

U.S. Department of Education  
Office of Innovation and Improvement

**FY 2005  
School Leadership  
Application for Grants**



Form Approved  
OMB No.  
CFDA Number: 84.363A

**Dated Material – OPEN IMMEDIATELY  
Closing Date: April 15, 2005**

## **Paperwork Burden Statement**

According to the Paperwork Reduction Act, 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 1890-0009. The time required to complete this information collection is estimated to average 20 hours per response, including the time to review instruction, search existing data resources, and gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, DC 20202-5942. If you have comments or concerns regarding the status of your individual submission of this form, write directly to:

School Leadership Program  
Office of Innovation and Improvement  
U.S. Department of Education  
400 Maryland Ave. SW Room 4W318  
Washington, DC 20202-5942

February 22, 2005

Dear Applicant:

Thank you for your interest in the School Leadership program (SLP). Your interest in applying for a grant under this program comes at a critical time in our national effort to ensure that schools are led by talented individuals who are prepared with the knowledge, skills and attributes required to ensure that every school is high performing.

There is compelling evidence that leadership is an important factor in effecting student learning, and that the effect is even greater in high-poverty schools. Yet, these are the schools that tend to have higher turnover rates of principals and assistant principals, and that have the greatest challenges in recruiting candidates to fill those positions. We know that successful principals promote a culture of achievement in their schools. These principals work to ensure that teachers and other instructional staff have the resources and other support they need to foster high academic achievement in all students. If we are to attain a high level of teacher and student performance in all schools, we must ensure that all schools have effective principals. The purpose of the SLP is to provide resources to assist local educational agencies (LEAs) in greatest need to develop or enhance innovative programs that recruit, prepare, and support talented individuals to become principals and assistant principals in their schools.

Because we believe that effective school leadership is important to improving student learning outcomes, we are very interested in receiving applications that show how the key stakeholders in each participating LEA were involved in the design and development of the proposed project, and how the project would be an integral component of each LEA's plan for improving student achievement. We are also interested in receiving applications that propose innovative strategies to bring highly qualified individuals who have a wide range of leadership experiences from both within and outside of education into school leadership positions.

Please review the entire application package carefully before preparing and submitting your application. It includes all the forms and instructions that applicants will need to apply for a Fiscal Year 2005 SLP grant.

If you desire further information concerning this program or the application process, please contact me in writing at the U.S. Department of Education, Office of Innovation and Improvement, School Leadership Program, 400 Maryland Avenue, SW, Room 4W226, Washington, DC 20202. You may also contact me at 202-260-2614, or by e-mail at [SLP@ed.gov](mailto:SLP@ed.gov).

Again, thank you for your interest in the School Leadership program and your commitment to helping American schools recruit and retain talented and qualified school leaders.

Sincerely,

Peggi Zelinko  
School Leadership Program

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### **Section A: Legal & Regulatory Documents**

- Federal Register- Notice Inviting Applications for New Awards
- Authorizing Statute & Definition of High-Need Local Educational Agency

**Federal Register- Notice Inviting Applications for New Awards**

[Notice Inviting Applications](#) for New Awards for Fiscal Year (FY) 2005 (February 22, 2005)  [PDF](#) (69K).

[Federal Register: February 22, 2005 (Volume 70, Number 34)]

[Notices]

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From the Federal Register Online via GPO Access [wais.access.gpo.gov]

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DEPARTMENT OF EDUCATION

Office of Innovation and Improvement

Overview Information; **School Leadership Program**; Notice Inviting Applications for New Awards for Fiscal Year (FY) 2005

Catalog of Federal Domestic Assistance (CFDA) Number: 84.363A.

**Dates**

Applications Available: February 22, 2005.

Deadline for Notice of Intent to Apply: March 24, 2005.

Deadline for Transmittal of Applications: April 15, 2005.

Deadline for Intergovernmental Review: June 14, 2005.

