skills that correlate with later literacy achievement.

Evidence-based: The term "evidence–based" means--

(i) Based on a comprehensive, unbiased review and weighing of one or more evaluation studies that--
(A) Have been carried out consistent with the principles of scientific research[1];
(B) Have strong internal and external validity; and
(C) Support the direct attribution of one or more outcomes to the program, practice, or policy; or
(ii) In the absence of one or more studies described in paragraph (i) of this definition, based on a comprehensive, unbiased review and weighing of data analysis, research, or one or more evaluation studies of relevant programs, policies, or practices, that--
(A) Were carried out consistent with the principles of scientific research; and
(B) Are accompanied by strategies to generate more robust evidence over time through research, evaluation, and data analysis, including the measurement of performance with reliable process and outcome indicators and the implementation of evaluations with strong internal and external validity where feasible and appropriate.

Privacy requirements: The term "privacy requirements" means the requirements of the Family Educational Rights and Privacy Act (FERPA), 20 U.S.C. 1232g, and its implementing regulations in 34 CFR part 99, the Privacy Act, 5 U.S.C. 552a, as well as all applicable Federal, State, and local requirements regarding privacy.

Professional development: The term "professional development" means coordinated and aligned activities that are designed to increase the effectiveness of educators, which may include teachers, principals, other school leaders, specialized instructional support personnel, paraprofessionals, early childhood educators, and other school staff, and that--
(i) Are based, to the extent possible, on an analysis of data and evidence that indicates the needs of students and teachers;

_____

[1] For purposes of this notice, the term "principles of scientific research" has the meaning provided in section 200(18) of the Higher Education Act of 1965, as amended; that is, it means principles of research that—
(A) apply rigorous, systematic, and objective methodology to obtain reliable and valid knowledge relevant to education activities and programs;
(B) present findings and make claims that are appropriate to, and supported by, the methods that have been employed; and
(C) include, appropriate to the research being conducted—
(i)   use of systematic, empirical methods that draw on observation or experiment;
(ii)   use of data analyses that are adequate to support the general findings;
(iii)   reliance on measurements or observational methods that provide reliable and generalizable findings;
(iv)   strong claims of causal relationships, only with research designs that eliminate plausible competing explanations for observed results, such as, but not limited to, random-assignment experiments;
(v)   presentation of studies and methods in sufficient detail and clarity to allow for replication or, at a minimum, to offer the opportunity to build systematically on the findings of the research;
(vi)   acceptance by a peer-reviewed journal or critique by a panel of independent experts through a comparably rigorous, objective, and scientific review; and
(vii) consistency of findings across multiple studies or sites to support the generality of results and conclusions.

(ii) Are evidence-based and implemented with meaningful tracking of impact on educator practices and effectiveness;

(iii) Foster individual and collective responsibility for improving student academic achievement;

(iv) Align with State academic content standards or State early learning standards, as appropriate, with LEA and school or early learning program improvement goals, and with school or early learning program instructional materials;

(v) Focus on understanding what and how students learn and on how to address students' learning needs, including by reviewing and analyzing student work and achievement data and adjusting instructional strategies, assessments, and materials based on that review and analysis;

(vi) Where appropriate, focus on improving both content knowledge and pedagogical skill;

(vii) Set clear educator learning goals based on student and teacher learning needs;

(viii) Address educator needs identified through evaluation, including by providing support for teachers and principals who earn evaluation ratings indicating the need for opportunities to improve their knowledge and skills;

(ix) Are designed to provide educators with the instructional strategies necessary to meet the needs of disadvantaged students, including limited-English-proficient students and students with disabilities;

(x) Are active, sustained, intensive, and classroom-or early learning program-focused in order to have a positive and lasting impact on classroom or early learning program instruction and educator effectiveness;

(xi) Are, in general, provided through school- or early learning program-based, job-embedded opportunities for educators to work collaboratively and transfer new knowledge into classroom or early learning program practice, such as through classroom coaching, data analysis teams, observations of classroom practice, and the provision of common planning time; and

(xii) Are, as appropriate--

(A) Designed to improve educators' ability to collect, manage, and analyze data to improve instruction, student support services, decision-making, school improvement efforts, early learning program quality improvement efforts, and accountability;

(B) Designed to provide educators with the knowledge and skills to work more effectively with families;

(C) Provided through workshops, courses, institutes, on-line learning, and other activities that advance and supplement school-based or early learning program-based professional development;

(D) Implemented with the involvement of external experts with relevant expertise, including content expertise; and

(E) Designed to provide joint professional development activities, for school staff and other early childhood educators in publicly funded center-based programs, that address the transition to elementary school, including issues related to school readiness across all major domains of early learning.

Universal design for learning (UDL): The term "universal design for learning", as defined under section 103 of the Higher Education Act of 1965, as amended, means a scientifically valid framework for guiding educational practice that--

(i) Provides flexibility in the ways information is presented, in the ways students respond or demonstrate knowledge and skills, and in the ways students are engaged; and

(ii) Reduces barriers in instruction, provides appropriate accommodations, supports, and

challenges, and maintains high achievement expectations for all students, including students with disabilities and students who are limited-English-proficient.

TRANSPARENCY

After awards are made under this competition, all of the submitted applications (both successful and unsuccessful), together with reviewer scores and comments, will be posted on the Department's Web site.

APPLICATION ELIGIBILITY

State educational agencies (SEAs) are eligible applicants.

Technical Assistance Workshops for Prospective Applicants

The Striving Readers Comprehensive Literacy Program Office will provide two technical assistance webinar sessions for applicants. The exact dates will be announced at a later time through the Striving Readers Comprehensive Literacy Infoline Listserv. To sign up for the listserv please visit the following website: http://www2.ed.gov/programs/strivingreaders-literacy/srclinfoline.html.

Application Submission Procedures

The deadline for submission of **Striving Readers Comprehensive Literacy Program** applications through e-Application is   **.**

Application Transmittal Instructions

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

We will reject your application if you submit it in paper format unless, as described in the Federal Register 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.

Applications Submitted Electronically
Applications for grants under this program 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.

Your application must be fully uploaded and submitted and must be date and time stamped by

the Grants.gov system **no later than 4:30:00 p.m., Washington, DC time, on the application deadline date.** Except as otherwise noted in Federal Register notice for this competition, we will not consider your application if it is date and time stamped by the Grants.gov system later than 4:30:00 p.m., Washington, DC time, on the application deadline date.

You should review and follow the Education Submission Procedures for submitting an application through Grants.gov that are included in this application package to ensure that you submit your application in a timely manner to the Grants.gov system.

Please note the following:
- You must attach any narrative sections of your application as files in a **.pdf** (Portable Document) format. **If you upload a file type other than the type specified in this paragraph or submit a password-protected file, we will not review that material**.

- Grants.gov cannot process an application that includes two or more files that have the same name within a grant submission.

- 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 your file names be less than 50 characters. 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.

- Your electronic application must comply with any page-limit requirements described in this application package.
- 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, <u>only those requesting and qualifying</u> for an Exception to the electronic submission requirement may submit an application via mail, commercial carrier or by hand delivery.

<u>Submission of Paper Applications by Mail</u>:
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 84.371C)
       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 84.371C)
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.

Submitting Applications with Adobe Reader Software

The Department of Education, working with Grants.gov, is currently moving from using PureEdge software to using Adobe Reader software exclusively and applications submitted to Grants.gov for the Department of Education will be posted using Adobe forms. Applicants will no longer need to use the PureEdge software to create or submit an application.

Please note: The compatible version of Adobe Reader is **required** for viewing, editing and submitting a complete grant application package for the Department of Education through Grants.gov. Applicants should confirm the compatibility of their Adobe Reader version **before** downloading the application. To ensure applicants have a version of Adobe Reader on their computer that is compatible with Grants.gov, applicants are encouraged to use the test package provided by Grants.gov that can be accessed at http://www.grants.gov/applicants/AdobeVersioningTestOnly.jsp.

Important issues to consider:
- If the applicant opened or edited the application package with any software other than the compatible version of Adobe Reader, the application package may contain errors that will be transferred to the new package even if you later download the compatible Adobe Reader version.

- Applicants **cannot** copy and paste data from a package initially opened or edited with an incompatible version of Adobe Reader and will need to download an **entirely new package** using the compatible version of Adobe Reader.

- Some applicants using an incompatible version of Adobe Reader **may have trouble** opening and viewing the application package while others may find they can open, view and complete the application package but **may not be able to submit** the application package through Grants.gov.

- Grants.gov **does not** guarantee to support versions of Adobe Reader that are not compatible with Grants.gov.

- Any and all edits made to the Adobe Reader application package **must** be made with the compatible version of Adobe Reader.

For your convenience, the latest version of Adobe Reader is available for free download at http://grantsgov.tmp.com/static2007/help/download_software.jsp#adobe811.