Eligible Applicants: High-need local educational agencies (LEAs), consortia of high-need LEAs, or partnerships that consist of at least one high-need LEA and at least one nonprofit organization (which may be a community- or faith-based organization) or

institution of higher education. (See section III. Eligibility Information, 3. Other: Definition of "High-Need LEA" and other Eligibility Information) in this notice.

Estimated Available Funds: \$12 million.

Estimated Range of Awards: \$250,000-\$750,000.

Estimated Average Size of Awards: \$500,000.

Estimated Number of Awards: 24.

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

Project Period: Up to 36 months.

Full Text of Announcement

## **I. Funding Opportunity Description**

Purpose of Program: The **School Leadership program** is designed to assist high-need LEAs in the development, enhancement, or expansion of innovative programs to recruit, train, and mentor principals (including assistant principals) to serve in high-need schools through such activities as:

Providing financial incentives to aspiring new principals;

Providing stipends to principals who mentor new principals;

Carrying out professional development programs in instructional leadership and management; and

Providing incentives that are appropriate for teachers or individuals from other fields who want to become principals and that are effective in retaining new principals.

Priorities: Under this competition we are particularly interested in applications that address the following priorities.

Invitational Priorities: For FY 2005 these priorities are invitational priorities. Under 34 CFR 75.105(c)(1) we do not give an application that meets these invitational priorities a competitive or absolute preference over other applications.

These priorities are:

Invitational Priority 1--Commitment from the LEA. To successfully meet the purpose of this program and to develop institutional capacity and sustainability, projects need the full support of each participating high-need LEA. Therefore, the Secretary strongly encourages applicants to develop strategies for maximizing the involvement of each

participating LEA in the project's design, development and implementation. These strategies, for example, might focus on ensuring that--

The proposed project is part of an already well-defined and articulated district-wide strategy for improving student achievement in each participating high-need LEA;

Each participating LEA's superintendent and his or her staff play key roles in identifying the competencies that program participants need to know and demonstrate, and use those competencies to implement and build the training program;

Each participating LEA has established procedures for placing participants in part-time or full-time leadership positions or residencies in high-need schools as part of their training and preparation; and

Each participating LEA is firmly committed to hiring successful program completers.

Invitational Priority 2--Innovative approaches to recruiting and preparing school leaders through alternative routes. Over the next five years the number of vacancies among principals and other school leaders is expected to grow by 20 percent; filling these positions will be particularly challenging for rural and urban districts, which tend to receive fewer applications for open positions.

Studies show that there is no overall shortage of candidates with the credentials that States require for school principals. However, those same studies indicate that most of these candidates typically acquired their credentials in order to obtain salary increases or attain an advanced degree, and not necessarily because of a strong personal commitment to becoming leaders of their schools and school communities.

The Department recognizes that some States have addressed the need to increase the pool of candidates who are committed to becoming school leaders in high-need LEAs and schools, in particular by making available alternative routes to meeting requirements for certification or licensure as a school principal or assistant principal. The Secretary strongly encourages eligible entities in States with these approved alternative routes to submit applications that propose to recruit individuals of diverse professional backgrounds who can take advantage of the alternative routes, and then create incentives for these individuals to participate in the program and to take leadership positions in high-need schools that face the greatest challenges.

Applicants may choose to address one or more of these invitational priorities within their responses to the selection criteria.

Program Authority: 20 U.S.C. 6651(b).

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.

Note: The regulations in 34 CFR part 86 apply to institutions of higher education only.

## **II. Award Information**

Type of Award: Discretionary grants.

Estimated Available Funds: \$12 million.

Estimated Range of Awards: \$250,000-\$750,000.

Estimated Average Size of Awards: \$500,000.

Estimated Number of Awards: 24.

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

Project Period: Up to 36 months.