We strongly recommend that you review the information on computer and operating system compatibility with Adobe available at http://www.grants.gov/applicants/applicant_faqs.jsp#software **before** downloading, completing or submitting your application.

Applicants are reminded that they should submit their application a day or two in advance of the closing date as detailed in the Federal Register Notice. If you have any questions regarding this matter please email the Grants.gov Contact Center at support@grants.gov or call 1-800-518-4726

Education Submission Procedures and Tips for Applicants

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.

ATTENTION
Applications submitted to Grants.gov for the Department of Education will be posted using Adobe forms. Therefore, applicants will need to download the latest version of Adobe reader (at least Adobe Reader 8.1.2). Information on computer and operating system compatibility with Adobe and links to download the latest version is available on Grants.gov.

We strongly recommend that you review these details on www.Grants.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. Applicants will no longer need to use the PureEdge software to create or submit an application. If you have any questions regarding this matter please email the Grants.gov Contact Center at support@grants.gov or call 1-800-518-4726.

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. [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 4:30:00 p.m. Washington, DC time 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 4:30:00 p.m. Washington, DC time, 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 4:30:00 p.m. Washington, D.C. time, on the deadline 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/applicants/applicant_faqs.jsp#54.

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 e-mail 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?

If you have problems submitting to Grants.gov before the closing date, please contact Grants.gov Customer Support at 1-800-518-4726 or http://www.grants.gov/contactus/contactus.jsp, or use the customer support available on the Web site: http://www.grants.gov/applicants/applicant_help.jsp.

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.)

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 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.

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 may need to use the Citrix solution discussed on Grants.gov to submit an application using Grants.gov. For additional information,

review the FAQs for non-windows users http://www.grants.gov/help/download_software.jsp. **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.)

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 type detailed in the Federal Register application notice (*.pdf*). Do not upload any password protected files to your application.
2. Grants.gov cannot process an application that includes two or more files that have the same name within a grant submission. Therefore, each file uploaded to your application package should have a unique file name.
3. 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.
4. 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. For reference, the average discretionary grant application package totals 1 to 2 MB. Therefore, you may want to check the total size of your package before submission.

Application Instructions

Electronic Application Format

Applications for grants under this competition <u>must</u> be submitted electronically, unless you qualify for an exception to the electronic submission requirement in accordance with the instructions in this application package.

<u>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.</u>
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. 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.

*Important note***:** Applications submitted to Grants.gov for the Department of Education will be posted using Adobe forms. Therefore, applicants will need to download the latest version of Adobe reader (at least Adobe Reader 8.1.2).

Information on computer and operating system compatibility with Adobe and links to download the latest version is available on Grants.gov. Also, please review the **Submitting Applications with Adobe Reader Software** and **Education Submission Procedures and Tips for Applicants** forms found within this package for further information and guidance related to this requirement.

We strongly recommend that you review these details on www.Grants.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. Applicants will no longer need to use the PureEdge software to create or submit an application. If you have any questions regarding this matter please email the Grants.gov Contact Center at support@grants.gov or call 1-800-518-4726.

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.

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 Form
❑ Individual Resumes for Project Directors & Key Personnel
❑ Indirect-cost Rate Determination Letter

Part 7: Assurances and Certifications
❑ Assurances for 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)
❑ Survey on Ensuring Equal Opportunity for Applicants (form 1890-0014)

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) <u>first</u>. 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.	**Type of Submission:** (Required): Select one type of submission in accordance with agency instructions. • Preapplication • Application • 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.	10.	**Name Of Federal Agency**: (Required) Enter the name of the Federal agency from which assistance is being requested with this application.
		11.	**Catalog Of Federal Domestic Assistance Number/Title:** 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.	**Type of Application**: (Required) Select one type of application in accordance with agency instructions. • New – An application that is being submitted to an agency for the first time. • Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals. • 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. A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration E. Other (specify)	12.	**Funding Opportunity Number/Title:** (Required) Enter the Funding Opportunity Number and title of the opportunity under which assistance is requested, as found in the program announcement.
		13.	**Competition Identification Number/Title:** Enter the Competition Identification Number and title of the competition under which assistance is requested, if applicable.
		14.	**Areas Affected By Project:** 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.	**Date Received:** Leave this field blank. This date will be assigned by the Federal agency.	15.	**Descriptive Title of Applicant's Project:** (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.	**Applicant Identifier**: Enter the entity identifier assigned by the Federal agency, if any, or applicant's control number, if applicable.		
5a	**Federal Entity Identifier**: Enter the number assigned to your organization by the Federal Agency, if any.	16.	**Congressional Districts Of**: (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 district, CA-012 for California 12th district, NC-103 for North Carolina's 103rd district. • 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. • If nationwide, i.e. all districts within all states are affected, enter US-all. • If the program/project is outside the US, enter 00-000.
5b.	**Federal Award Identifier**: 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.	**Date Received by State:** Leave this field blank. This date will be assigned by the State, if applicable.		
7.	**State Application Identifier:** Leave this field blank. This identifier will be assigned by the State, if applicable.		
8.	**Applicant Information**: Enter the following in accordance with agency instructions:		
	a. Legal Name: (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.	17.	**Proposed Project Start and End Dates**: (Required) Enter the proposed start date and end date of the project.
	b. Employer/Taxpayer Number (EIN/TIN): (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.	18.	**Estimated Funding:** (Required) Enter the amount requested or to be contributed during the first funding/budget period by

	c. Organizational DUNS: (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.		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.
	d. Address: 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).		
	e. Organizational Unit: Enter the name of the primary organizational unit (and department or division, if applicable**)** that will undertake the assistance activity, if applicable.	19.	**Is Application Subject to Review by State Under Executive Order 12372 Process?** 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
	f. Name and contact information of person to be contacted on matters involving this application: 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.	20.	**Is the Applicant Delinquent on any Federal Debt?** (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. If yes, include an explanation on the continuation sheet.
9.	Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions. A. State Government B. County Government C. City or Township Government D. Special District Government E. Regional Organization F. U.S. Territory or Possession G. Independent School District H. Public/State Controlled Institution of Higher Education I. Indian/Native American Tribal Government (Federally Recognized) J. Indian/Native American Tribal Government (Other than Federally Recognized) K. Indian/Native American Tribally Designated Organization L. Public/Indian Housing Authority M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education) N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education) O. Private Institution of Higher Education P. Individual Q. For-Profit Organization (Other than Small Business) R. Small Business S. Hispanic-serving Institution T. Historically Black Colleges and Universities (HBCUs) U. Tribally Controlled Colleges and Universities (TCCUs) V. Alaska Native and Native Hawaiian Serving Institutions W. Non-domestic (non-US) Entity X. Other (specify)	21.	**Authorized Representative**: (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. 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.)

[**U.S Department of Education note**: As of spring, 2010, the FON discussed in Block 12 of the instructions can be found via the following URL: http://www.grants.gov/applicants/find_grant_opportunities.jsp.]

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 12th 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. You may access the Education Department General Administrative Regulations, 34 CFR 74 – 86 and 97-99, on ED's website at: http://www.ed.gov/policy/fund/reg/edgarReg/edgar.html

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

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

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

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

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

Line 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. If you checked "no," ED generally will authorize grantees to use a temporary rate of 10 percent of budgeted salaries and wages subject to the following limitations:
    (a) The grantee must submit an indirect cost proposal to its cognizant agency within 90 days after ED issues a grant award notification; and
    (b) If after the 90-day period, the grantee has not submitted an indirect cost proposal to its cognizant agency, the grantee may not charge its grant for indirect costs until it has negotiated an indirect cost rate agreement with its cognizant agency.
    (2): If you checked "yes" in (1), indicate in (2) the beginning and ending dates covered by the Indirect Cost Rate Agreement. In addition, indicate whether ED, another Federal agency (Other) or State agency issued the approved agreement. If you check "Other," specify the name of the Federal or other agency that issued the approved agreement.
    (3): If you 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 cost-sharing or matching funds or other non-Federal resources to the project, these should be shown for each applicable budget category on lines 1-11 of Section B.

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

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

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

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

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

1.   Provide an itemized budget breakdown, and justification by project year, for each budget category 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.   For non-Federal funds or resources listed in Section B that are used to meet a cost-sharing or matching requirement or provided as a voluntary cost-sharing or matching commitment, you must include:

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

[Please review ED's general cost sharing and matching regulations, which include specific limitations, in 34 CFR 74.23, applicable to non-

governmental entities, and 80.24, applicable to governments, and the applicable Office of Management and Budget (OMB) cost principles for your entity type regarding donations, capital assets, depreciation and use allowances. OMB cost principle circulars are available on OMB's website at: http://www.whitehouse.gov/omb/circulars/index.html]

3.   If applicable to this program, provide the rate and base on which fringe benefits are calculated.

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

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

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

5.   Provide other explanations or comments you deem necessary.

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1894-0008. The time required to complete this information collection is estimated to vary from 13 to 22 hours per response, with an average of 17.5 hours per response, including the time to review instructions, search existing data sources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4537. If you have comments or concerns regarding the status of your individual submission of this form, write directly to (insert program office), U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, D.C. 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.