## **III. Eligibility Information**

1. Eligible Applicants: High-need LEAs, consortia of high-need LEAs, or partnerships that consist of at least one high-need LEA and at least one nonprofit organization (which may be a community- or faith-based organization) or institution of higher education. Applicants are expected to identify and confirm in their applications that the participating LEA(s) meet the definition of "high-need" in section 2102(3) of the ESEA, as reauthorized by the No Child Left Behind Act of 2001. (See section III. Eligibility Information, 3. Other: Definition of "High-Need LEA" and other Eligibility Information of this notice for the definition of high-need LEA.)

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

3. Other: Definition of "High-Need LEA" and other Eligibility

Information. An eligible application must propose a project that benefits one or more "high-need LEAs." As defined in section 2102(3) of the ESEA, the term "high-need LEA" is an LEA--

(a)(1) That serves not fewer than 10,000 children from families with incomes below the poverty line, or (2) for which not less than 20 percent of the children served by the LEA are from families with incomes below the poverty line; and

(b) For which there is (1) a high percentage of teachers not teaching in the academic subjects or grade levels the teachers were trained to teach, or (2) a high percentage of teachers with emergency, provisional, or temporary certification or licensing.

So that the Department may be able to confirm the eligibility of the LEAs that projects propose to serve, applicants are expected to include information in their applications that demonstrates that each participating LEA in the project is a high-need LEA, as defined in section 2102(3) of the ESEA. Generally, this information should be based on the most recent available data on the number of children from families with incomes below the poverty line that the LEA serves. In addition, when presenting evidence to support that each participating LEA meets the definition of a high-need LEA, an application should consider the following.

The Department is not aware of any consistent available LEA data--other than data periodically gathered by the U.S. Census Bureau--that would show that an LEA serves the required number or percentage of children (individuals ages 5 through 17) from families below the poverty line (as defined in section 9101(33) of the ESEA).

Note: The data that many LEAs collect on the number of children eligible for free- and reduced-priced meal subsidies may not be used to satisfy the requirements under component (a) of the statutory definition of high-need LEA. Those data do not reflect children from families with incomes below the poverty line, as defined in section 9101(33) of the ESEA.

Therefore, absent a showing of alternative LEA data that reliably show the number of children from families with incomes below the poverty line that are served by the LEA,

the Department would expect that the eligibility of an LEA as a "high-need LEA" under component (a) Would be determined on the basis of the most recent U.S. Census Bureau data. U.S. Census Bureau data are available for all school districts with geographic boundaries that existed when the U.S. Census Bureau collected its information. The link to the census data is: <http://www.census.gov/housing/saipe/sd02/>. (Applicants are encouraged to review the README file at the directory level, which provides a description of how the files are organized.) The Department also makes these data available at its Web site at: <http://www.ed.gov/programs/lsl/eligibility.html>. (Although the Department posted this listing specifically for the Improving Literacy through School Libraries program, these same data apply to the definition of a "high-need LEA" used for purposes of eligibility under the **School Leadership program**.)

With regard to component (b)(1) of the definition of "high-need LEA," the Department interprets the phrase "a high percentage of teachers not teaching in the academic subjects or grade levels that the teachers were trained to teach" as being equivalent to "a high percentage of teachers teaching out of field." The Department expects that LEAs that rely on component (b)(1) of the definition will demonstrate that they have a high percentage of teachers teaching out of field. The Department is not aware of any specific data that would demonstrate a "high percentage" of teachers teaching out of field. Accordingly, the Department will review this aspect of an LEA's proposed eligibility on a case-by-case basis. To decrease the level of uncertainty, an applicant might choose instead to demonstrate that each participating LEA meets the eligibility test for a high-need LEA under component (b)(2) of the definition.

For component (b)(2) of the definition of "high-need LEA," the data that LEAs likely will find most readily available on the percentage of teachers with emergency, provisional, or temporary certification or licensing are the data they provide to their States for inclusion in the reports on the quality of teacher preparation that the States provide to the Department in October of each year as required by section 207 of the Higher Education Act of 1965 (HEA). In these reports, States provide the percentage of teachers in their LEAs teaching on waivers of State certification, both on a statewide basis and in high-poverty LEAs. As reflected in the State reports the Department most recently received in October 2004, the national

average percentage of teachers on waivers in high-poverty LEAs is 3.5 percent. Consistent with the methodology the Department used in the FY 2004 competition under the Transition to Teaching program, in which participating LEAs were required to be "high-need LEAs" (as defined in section 2102(3) of the ESEA), the Department would expect that an LEA with over 3.5 percent of its teachers having emergency, provisional, or temporary certification or licensing (i.e., teachers on waivers) has a "high percentage" of its teachers in this category. We expect that an LEA that is not relying on the data it provides to the State for purposes of reporting required by section 207 of the HEA will provide other evidence that demonstrates that it meets the eligibility requirement under component (b)(2) of the statutory definition of "high-need LEA." Moreover, should an LEA with a percentage of teachers on waivers of less than 3.5 percent believe it too has a "high percentage" of its teachers with emergency, provisional, or temporary certification or licensing, the Department will determine whether that LEA meets element (b)(2) of the definition of high-need LEA on a case-by-case basis.

#### **IV. Application and Submission Information**

1. Address to Request Application Package: Education Publications Center (ED Pubs), P.O. Box 1398, Jessup, MD 20794-1398. Telephone (toll free): 1-877-433-7827. FAX: (301) 470-1244. If you use a telecommunications device for the deaf (TDD), you may call (toll free): 1-877-576-7734.

You may also contact ED Pubs at its Web site: <http://www.ed.gov/pubs/edpubs.html> or you may contact ED Pubs at its e-mail address: [edpubs@inet.ed.gov](mailto:edpubs@inet.ed.gov).

If you request an application from ED Pubs, be sure to identify this competition as follows: CFDA number 84.363A.

You may also obtain the application package for the program via the Internet at the following address: <http://www.ed.gov/programs/leadership/applicant.html>.

Individuals with disabilities may obtain a copy of the application package in an alternative format (e.g., Braille, large print, audiotape, or computer diskette) by

contacting the program contact person listed in this notice under FOR FURTHER INFORMATION CONTACT (See section VII. Agency Contact).

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 program.

Notice of Intent to Apply: The Department will be able to develop a more efficient process for reviewing grant applications if it has a better understanding of the number of entities that intend to apply for funding under this competition. Therefore, the Secretary strongly encourages each potential applicant to notify the Department by sending a short e-mail message indicating the applicant's intent to submit an application for funding. The e-mail need not include information regarding the content of the proposed application, only the applicant's intent to submit it. This e-mail notification should be sent to Peggi Zelinko at: [SLP@ed.gov](mailto:SLP@ed.gov).

Applicants that fail to provide this e-mail notification may still apply for funding.

Page Limit for Program Narrative: The program narrative (Part III of the application) is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. Applicants are strongly encouraged to limit Part III to the equivalent of no more than 50 single-sided, double-spaced pages printed in 12-font type or larger.

The page limit does not apply to Part I, the cover sheet; Part II, the budget section, including the narrative budget justification; Part IV, the assurances and certifications; or the one-page abstract, curriculum vitae, or bibliography of literature cited. However, you must include all of the program narrative in Part III.

3. Submission Dates and Times:

Applications Available: February 22, 2005.

Deadline for Notice of Intent to Apply: March 24, 2005.

Deadline for Transmittal of Applications: April 15, 2005.

Applications for grants under this program must be submitted electronically using the Electronic Grant Application System (e-Application) available through the Department's e-Grants system. For information (including dates and times) about how to submit your application electronically or by mail or hand delivery if you qualify for an exception to the electronic submission requirement, please refer to section IV. 6. Other Submission Requirements in this notice.

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

Deadline for Intergovernmental Review: June 14, 2005.