Ensure that you only attach the Education approved file types detailed in the Federal Register application notice (.pdf). Do not upload any password-protected files to your application.

Please note that Grants.gov cannot process an application that includes two or more files that have the same name within a grant submission.

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 your file names be less than 50 characters.

❑ **Project Abstract**
 The project abstract should not exceed **two** double spaced pages and should include a concise description of the following information:

- Project objectives and activities
- Applicable priorities
- Proposed project outcomes
- Number of participants to be served
- Number and location of proposed sites

Note: Grants.gov may include a note that indicates that the project abstract may not exceed one page; however, an abstract of more than one page may be uploaded.

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.*

Ensure that you only attach the Education approved file types detailed in the Federal Register application notice (.pdf). Do not upload any password-protected files to your application.

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 your file names be less than 50 characters.

❑ 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 **50** pages and adhere to the following guidelines:

Selection Criteria for Program Narrative
The maximum score for all selection criteria is 100 points. The points or weights assigned to each criterion 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:

SELECTION CRITERIA

(A) Quality of State-level activities. (37 points) In determining the quality of State-level activities, the Secretary considers:
(i) How the SEA will carry out the required State-level activities (described in the Additional Requirements section of this notice) and how it will align those activities with its comprehensive State literacy plan (10 points).
(ii) The SEA's goals for improving student literacy outcomes throughout the State for all students (e.g., limited-English-proficient students and students with disabilities), including a description of the data (which may include data gathered through a needs assessment) that the SEA has considered or will consider and a clear and credible path that the SEA will take to achieve these goals with the support of its LEAs (8 points).
(iii) How the SEA will provide technical assistance and support to its SRCL subgrantees (and, at its discretion, to other LEAs or early childhood education providers) to enable them to implement a high-quality comprehensive literacy program and to improve student achievement in core academic subjects (5 points).
(iv) How the SEA will evaluate the State's progress in improving achievement in literacy for children and youth from birth through grade 12, including disadvantaged students, including:

(1) whether the evaluation will be conducted by an independent evaluator (whose role in the project is limited solely to conducting the evaluation); (2) whether the evaluation will use methods that are thorough, feasible, and appropriate to the objectives of the proposed project; and (3) how the SEA will use evidence to inform and continuously improve the design and implementation of its activities (10 points).

(v) How the SEA will disseminate information on project outcomes, disaggregated by student subgroup, and in formats that are easily understood by, and accessible to, the public, and how the SEA will make that information useful to varied groups (such as families, educators, researchers, other experts, early childhood education providers, and State leaders) (4 points).

(B) Quality of the State subgrant competition. (28 points) In determining the quality of the applicant's proposed SRCL subgrant competition, the Secretary considers:

(i) The extent to which the SEA will run a rigorous, high-quality competition for subgrants, including how it will review and judge:

(a) The LEA's or early childhood education provider's capacity to successfully implement its proposal (3 points).

(b) The extent to which each SRCL subgrant applicant has proposed a comprehensive high-quality literacy program that meets all of the requirements set out in paragraph (d) of the Additional Requirements section in this notice and that (8 points):

(1) Addresses the needs of disadvantaged students and proposes to implement activities in schools and early learning programs with the highest levels of need and capacity for improvement.

(2) Is informed by a needs assessment described in the application and is designed to support effective teaching and to improve student achievement of struggling readers.

(3) Involves other agencies, nonprofit organizations, community-based organizations, and families in activities that promote the implementation of effective literacy instruction for disadvantaged students.

(c) The extent to which each SRCL subgrant applicant demonstrates that it will implement a coherent strategy to improve literacy instruction that aligns activities under the SRCL subgrant with literacy instruction supported with other Federal funds, including with funds the entity receives under Title I, Title II-A, and Title III of the ESEA and, as appropriate, the Head Start Act, the Individuals with Disabilities Education Act, and the Carl D. Perkins Career and Technical Education Act of 2006, and State and local funds (2 points).

(ii) The extent to which the SEA will give priority to LEAs or providers of early childhood education that propose to serve high-poverty schools or a high-poverty population, based on a definition of poverty and process for applying the priority provided by the State (6 points).

(iii) The extent to which the SEA will give priority to LEAs or providers of early childhood education whose applications are supported by the strongest available evidence (4 points).

(iv) The extent to which the SEA will develop or update a process, or use an existing process, to review and judge the evidence base and alignment with State standards for the curricula and materials that LEAs propose to use in implementing their subgrants, and how the SEA will make the process and results of any such review publicly available (5 points).

(C) Project management. (15 points) The Secretary considers the following factors in determining the quality of the project management plan:

(i) The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines, and milestones for accomplishing project tasks (6 points).

(ii) The qualifications, including relevant training and experience, of key personnel (5 points).

(iii) The extent to which the State will ensure a diversity of perspectives in the design and implementation of the proposed project, including those of: families, teachers, early childhood education professionals, officials from other State and local agencies, Head Start Advisory Councils, professional organizations, institutions of higher education, community-based organizations, and libraries (4 points).

(D) <u>Adequacy of resources</u>. (20 points) The Secretary considers the following factors in determining the adequacy of resources for the proposed project:

(i) The extent to which the costs described in the SEA's budget are reasonable in relation to the number of objectives, design, and potential significance of the proposed project (10 points).

(ii) The quality of the SEA's plan to ensure that SRCL subgrant funds are allocated as follows:
• At least 15 percent to serve children from birth through age five.
• At least 40 percent to serve students in kindergarten through grade five.
• At least 40 percent to serve students in middle and high school, through grade 12, including an equitable distribution of funds between middle and high schools (4 points).

(iii) The extent to which the SEA will use the grant to leverage other State and Federal funds in order to maximize the impact of the grant and how it will support LEAs and early childhood education providers in integrating funds with other local, State, and Federal funds and in developing a plan for sustaining funding after the end of the subgrant (3 points).

(iv) The extent to which the SEA will award SRCL subgrants of sufficient size to support projects that improve instruction for a significant number of students in the high-need schools or early learning programs serving children birth through five that the SRCL subgrantee would serve (3 points).

Important note about the project evaluation: A strong evaluation plan should be included in the application narrative and should be used, as appropriate, to shape the development of the project from the beginning of the grant period. The plan should include benchmarks to monitor progress toward specific project objectives and also outcome measures to assess the impact on teaching and learning or other important outcomes for project participants. More specifically, the plan should identify the individual and/or organization that have agreed to serve as evaluator for the project and describe the qualifications of that evaluator.

The plan should describe the evaluation design, indicating: (1) what types of data will be collected; (2) when various types of data will be collected; (3) what methods will be used; (4) what instruments will be developed and when; (5) how the data will be analyzed; (6) when reports of results and outcomes will be available; and (7) how the applicant will use the information collected through the evaluation to monitor progress of the funded project and to provide accountability information both about success at the initial site and effective strategies for replication in other settings. Applicants are encouraged to devote an appropriate level of resources to project evaluation.

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.*

Ensure that you only attach the Education approved file types detailed in the Federal Register application notice (.pdf). Do not upload any password-protected files to your application.

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 your file names be less than 50 characters.

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-21, *Cost Principles for Educational Institutions* [OMB Circular A-87, *Cost Principles for State, Local, and Indian Tribal Governments* or OMB Circular A-122, *Cost Principles for Nonprofit Organizations*] in preparing their budget and budget narrative.
- OMB Circular A-21 may be found at the following link:
  http://www.whitehouse.gov/omb/circulars/a021/a21_2004.html
- OMB Circular A-87 may be found at the following link:
  http://www.whitehouse.gov/omb/circulars/a087/a87_2004.html
- OMB Circular A-122 may be found at the following link:
  http://www.whitehouse.gov/omb/circulars/a122/a122_2004.html

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 (the Department) reimburses grantees for its portion of indirect costs that a grantee incurs in projects funded by the Striving Readers Comprehensive Literacy program (CFDA 84.371C). 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.

If an applicant selected for funding under this program has not already established a current ICR with its cognizant agency, ED generally will authorize the grantee to use a temporary rate, of 10 percent of budgeted direct salaries and wages subject to the following limitations:

1. The grantee must submit an indirect cost rate proposal to its cognizant agency within 90 days after ED issues the GAN.
2. If after the 90-day period, the grantee has not submitted an indirect cost rate proposal to its cognizant agency, the grantee may not charge its grant for indirect costs (except when ED finds exceptional circumstances) until it has negotiated an indirect cost rate agreement with its cognizant agency.
3. Once the grantee has negotiated an ICR with its cognizant agency, the grantee will be required to make certain adjustments to recover the correct amount of indirect costs authorized for the period before it negotiated the ICR.

Applicants should be aware that ED is very often *not* the cognizant agency for its own grantees. Rather, ED accepts, for the purpose of funding its awards, the current ICR established by the appropriate cognizant agency.

Applicants are encouraged to have an accountant calculate a proposed indirect cost rate using current information from its audited financial statements, actual cost data or IRS Form 990. Applicants should use this proposed rate in their application materials and describe which of these methods they used to calculate the rate. Guidance related to calculating an indirect cost rate can be found on ED's website at:

http://www.ed.gov/about/offices/list/ocfo/fipao/icgindex.html.

Applicants with questions about using indirect cost rates under this program should contact the program contact person shown elsewhere in this application package or in the *Federal Register* application notice of MM/DD/YYYY, (FILL IN FED REG CITE HERE).

Part 6: Other Attachment 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.

Ensure that you only attach the Education approved file types detailed in the Federal Register application notice (.pdf). Do not upload any password-protected files to your application.

Please note that Grants.gov cannot process an application that includes two or more files that have the same name within a grant submission.

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 your file names be less than 50 characters.

❏ **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.

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 for 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)

INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

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.

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

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

Section 427 **requires** each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted program for students, teachers, and other program beneficiaries with special needs.

This provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age.

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.

Please review the Notice to all Applicants (included in the electronic application package in Grants.gov) for further information on meeting the provisions in the Department of Education's General Education Provisions Act (GEPA).

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.

Survey Instructions on Ensuring Equal Opportunity for Applicants

Provide the applicant's (organization) name and DUNS number and the grant name and CFDA number.

1. Self-explanatory.

2. Self-identify.

3. Self-identify.

4. 501(c)(3) status is a legal designation provided on application to the Internal Revenue Service by eligible organizations. Some grant programs may require nonprofit applicants to have 501(c)(3) status. Other grant programs do not.

5. Self-explanatory.

6. For example, two part-time employees who each work half-time equal one full-time equivalent employee. If the applicant is a local affiliate of a national organization, the responses to survey questions 2 and 3 should reflect the staff and budget size of the local affiliate.

7. Annual budget means the amount of money your organization spends each year on all of its activities.

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 1890-0014. The time required to complete this information collection is estimated to average five (5) 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 time estimate(s) or suggestions for improving this form, please write to:** The Agency Contact listed in this grant application package.

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# 84.371C, 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 Striving Readers Comprehensive Literacy Program:

(1) The percentage of participating 4-year-old children who achieve significant gains in oral language skills.

(2) The percentage of participating 5th-grade students who meet or exceed proficiency on State English language arts assessments under section 1111(b)(3) of the ESEA.

(3) The percentage of participating 8th-grade students who meet or exceed proficiency on State English language arts assessments under section 1111(b)(3) of the ESEA.

(4) The percentage of participating high school students who meet or exceed proficiency on State English language arts assessments under section 1111(b)(3) of the ESEA.

Alternative Measures

All States are required to report on Performance Measure 1 above. States have the option of either reporting on Performance Measures 2, 3, and 4 above, or reporting on the following growth measures:

(2) The percentage of participating 5th-grade students who meet or exceed proficiency on State English language arts assessments under section 1111(b)(3) of the ESEA, including those students who demonstrate adequate growth under the State's Department-approved growth model and are counted as meeting or exceeding proficiency for purposes of accountability determinations.

(3) The percentage of participating 8th-grade students who meet or exceed proficiency on State English/language arts assessments under section 1111(b)(3) of the ESEA, including those students who demonstrate adequate growth under the State's Department-approved growth model and are counted as meeting or exceeding proficiency for purposes of accountability determinations.

(4) The percentage of participating high school students who meet or exceed proficiency on the State English language arts assessments under section 1111(b)(3) of the ESEA, including those students who demonstrate adequate growth under the State's Department-approved growth model and are counted as meeting or exceeding proficiency for purposes of accountability determinations.

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

4000-01-U
DEPARTMENT OF EDUCATION
Office of Elementary and Secondary Education
Overview Information
Striving Readers Comprehensive Literacy Grant Program

Notice inviting applications for new awards for fiscal year (FY) 2011.
Catalog of Federal Domestic Assistance (CFDA) Number 84.371C.
Dates:
Applications Available: [INSERT DATE OF PUBLICATION IN THE FEDERAL REGISTER].
Deadline for Notice of Intent to Apply: [INSERT DATE 25 DAYS AFTER DATE OF PUBLICATION IN THE FEDERAL REGISTER].
Deadline for Transmittal of Applications: [INSERT DATE 60 DAYS AFTER DATE OF PUBLICATION IN THE FEDERAL REGISTER].
Deadline for Intergovernmental Review: [INSERT DATE 120 DAYS AFTER DATE OF PUBLICATION IN THE FEDERAL REGISTER].
Full Text of Announcement
I. Funding Opportunity Description
Purpose of Program: The purpose of the Striving Readers Comprehensive Literacy grant program (SRCL) is to advance literacy skills--including pre-literacy skills, reading, and writing-- for students from birth through grade 12, including limited-English-proficient students and students with disabilities.

     Through this program, the Department will award competitive grants to State educational agencies (SEAs) to support competitive subgrants to local educational agencies (LEAs), including charter schools that are considered LEAs under State law, or other eligible entities for the purpose of advancing literacy skills.
Priorities: This notice contains three priorities, two of which are absolute and one of which is competitive preference. We are establishing these priorities for the FY 2011 grant competition and any subsequent year in which we make awards from the list of unfunded applicants from this competition, in accordance with section 437(d)(1) of the General Education Provisions Act (GEPA), 20 U.S.C. 1232(d)(1).
Absolute Priorities: The first two priorities, Improving Learning Outcomes and Enabling More Data-Based Decision-Making, are absolute priorities. Under 34 CFR 75.105(c)(3) we consider only applications that meet these priorities.
     These priorities are:
Priority 1: Improving Learning Outcomes.
Background: Improving the language and literacy development of disadvantaged students is essential to improving academic achievement for these students in all content areas. The 2009 National Assessment of Educational Progress (NAEP) results show disproportionately large numbers of disadvantaged students struggle with developing the necessary pre-literacy and

literacy skills needed to read, comprehend, and use language effectively. This results in persistent gaps in academic achievement through the elementary and secondary school years and in high school graduation rates, and presents civic and economic difficulties for these students later in life. Meeting the language and literacy needs of disadvantaged students, including limited-English-proficient students and students with disabilities, is a particular focus of the SRCL program.

Priority:

　　　　To meet this priority, an applicant must propose a project that is designed to improve school readiness and success through grade 12 in the area of language and literacy development for disadvantaged students (as defined in this notice).

Priority 2: Enabling More Data-Based Decision-Making.

Background: Accurate, timely, relevant, and appropriate data, and the effective use of that data for informed decision-making, are essential to the continuous improvement of children's literacy and language development. In developing comprehensive literacy plans and programs, it is important for States to consider strategies that provide educators, as well as families and other key stakeholders, with the data they need and the capacity and training to use those data to improve school readiness, respond to the learning and academic needs of students, improve educator effectiveness, inform professional development practices and approaches, and make informed decisions that increase student pre-literacy, literacy, and language development.

Priority:

　　　　To meet this priority, an applicant must propose a project that is designed to collect, analyze, and use high-quality and timely data, especially on program participant outcomes, in accordance with privacy requirements (as defined in this notice), to improve instructional practices, policies, and student outcomes in early learning settings and in elementary and secondary schools.

Competitive Preference Priorities: The following priority is a competitive preference priority. Under 34 CFR 75.105(c)(2)(ii) we award up to an additional five points to an application that meets this priority.

　　　　This priority is:

Competitive Preference Priority: Effective Use of Technology.

Background: The effective use of technology is a critical tool for improving learning outcomes and providing teachers with high-quality professional development. Use of concepts, ideas, programming techniques, and computer-assisted text displays that give access to the text for students who cannot access traditional print, including limited-English-proficient children and students with disabilities, is a basic tenet of universal design for learning and can help improve students' literacy and language development and identify and address student learning challenges.

Priority:

　　　　To meet this priority, an applicant must (1) propose to use technology--which may include technology to support principles of universal design for learning (as defined in this notice)--to address student learning challenges; and (2) provide, in its application, an evidence-based (as defined in this notice) rationale that its proposed technology program, practice, or strategy will increase student engagement and achievement or increase teacher effectiveness.