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

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

a. Electronic Submission of Applications. Applications for grants under the **School Leadership Program**-CFDA Number 84.363A must be submitted electronically using e-Application available through the Department's e-Grants system, accessible through the e-Grants portal page at: <http://e-grants.ed.gov>.

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

Please note the following:

You must complete the electronic submission of your grant application by 4:30 p.m., Washington, DC time, on the application deadline date. The e-Application system will not accept an application for this program after 4:30 p.m., Washington, DC time, on the application deadline date. Therefore, we strongly recommend that you do not wait until the application deadline date to begin the application process.

The regular hours of operation of the e-Grants Web site are 6 a.m. Monday until 7 p.m. Wednesday; and 6 a.m. Thursday until midnight Saturday, Washington, DC time. Please note that the system is unavailable on Sundays, and between 7 p.m. on Wednesdays and 6 a.m. on Thursdays, Washington, DC time, for maintenance. Any modifications to these hours are posted on the e-Grants Web site.

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

You must submit all documents electronically, including the Application for Federal Education Assistance (ED 424), Budget Information--Non-Construction Programs (ED 524), and all necessary assurances and certifications.

Any narrative sections of your application should be attached as files in a .DOC (document), .RTF (rich text), or .PDF (Portable Document) format.

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

Prior to submitting your electronic application, you may wish to print a copy of it for your records.

After you electronically submit your application, you will receive an automatic acknowledgement that will include a PR/Award number (an identifying number unique to your application).

Within three working days after submitting your electronic application, fax a signed copy of the ED 424 to the Application Control Center after following these steps:

- (1) Print ED 424 from e-Application.
- (2) The applicant's Authorizing Representative must sign this form.
- (3) Place the PR/Award number in the upper right hand corner of the hard-copy signature page of the ED 424.
- (4) Fax the signed ED 424 to the Application Control Center at (202) 245-6272.

We may request that you provide us original signatures on other forms at a later date.  
Application Deadline Date Extension in Case of e-Application System

Unavailability: If you are prevented from electronically submitting your application on the application deadline date because the e-Application system is unavailable, we will grant you an extension of one business day in order to transmit your application electronically, by mail, or by hand delivery. We will grant this extension if:

(1) You are a registered user of e-Application and you have initiated an electronic application for this competition; and

(2)(a) The e-Application system is unavailable for 60 minutes or more between the hours of 8:30 a.m. and 3:30 p.m., Washington, DC time, on the application deadline date; or

(b) The e-Application system is unavailable for any period of time between 3:30 p.m. and 4:30 p.m., Washington, DC time, on the application deadline date.

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

Exception to 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 e-Application system because--

You do not have access to the Internet; or

You do not have the capacity to upload large documents to the Department's e-Application 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: Peggi Zelinko, U.S. Department of Education, 400 Maryland Avenue, SW., room 4W226, Washington, DC 20202-4260. FAX: (202) 401-8466.

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

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

By mail through the U.S. Postal Service: U.S. Department of Education, Application Control Center, Attention: (CFDA Number 84.363A), 400 Maryland Avenue, SW., Washington, DC 20202-4260.

or

By mail through a commercial carrier: U.S. Department of Education, Application Control Center--Stop 4260, Attention: (CFDA Number 84.363A), 7100 Old Landover Road, Landover, MD 20785-1506.

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

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

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

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

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

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

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 84.363A), 550 12th Street, SW., Room 7041, Potomac Center Plaza, Washington, DC 20202-4260.

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

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

(1) You must indicate on the envelope and--if not provided by the Department--in Item 4 of the ED 424 the CFDA number--and suffix letter, if any--of the competition under which you are submitting your application.