Program Requirements:

Statutory Requirements (see Department of Education Appropriations Act, 2010 (Pub. L. 111-117)). An SEA awarded a grant under this program--

　　　　(a) Must subgrant no less than 95 percent of funds received under this competition to LEAs or, in the case of early literacy, to LEAs or other nonprofit providers of early childhood

education that partner with a public or private nonprofit organization or agency with a demonstrated record of effectiveness in improving the early literacy development of children from birth through kindergarten entry and in providing professional development (as defined in this notice) in early literacy, giving priority to such agencies or other entities serving greater numbers or percentages of disadvantaged students;

(b) Must ensure that at least--

(1) 15 percent of the funds it subgrants to LEAs or other nonprofit providers of early childhood education (SRCL subgranted funds) are used to serve children from birth through age 5;

(2) 40 percent of its SRCL subgranted funds are used to serve students in kindergarten through grade 5; and

(3) 40 percent of its SRCL subgranted funds are used to serve students in middle and high school, including an equitable distribution of funds between middle and high schools;

(c) May reserve up to 5 percent of funds received under this competition for State leadership activities, including technical assistance and training, data collection, reporting, and administration.

Additional Requirements.

The Department establishes the following additional requirements for the FY 2011 competition and any subsequent year in which we make awards from the list of unfunded applications from this competition.

An SEA awarded a grant under this program--

(a) Must develop or update, implement, and continuously improve a comprehensive State literacy plan (as defined in this notice);

(b) Must align the use of Federal and State funds and programs within the SEA and in LEAs in the State, including funds under Title I, Title II-A, and Title III of the Elementary and Secondary Education Act of 1965, as amended (ESEA), and, as appropriate, under the Head Start Act, the Individuals with Disabilities Education Act, and the Carl D. Perkins Career and Technical Education Act of 2006, to support a coherent approach to funding and implementing effective literacy instruction (as defined in this notice) for disadvantaged students;

(c) Must make the process and the results of its review of subgrant applications publicly available, including the procedures the SEA used to review and judge the evidence base and the alignment with State standards for the curricula and materials LEAs propose to use; and

(d) Must ensure that SRCL subgrant funds are used to implement a comprehensive and coherent literacy program that serves students from birth through grade 12, or at any period in the birth through grade 12 continuum as determined by a needs assessment, and includes each of the components of effective literacy instruction and that--

(1) Provides effective professional development in literacy, including in instructional strategies to meet the literacy needs of disadvantaged students such as limited-English-proficient students and students with disabilities, to teachers of reading, English, or language arts, which may also include professional development in literacy for teachers of other subjects and for teachers or instructional providers for children from birth through age five;

(2) Uses curriculum and instructional materials that are aligned with State standards, incorporate the components of effective literacy instruction, and, as appropriate, incorporate technology and principles of universal design for learning to support children and youth with diverse learning needs, including disadvantaged students;

(3) Uses coherent assessment systems that are aligned with State standards and assessments and that include--

(i) Valid and reliable screening measures or strategies;

(ii) Valid and reliable diagnostic and progress-monitoring measures;

(iii) The systematic use of the assessment data to inform instruction, interventions, professional development, and continuous program improvement; and

(iv) Appropriate accommodations necessary to ensure that all children and youth, including disadvantaged students, are reliably and accurately assessed;

(4) Implements interventions to ensure that all children and youth, including both children and youth who have mastered the material ahead of their peers and children and youth struggling with the material, are served appropriately;

(5) Provides language- and text-rich classroom, school, and early learning program environments that engage and motivate children and youth in speaking, listening, reading, and writing; and

(6) Informs continuous improvement by monitoring program implementation and outcomes, including the effectiveness of professional development, and tracking implementation and outcomes at the LEA or early childhood education provider, school, classroom, and student levels.

Program Definitions: In addition to the definitions in the authorizing statute and in 34 CFR 77.1, we establish the following definitions to apply to the FY 2011 competition and any subsequent year in which we make awards from the list of unfunded applicants from this competition:

Comprehensive State literacy plan: The term "comprehensive State literacy plan" means a plan (which may be a component or modification of the plan submitted under the Striving Readers Comprehensive Literacy formula grant program, CFDA 84.371B) that addresses the pre-literacy and literacy needs of children from birth through grade 12, including limited-English-proficient students and students with disabilities; aligns policies, resources, and practices; contains clear instructional goals; and sets high expectations for all students and student subgroups.

Disadvantaged students: The term "disadvantaged students" means children and students at risk of educational failure, such as children and students who are living in poverty, who are limited-English-proficient, who are far below grade level or who are not on track to becoming college- or career-ready by graduation, who have left school before receiving a regular high school diploma, who are at risk of not graduating with a diploma on time, who are homeless, who are in foster care, who are pregnant or parenting teenagers, who have been incarcerated, who are new immigrants, who are migrant, or who have disabilities.

Effective literacy instruction: The term "effective literacy instruction" means developmentally appropriate, explicit, evidence-based, and systematic instruction that provides students with--

(i) Early development and grade-level mastery of (A) oral language skills, both listening and speaking, (B) phonological awareness, using a wide vocabulary, (C) conventional forms of grammar, and (D) academic language;

(ii) The ability to read regularly spelled words and high-frequency irregularly spelled words with automaticity and to decode regularly spelled unfamiliar words accurately, using phonemic awareness, print awareness, alphabet knowledge, and knowledge of English spelling patterns;

(iii) The ability to read texts accurately, fluently, and with comprehension, relying on knowledge of the vocabulary in those texts and of the background information that the students possess;

(iv) The ability to read with a purpose and the capacity to differentiate purposes and to select and apply comprehension strategies appropriate to achieving the purpose;

(v) An understanding of, and ability to adapt to, the varying demands of different genres, formats, and types of texts across the core content areas in order to comprehend texts of appropriate levels of complexity and content, including texts necessary for mastery of grade-level standards;

(vi) The ability to effectively access, critically evaluate, and appropriately synthesize information from a variety of sources and formats;

(vii) The development and maintenance of a motivation to read and write, as reflected in habits of reading and writing regularly and of discussing one's reading and writing with others; and

(viii) The ability to write clearly, accurately, and quickly so as to communicate ideas and deepen comprehension in ways that fit purpose, audience, occasion, discipline, and format; adhere to conventions of spelling and punctuation; and benefit from revision so as to improve clarity, coherence, logical development, and the precise use of language.

With respect to programs serving children birth through age five, the term "effective literacy instruction," means supporting young children's early language and literacy development through developmentally appropriate, explicit, intentional, and systematic instruction, in language- and literacy-rich environments, that provides children with foundational skills and dispositions for literacy, such as--

(i) Rich vocabulary development;

(ii) Expressive language skills;

(iii) Receptive language skills;

(iv) Comprehension;

(v) Phonological awareness;

(vi) Print awareness;

(vii) Alphabet knowledge;

(viii) Book knowledge;

(ix) Emergent writing skills;

(x) Positive dispositions toward language and literacy-related activities; and

(xi) Other skills that correlate with later literacy achievement.

Evidence-based: The term "evidence–based" means--

(i) Based on a comprehensive, unbiased review and weighing of one or more evaluation studies that--

(A) Have been carried out consistent with the principles of scientific research[2];

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[2] For purposes of this notice, the term "principles of scientific research" has the meaning provided in section 200(18) of the Higher Education Act of 1965, as amended; that is, it means principles of research that--

(A) apply rigorous, systematic, and objective methodology to obtain reliable and valid knowledge relevant to education activities and programs;

(B) present findings and make claims that are appropriate to, and supported by, the methods that have been employed; and

(C) include, appropriate to the research being conducted--

(viii) use of systematic, empirical methods that draw on observation or experiment;

(ix) use of data analyses that are adequate to support the general findings;

(x) reliance on measurements or observational methods that provide reliable and generalizable findings;

(xi) strong claims of causal relationships, only with research designs that eliminate plausible competing explanations for observed results, such as, but not limited to, random-assignment

(B) Have strong internal and external validity; and

(C) Support the direct attribution of one or more outcomes to the program, practice, or policy; or

(ii) In the absence of one or more studies described in paragraph (i) of this definition, based on a comprehensive, unbiased review and weighing of data analysis, research, or one or more evaluation studies of relevant programs, policies, or practices, that--

(A) Were carried out consistent with the principles of scientific research; and

(B) Are accompanied by strategies to generate more robust evidence over time through research, evaluation, and data analysis, including the measurement of performance with reliable process and outcome indicators and the implementation of evaluations with strong internal and external validity where feasible and appropriate.

Privacy requirements: The term "privacy requirements" means the requirements of the Family Educational Rights and Privacy Act (FERPA), 20 U.S.C. 1232g, and its implementing regulations in 34 CFR part 99, the Privacy Act, 5 U.S.C. 552a, as well as all applicable Federal, State, and local requirements regarding privacy.