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

## **V. Application Review Information**

Selection Criteria: The following selection criteria for this competition are from Sec. 75.210 of EDGAR. The maximum score for all the selection criteria is 100 points. The maximum score for each criterion is indicated in parentheses. Each criterion also includes the factors that the reviewers will consider in determining how well an application meets the criterion. The notes following each of the selection criteria are

guidance to help applicants in preparing their applications and are not required by statute or regulations. The criteria are as follows:

A. Need for project (20 points). The Secretary considers the need for the project. In determining the need for the project the Secretary considers the following factors:

1. The magnitude or severity of the problem to be addressed by the proposed project.
2. The extent to which specific gaps or weaknesses in services, infrastructure, or opportunities have been identified and will be addressed by the proposed project, including the nature and magnitude of those gaps or weaknesses.

Note: The Secretary encourages applicants to address this criterion by discussing--

The reasons the participating LEAs have need of the services proposed and why those needs are not met by current efforts, and

Specific studies, surveys, or other sources that have yielded objective data to confirm the participating LEAs' needs.

B. Quality of the project design (25 points). The Secretary considers the quality of the design for the proposed project. In determining the quality of the design of the project, the Secretary considers the following factors:

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

2. The extent to which the design of the proposed project reflects up-to-date knowledge from research and effective practice.

3. The extent to which the design of the proposed project is appropriate to, and will successfully address, the needs of the target population or other identified needs.

4. The extent to which the proposed project is part of a comprehensive effort to improve teaching and learning and support rigorous academic standards for students.

Note: The Secretary encourages applicants to address this criterion by discussing the overall project model, including such key elements as the project's--

Research base;

Proposed applicants;

Recruitment and selection strategies;

Plans for using incentives for teachers or individuals from other fields who want to become principals and assistant principals;

Activities to prepare principals and assistant principals;

Program delivery strategy(ies);

Plans for implementing on-site or school-based work experiences;

Activities for participant placement and follow-up support; and

Retention strategies.

C. Significance of the Project (20 points). The Secretary considers the significance of the proposed project. In determining the significance of the proposed project, the Secretary considers the following factors:

1. The extent to which the proposed project involves the development or demonstration of promising new strategies that build on, or are alternatives to, existing strategies.

2. The extent to which the proposed project is likely to build local capacity to provide, improve, or expand services that address the needs of the target population.

3. The importance or magnitude of the results or outcomes likely to be attained by the proposed project.

Note: The Secretary encourages applicants to address this criterion by describing such key factors as how the project--

Will help the participating LEAs to achieve important results during the project period that the LEAs could not otherwise achieve;

Is part of a long-term response to the participating LEA's (or LEAs') school leadership needs, and one that will be part of the LEA's (or LEAs') overall school improvement plan; and

How this project will build or stimulate the capacity of the participating LEAs to continue this project after the grant period ends, including how and when the LEAs will identify resources to support this endeavor.

Moreover, in addressing "[t]he extent to which the proposed project is likely to build local capacity to provide, improve, or expand services that address the needs of the target population," applicants also might consider including a letter of support or other information from each participating LEA that confirms both the LEA's interest in participating in this project and the results the LEA expects from it.

D. Quality of the management plan (15 points). The Secretary considers the quality of the management plan for the proposed project. In determining the quality of the management plan for the proposed project, the Secretary considers the following factors:

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

2. The extent to which the time commitments of the project director and principal investigator and other key project personnel are appropriate and adequate to meet the objectives of the proposed project.

3. The adequacy of procedures for ensuring feedback and continuous improvement in the operation of the proposed project.

Note: The Secretary encourages applicants to address this criterion by providing specific information such as--

The name, title, and time commitment of each key person, and the responsibilities of each individual working to help implement the project's goals and objectives;

A year-to-year timeline for undertaking important project activities, with benchmarks for determining whether the project is achieving its stated goals and objectives; and

The strategies for monitoring whether or not the project is meeting its goals and objectives, and for making mid-course corrections, as appropriate.

E. Quality of the project evaluation (20 points). The Secretary considers the quality of the evaluation to be conducted of the proposed project. In determining the quality of the evaluation, the Secretary considers the following factors:

1. The extent to which the methods of evaluation include the use of objective performance measures that are clearly related to the intended outcomes of the project and will produce quantitative and qualitative data to the extent possible.