Professional development: The term "professional development" means coordinated and aligned activities that are designed to increase the effectiveness of educators, which may include teachers, principals, other school leaders, specialized instructional support personnel, paraprofessionals, early childhood educators, and other school staff, and that--

(i) Are based, to the extent possible, on an analysis of data and evidence that indicates the needs of students and teachers;

(ii) Are evidence-based and implemented with meaningful tracking of impact on educator practices and effectiveness;

(iii) Foster individual and collective responsibility for improving student academic achievement;

(iv) Align with State academic content standards or State early learning standards, as appropriate, with LEA and school or early learning program improvement goals, and with school or early learning program instructional materials;

(v) Focus on understanding what and how students learn and on how to address students' learning needs, including by reviewing and analyzing student work and achievement data and adjusting instructional strategies, assessments, and materials based on that review and analysis;

(vi) Where appropriate, focus on improving both content knowledge and pedagogical skill;

(vii) Set clear educator learning goals based on student and teacher learning needs;

(viii) Address educator needs identified through evaluation, including by providing support for teachers and principals who earn evaluation ratings indicating the need for opportunities to improve their knowledge and skills;

(ix) Are designed to provide educators with the instructional strategies necessary to meet the needs of disadvantaged students, including limited-English-proficient students and students with disabilities;

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experiments;

(xii)   presentation of studies and methods in sufficient detail and clarity to allow for replication or, at a minimum, to offer the opportunity to build systematically on the findings of the research;

(xiii)   acceptance by a peer-reviewed journal or critique by a panel of independent experts through a comparably rigorous, objective, and scientific review; and

(xiv) consistency of findings across multiple studies or sites to support the generality of results and conclusions.

(x) Are active, sustained, intensive, and classroom-or early learning program-focused in order to have a positive and lasting impact on classroom or early learning program instruction and educator effectiveness;

(xi) Are, in general, provided through school- or early learning program-based, job-embedded opportunities for educators to work collaboratively and transfer new knowledge into classroom or early learning program practice, such as through classroom coaching, data analysis teams, observations of classroom practice, and the provision of common planning time; and

(xii) Are, as appropriate--

(A) Designed to improve educators' ability to collect, manage, and analyze data to improve instruction, student support services, decision-making, school improvement efforts, early learning program quality improvement efforts, and accountability;

(B) Designed to provide educators with the knowledge and skills to work more effectively with families;

(C) Provided through workshops, courses, institutes, on-line learning, and other activities that advance and supplement school-based or early learning program-based professional development;

(D) Implemented with the involvement of external experts with relevant expertise, including content expertise; and

(E) Designed to provide joint professional development activities, for school staff and other early childhood educators in publicly funded center-based programs, that address the transition to elementary school, including issues related to school readiness across all major domains of early learning.

Universal design for learning (UDL): The term "universal design for learning", as defined under section 103 of the Higher Education Act of 1965, as amended, means a scientifically valid framework for guiding educational practice that--

(i) Provides flexibility in the ways information is presented, in the ways students respond or demonstrate knowledge and skills, and in the ways students are engaged; and

(ii) Reduces barriers in instruction, provides appropriate accommodations, supports, and challenges, and maintains high achievement expectations for all students, including students with disabilities and students who are limited-English-proficient.

Waiver of Proposed Rulemaking: Under the Administrative Procedure Act (5 U.S.C. 553) the Department generally offers interested parties the opportunity to comment on proposed priorities, requirements, definitions, and selection criteria. Section 437(d)(1) of GEPA, however, allows the Secretary to exempt from rulemaking requirements, regulations governing the first grant competition under a new or substantially revised program authority. This is the first grant competition for this program as provided under the Consolidated Appropriations Act, 2010 (Pub. L. 111-117) under the authority in section 1502 of the ESEA and therefore qualifies for this exemption. To receive public input on the structure of this competition, the Department held a public input meeting on November 19, 2010. This full-day meeting featured two panels of experts and elicited over 50 comments, both written and offered in person. In order to ensure timely grant awards, the Secretary has decided to forgo public comment on the priorities, additional requirements, definitions, and selection criteria under section 437(d)(1) of GEPA. These priorities, additional requirements, definitions, and selection criteria will apply to the FY 2011 grant competition and any subsequent year in which we make awards from the list of unfunded applicants from this competition.

Program Authority: Consolidated Appropriations Act, 2010 (Pub. L. 111-117) and 20 U.S.C. 6492.

Applicable Regulations: The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 74, 75, 77, 79, 80, 81, 82, 84, 85, 86, 97, 98, and 99.
Note: The regulations in 34 CFR part 79 apply to all applicants except federally recognized Indian tribes.
II. Award Information
Type of Award: Discretionary grants.

Estimated Available Funds: $178,000,000.

      Contingent upon the availability of funds and the quality of applications, we may make additional awards in FY 2012 from the list of unfunded applicants from this competition.
Estimated Range of Awards: $3,000,000-$70,000,000.

Estimated Average Size of Awards: $25,000,000.

Estimated Number of Awards: 3-18.
Maximum Award: In order to balance the goal of stimulating comprehensive literacy reform by funding high-quality plans with the goal of recognizing a number of States that can serve as models for other States, the Department has developed mandatory budget limits by category of SEA awarded a grant under this program. These limits were determined by ranking every State according to its share of the national population of children in poverty ages 5 through 17 based on data from "Table 1: 2009 Poverty and Median Income Estimates – States" released by the Small Area Estimates Branch of the U.S. Census Bureau in December, 2010. The Department identified the natural breaks in the data and then developed budget ranges for each category taking into consideration the total amount of funds available for awards under this program. These budget limits are mandatory for the SRCL competition. SRCL grantees will serve as models of best practices in comprehensive literacy education across the States and the country; accordingly, we want to ensure that the Secretary can fund, at an adequate level, a sufficient number of high-quality applications with available funding.
      For the FY 2011 competition and any subsequent year in which we make awards from the list of unfunded applicants from this competition, the applicant's proposed budget must conform to the following budget limits:
      Category 1--up to $70 million: California, Texas.
      Category 2--up to $50 million: Florida, Georgia, Illinois, Michigan, New York, North Carolina, Ohio, Pennsylvania, Puerto Rico.
   Category 3--up to $30 million: Alabama, Arizona, Indiana, Kentucky, Louisiana, Mississippi, Missouri, New Jersey, South Carolina, Tennessee, Virginia, Washington.
   Category 4--up to $15 million: Arkansas, Colorado, Connecticut, Iowa, Kansas, Maryland, Massachusetts, Minnesota, Nevada, New Mexico, Oklahoma, Oregon, West Virginia, Wisconsin, Utah.
   Category 5--up to $8 million: Alaska, Delaware, District of Columbia, Hawaii, Idaho, Maine, Montana, Nebraska, New Hampshire, North Dakota, Rhode Island, South Dakota, Vermont, Wyoming.
   While each SEA applying for funds under this competition should develop a budget that is appropriate for the plan it outlines in its application, we will not consider an application if its budget request exceeds the budget limit provided in this notice for the applicant's category.
Note: The Department is not bound by any estimates in this notice.
Project Period: Up to 60 months.

Budget Periods and Continuation Grants: Grants awarded under this competition may be for a project period of up to five years. Depending on the availability of funds, the Department will make continuation awards for years two and three of the project period in accordance with section 75.253 of EDGAR (34 CFR 75.253). However, to ensure that continuation funds will be used only for high-quality and effective projects, in determining whether to award continuation grants for years four and five the Department will consider the following factors: (1) whether funds are available; (2) whether the grantee meets the requirements in section 75.253 of EDGAR; and (3) whether the grantee is achieving the intended outcomes of the grant and shows improvement against baseline measures on the following indicators:

(a) Demonstration of progress in the implementation of a comprehensive State literacy plan.

(b) Demonstration of increased alignment of Federal and State funds and programs to support a coherent approach to effective literacy instruction.

(c) Demonstration that it has provided high-quality technical assistance to subgrantees and implemented a rigorous monitoring process to ensure that SRCL subgrant funds are used to support effective literacy instruction.

(d) Demonstration that it collects, analyzes, and uses high-quality and timely data, especially on program participant outcomes, to improve instructional practices, policies, and student outcomes in early learning programs and in schools.

(e) Demonstration of improvement on the program performance measures as set out in Performance Measures, part 5 of section VI of this notice, to the extent such data is available.

III. Eligibility Information

1.   Eligible Applicants: SEAs.

2. Cost Sharing or Matching: This competition 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 at: www2.ed.gov/programs/strivingreaders-literacy/applicant.html, or by contacting Miriam Lund, U.S. Department of Education, 400 Maryland Avenue, SW., room 3E245, Washington, DC 20202-6200. Telephone: (202) 401-2871 or by e-mail: striving.readers.comprehensive.literacy@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 accessible format (e.g., braille, large print, audiotape, or computer diskette) by contacting the program contact person listed in this section.

2. Content and Form of Application Submission: Requirements concerning the content of an application, together with the forms you must submit, are in the application package for this competition.

Deadline for Notice of Intent to Apply: [INSERT DATE 25 DAYS AFTER DATE OF PUBLICATION IN THE FEDERAL REGISTER].

Page Limit: The application narrative is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. You must limit the application narrative to 50 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.
> • Use one of the following fonts: Times New Roman, Courier, Courier New, or Arial.
> Our reviewers will not read any pages of your application that exceed the page limit.
> 3. Submission Dates and Times:

Applications Available: [INSERT DATE OF PUBLICATION IN THE FEDERAL REGISTER].

Deadline for Notice of Intent to Apply: [INSERT DATE 25 DAYS AFTER DATE OF PUBLICATION IN THE FEDERAL REGISTER].

We will be able to develop a more efficient process for reviewing grant applications if we are aware of the number of applicants that intend to apply for funding under this competition. Therefore, the Secretary strongly encourages each potential applicant to notify us of the applicant's intent to submit an application for funding by sending a short e-mail message providing the applicant organization's name and address. The Secretary requests that this e-mail be sent to striving.readers.comprehensive.literacy@ed.gov with "Intent to Apply" in the e-mail subject line. Applicants that do not provide this e-mail notification may still apply for funding.

Deadline for Transmittal of Applications: [INSERT DATE 60 DAYS AFTER DATE OF PUBLICATION IN THE FEDERAL REGISTER].

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. 7. Other Submission Requirements of 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 of 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: [INSERT DATE 120 DAYS AFTER DATE OF PUBLICATION IN THE FEDERAL REGISTER].

4. Intergovernmental Review: This competition 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 in the application package for this competition.

5. Funding Restrictions: We reference regulations outlining funding restrictions in the Applicable Regulations section of this notice.

6. Data Universal Numbering System Number, Taxpayer Identification Number, and Central Contractor Registry: To do business with the Department of Education, you must--

a. Have a Data Universal Numbering System (DUNS) number and a Taxpayer Identification Number (TIN);

b. Register both your DUNS number and TIN with the Central Contractor Registry (CCR), the Government's primary registrant database;

c. Provide your DUNS number and TIN on your application; and

d. Maintain an active CCR registration with current information while your application is under review by the Department and, if you are awarded a grant, during the project period.

You can obtain a DUNS number from Dun and Bradstreet. A DUNS number can be created within one business day.

If you are a corporate entity, agency, institution, or organization, you can obtain a TIN from the Internal Revenue Service. If you are an individual, you can obtain a TIN from the Internal Revenue Service or the Social Security Administration. If you need a new TIN, please allow 2-5 weeks for your TIN to become active.

The CCR registration process may take five or more business days to complete. If you are currently registered with the CCR, you may not need to make any changes. However, please make certain that the TIN associated with your DUNS number is correct. Also note that you will need to update your CCR registration on an annual basis. This may take three or more business days to complete.

In addition, if you are submitting your application via Grants.gov, you must (1) be designated by your organization as an Authorized Organization Representative (AOR); and (2) register yourself with Grants.gov as an AOR. Details on these steps are outlined in the Grants.gov 3-Step Registration Guide (see www.grants.gov/section910/Grants.govRegistrationBrochure.pdf).

7. <u>Other Submission Requirements</u>: 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. <u>Electronic Submission of Applications</u>.

Applications for grants under the Striving Readers Comprehensive Literacy Grant program, CFDA number 84.371C, must be submitted electronically using the Governmentwide Grants.gov Apply site at 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 <u>and</u> 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 <u>Exception to Electronic Submission Requirement</u>.

You may access the electronic grant application for Striving Readers Comprehensive Literacy Grant program at 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 84.371, not 84.371C).

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 4:30:00 p.m., Washington, DC time, on the application deadline date. Except as otherwise noted in this section, we will not accept your application if it is received--that is, date and time stamped by the Grants.gov system--after 4:30:00 p.m., Washington, DC time, on the application deadline date. We do not consider an application that does not comply with the deadline requirements. 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 4:30:00 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 under News and Events on the Department's G5 system home page at http://www.G5.gov.

• 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.

• You must attach any narrative sections of your application as files in a .PDF (Portable Document) format only. If you upload a file type other than a .PDF 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 4:30:00 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 4:30:00 p.m., Washington, DC time, on the application deadline date, please contact the person listed under For Further Information Contact in section VII of 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 4:30:00 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: Miriam Lund, U.S. Department of Education, 400 Maryland Avenue, SW., room 3E245, Washington, DC 20202.

FAX: (202) 260-8969.

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 following address:

U.S. Department of Education
Application Control Center
Attention: (CFDA Number 84.371C)
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.

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 84.371C)
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 4:30:00 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.

V. Application Review Information

1. Selection Criteria: The maximum score for all of the selection criteria is 100 points. The maximum score for each criterion and subcriterion is indicated in parentheses. The selection criteria for this competition are as follows:

 (A) Quality of State-level activities. (37 points) In determining the quality of State-level activities, the Secretary considers:

(i) How the SEA will carry out the required State-level activities (described in the Additional Requirements section of this notice) and how it will align those activities with its comprehensive State literacy plan (10 points).

(ii) The SEA's goals for improving student literacy outcomes throughout the State for all students (e.g., limited-English-proficient students and students with disabilities), including a description of the data (which may include data gathered through a needs assessment) that the SEA has considered or will consider and a clear and credible path that the SEA will take to achieve these goals with the support of its LEAs (8 points).

(iii) How the SEA will provide technical assistance and support to its SRCL subgrantees (and, at its discretion, to other LEAs or early childhood education providers) to enable them to implement a high-quality comprehensive literacy program and to improve student achievement in core academic subjects (5 points).

(iv) How the SEA will evaluate the State's progress in improving achievement in literacy for children and youth from birth through grade 12, including disadvantaged students, including: (1) whether the evaluation will be conducted by an independent evaluator (whose role in the project is limited solely to conducting the evaluation); (2) whether the evaluation will use methods that are thorough, feasible, and appropriate to the objectives of the proposed project; and (3) how the SEA will use evidence to inform and continuously improve the design and implementation of its activities (10 points).

(v) How the SEA will disseminate information on project outcomes, disaggregated by student subgroup, and in formats that are easily understood by, and accessible to, the public, and how the SEA will make that information useful to varied groups (such as families, educators, researchers, other experts, early childhood education providers, and State leaders) (4 points).

(B) Quality of the State subgrant competition. (28 points) In determining the quality of the applicant's proposed SRCL subgrant competition, the Secretary considers:

(i) The extent to which the SEA will run a rigorous, high-quality competition for subgrants, including how it will review and judge:

(a) The LEA's or early childhood education provider's capacity to successfully implement its proposal (3 points).

(b) The extent to which each SRCL subgrant applicant has proposed a comprehensive high-quality literacy program that meets all of the requirements set out in paragraph (d) of the Additional Requirements section in this notice and that (8 points):

(1) Addresses the needs of disadvantaged students and proposes to implement activities in schools and early learning programs with the highest levels of need and capacity for improvement.

(2) Is informed by a needs assessment described in the application and is designed to support effective teaching and to improve student achievement of struggling readers.

(3) Involves other agencies, nonprofit organizations, community-based organizations, and families in activities that promote the implementation of effective literacy instruction for disadvantaged students.

(c) The extent to which each SRCL subgrant applicant demonstrates that it will implement a coherent strategy to improve literacy instruction that aligns activities under the SRCL subgrant with literacy instruction supported with other Federal funds, including with funds the entity receives under Title I, Title II-A, and Title III of the ESEA and, as appropriate, the Head Start Act, the Individuals with Disabilities Education Act, and the Carl D. Perkins Career and Technical Education Act of 2006, and State and local funds (2 points).

(ii) The extent to which the SEA will give priority to LEAs or providers of early childhood education that propose to serve high-poverty schools or a high-poverty population, based on a definition of poverty and process for applying the priority provided by the State (6 points).

(iii) The extent to which the SEA will give priority to LEAs or providers of early childhood education whose applications are supported by the strongest available evidence (4 points).

(iv) The extent to which the SEA will develop or update a process, or use an existing process, to review and judge the evidence base and alignment with State standards for the curricula and materials that LEAs propose to use in implementing their subgrants, and how the SEA will make the process and results of any such review publicly available (5 points).

(C) Project management. (15 points) The Secretary considers the following factors in determining the quality of the project management plan:

(i) The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines, and milestones for accomplishing project tasks (6 points).

(ii) The qualifications, including relevant training and experience, of key personnel (5 points).

(iii) The extent to which the State will ensure a diversity of perspectives in the design and implementation of the proposed project, including those of: families, teachers, early childhood education professionals, officials from other State and local agencies, Head Start

Advisory Councils, professional organizations, institutions of higher education, community-based organizations, and libraries (4 points).

(D) Adequacy of resources. (20 points) The Secretary considers the following factors in determining the adequacy of resources for the proposed project:

(i) The extent to which the costs described in the SEA's budget are reasonable in relation to the number of objectives, design, and potential significance of the proposed project (10 points).

(ii) The quality of the SEA's plan to ensure that SRCL subgrant funds are allocated as follows:

• At least 15 percent to serve children from birth through age five.
• At least 40 percent to serve students in kindergarten through grade five.
• At least 40 percent to serve students in middle and high school, through grade 12, including an equitable distribution of funds between middle and high schools (4 points).

(iii) The extent to which the SEA will use the grant to leverage other State and Federal funds in order to maximize the impact of the grant and how it will support LEAs and early childhood education providers in integrating funds with other local, State, and Federal funds and in developing a plan for sustaining funding after the end of the subgrant (3 points).

(iv) The extent to which the SEA will award SRCL subgrants of sufficient size to support projects that improve instruction for a significant number of students in the high-need schools or early learning programs serving children birth through five that the SRCL subgrantee would serve (3 points).

2. Review and Selection Process: We remind potential applicants that in reviewing applications in any discretionary grant competition, the Secretary may consider, under 34 CFR 75.217(d)(3), the past performance of the applicant in carrying out a previous award, such as the applicant's use of funds, achievement of project objectives, and compliance with grant conditions. The Secretary may also consider whether the applicant failed to submit a timely performance report or submitted a report of unacceptable quality.

In addition, in making a competitive grant award, the Secretary also requires various assurances including those applicable to Federal civil rights laws that prohibit discrimination in programs or activities receiving Federal financial assistance from the Department of Education (34 CFR 100.4, 104.5, 106.4, 108.8, and 110.23).

3. Special Conditions: Under 34 CFR 74.14 and 80.12, the Secretary may impose special conditions on a grant if the applicant or grantee is not financially stable; has a history of unsatisfactory performance; has a financial or other management system that does not meet the standards in 34 CFR parts 74 or 80, as applicable; has not fulfilled the conditions of a prior grant; or is otherwise not responsible.

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 of this notice.

We reference the regulations outlining the terms and conditions of an award in the Applicable Regulations section of 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. Transparency: After awards are made under this competition, all of the submitted applications (both successful and unsuccessful), together with reviewer scores and comments for those applications, will be posted on the Department's Web site.

4. Reporting: (a) If you apply for a grant under this competition, you must ensure that you have in place the necessary processes and systems to comply with the reporting requirements in 2 CFR part 170 should you receive funding under the competition. This does not apply if you have an exception under 2 CFR 170.110(b).

(b) 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 www.ed.gov/fund/grant/apply/appforms/appforms.html.

5. Performance Measures: The Department has established the following Government Performance and Results Act of 1993 (GPRA) performance measures for the Striving Readers Comprehensive Literacy grant program:

(1) The percentage of participating 4-year-old children who achieve significant gains in oral language skills.

(2) The percentage of participating 5th-grade students who meet or exceed proficiency on State English language arts assessments under section 1111(b)(3) of the ESEA.

(3) The percentage of participating 8th-grade students who meet or exceed proficiency on State English language arts assessments under section 1111(b)(3) of the ESEA.

(4) The percentage of participating high school students who meet or exceed proficiency on State English language arts assessments under section 1111(b)(3) of the ESEA.

Alternative Measures

All States are required to report on Performance Measure 1 above. States have the option of either reporting on Performance Measures 2, 3, and 4 above, or reporting on the following growth measures:

(2) The percentage of participating 5th-grade students who meet or exceed proficiency on State English language arts assessments under section 1111(b)(3) of the ESEA, including those students who demonstrate adequate growth under the State's Department-approved growth model and are counted as meeting or exceeding proficiency for purposes of accountability determinations.

(3) The percentage of participating 8th-grade students who meet or exceed proficiency on State English/language arts assessments under section 1111(b)(3) of the ESEA, including those students who demonstrate adequate growth under the State's Department-approved growth model and are counted as meeting or exceeding proficiency for purposes of accountability determinations.

(4) The percentage of participating high school students who meet or exceed proficiency on the State English language arts assessments under section 1111(b)(3) of the ESEA, including those students who demonstrate adequate growth under the State's Department-approved growth model and are counted as meeting or exceeding proficiency for purposes of accountability determinations.   All of the performance measures described in this section will include data disaggregated for disadvantaged students, including limited-English-proficient students and students with disabilities.

The measures described in this section constitute the Department's indicators of success for this program. Consequently, we advise an applicant for a grant under this program to give

careful consideration to these measures in conceptualizing the approach and evaluation for its proposed project. Each grantee will be required to provide, in its annual performance and final reports, data about its progress in meeting these measures.

      6. <u>Continuation Awards</u>: In making a continuation award, the Secretary may consider, under 34 CFR 75.253, the extent to which a grantee has made "substantial progress toward meeting the objectives in its approved application." This consideration includes the review of a grantee's progress in meeting the targets and projected outcomes in its approved application, and whether the grantee has expended funds in a manner that is consistent with its approved application and budget. In making a continuation grant, the Secretary also considers whether the grantee is operating in compliance with the assurances in its approved application, including those applicable to Federal civil rights laws that prohibit discrimination in programs or activities receiving Federal financial assistance from the Department (34 CFR 100.4, 104.5, 106.4, 108.8, and 110.23). In addition, in making continuation awards for years four and five, the Department will consider whether the grantee is achieving the intended outcomes of the grant and shows improvement against baseline data on specific indicators (listed in this notice under <u>Budget Periods and Continuation Grants</u>).

VII. Agency Contact

<u>For Further Information Contact</u>: Miriam Lund, U.S. Department of Education, 400 Maryland Avenue, SW., room 3E245, Washington, DC 20202-6200. Telephone: (202) 401-2871 or by e-mail: striving.readers.comprehensive.literacy@ed.gov.

      If you use a TDD, call the FRS, toll free, at 1-800-877-8339.

VIII. Other Information

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

<u>Electronic Access to This Document</u>: You can view this document, as well as all other documents of this Department published in the <u>Federal Register</u>, in text or Adobe Portable Document Format (PDF) on the Internet at the following site: www.ed.gov/news/fedregister. To use PDF you must have Adobe Acrobat Reader, which is available free at this site.

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

Dated:

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                         Thelma Meléndez de Santa Ana,
                         <u>Assistant Secretary for Elementary and Secondary Education</u>.

Program Statute

Consolidated Appropriations Act (P. L. 11-117, the Act) under section 1502 of the Elementary and Secondary Education Act (ESEA) for the Striving Readers program

Provided further, that $200,000,000 shall be available under section 1502 of the ESEA for a comprehensive literacy development and education program to advance literacy skills, including pre-literacy skills, reading, and writing, for students from birth through grade 12, including limited-English-proficient students and students with disabilities, of which one-half of 1 percent shall be reserved for the Sectary of the Interior for such a program at schools funded by the Bureau of Indian Education, one-half of 1 percent shall be reserved for grants to the outlying areas for such a program, $10,000,000 shall be reserved for formula grants to States based on each State's relative share of funds under part A of title I of the ESEA for fiscal year 2009 (excluding funds awarded under the American Recovery and Reinvestment Act of 2009), except that no State shall receive less than $150,000, to establish or support a State Literacy Team with expertise in literacy development and education for children from birth through grade 12 to assist the State in development a comprehensive literacy plan, up to 5 percent may be reserved for national activities, and the remainder shall be used to award competitive grants to State educational agencies for such a program, of which a State educational agency may reserve up to 5 percent for State leadership activities, including technical assistance and training, data collection, reporting, and administration, and shall subgrant not less than 95 percent to local educational agencies or, in the case of early literacy, to local educational agencies or other nonprofit providers of early childhood education that partner with a public or private nonprofit organization or agency with a demonstrated record of effectiveness in improving the early literacy development of children from birth through kindergarten entry and in providing professional development in early literacy, giving priority to such agencies or other entities serving greater numbers or percentages of disadvantaged children: Provided further, That the State educational agency shall ensure that at least 15 percent of the subgranted funds are used children from birth through age 5, 40 percent are used to serve students in kindergarten through grade 5, and 40 percent are used to serve students in middle and high school including an equitable distribution of funds between middle and high schools: Provided further, That eligible entities receiving subgrants from State educational agencies shall use such funds for services and activities that have the characteristics of effective literacy instruction through professional development, screening and assessment, targeted interventions for students reading below grade level and other research-based methods of improving classroom instruction and practice.