2. The extent to which the methods of evaluation will provide performance feedback and permit periodic assessment of progress toward achieving intended outcomes.

Note: The Secretary encourages applicants to consider how this criterion may affect both their annual performance reports and the final evaluation submitted under 34 CFR 75.590. In addition, the Secretary encourages applicants to address this criterion by including proposed benchmarks for assessing both short- and long-term progress toward the specific project objectives and outcome measures they would use to assess the project's impact on teaching and learning or other important outcomes for project participants. (Specific performance measures established for the overall **School Leadership program** are discussed in the Award Administration Information section of this notice (section VI, item 4, Performance Measures.)

The Secretary also encourages applicants to identify the individual and/or organization that has agreed to serve as evaluator for the project and describe the qualifications of that evaluator as well as--

The types of data that will be collected;

When these various types of data will be collected;

What methods of data collections will be used;

What evaluation instruments will be developed and when;

How the data will be analyzed;

When reports of evaluation results and outcomes will be available; and

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 the success at the initial site or sites and about effective strategies for replication in other settings.

Applicants are encouraged to devote an appropriate level of resources to project evaluation.

## **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 also notify you informally.

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. Reporting: At the end of your project period, you must submit a final performance report, including financial information, as directed by the Secretary. If you receive a multi-year award, you must submit an annual performance report that provides the most

current performance and financial expenditure information as specified by the Secretary in 34 CFR 75.118.

4. Performance Measures: In response to the Government Performance and Results Act (GPRA), the Department has established two overall performance indicators for assessing the effectiveness of the **School Leadership program**. We will collect the data for these indicators from the grantees using the measures indicated.

Performance Indicator 1: To recruit, prepare, and support teachers and individuals from other fields to become principals and assistant principals in high-need schools in high-need LEAs. We will track this indicator through the use of the following two performance measures:

Measure One: The percentage of those enrolled in the training program who become certified as principals and assistant principals.

Measure Two: The percentage of program completers earning certification as a principal or assistant principal and who are employed in those positions in high-need schools in high-need LEAs.

Performance Indicator 2: To provide professional development, coaching, mentoring, and other support activities to current, practicing principals and assistant principals in high-need schools in high-need LEAs. We will track this indicator through the use of the following performance measure:

Measure: The percentage of current, practicing principals and assistant principals serving in high-need schools in high-need LEAs and who participate in a structured, job-embedded program of professional development that includes mentoring, coaching, and other support activities.

## VII. Agency Contact

FOR FURTHER INFORMATION CONTACT: Peggi Zelinko, U.S. Department of Education, 400 Maryland Avenue, SW., room 5E114, Washington, DC 20202-4260. Telephone: (202) 260-2614 or by e-mail: [SLP@ed.gov](mailto:SLP@ed.gov).

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

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

### **VIII. Other Information**

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

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

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

Dated: February 16, 2005.

Michael J. Petrilli,

Acting Assistant Deputy Secretary for Innovation and Improvement.

[FR Doc. E5-694 Filed 2-18-05; 8:45 am]

BILLING CODE 4000-01-P

## **School Leadership Program Statute & Definition of High-Need LEA**

Title II, Part A, Subpart 5 — National Activities – Elementary and Secondary Education Act (ESEA)

### **SEC. 2151. NATIONAL ACTIVITIES OF DEMONSTRATED EFFECTIVENESS.**

#### **(b) SCHOOL LEADERSHIP-**

(1) IN GENERAL- The Secretary is authorized to establish and carry out a national principal recruitment program to assist high-need local educational agencies in recruiting and training principals (including assistant principals) through such activities as —

- (A) providing financial incentives to aspiring new principals;
- (B) providing stipends to principals who mentor new principals;
- (C) carrying out professional development programs in instructional leadership and management; and
- (D) providing incentives that are appropriate for teachers or individuals from other fields who want to become principals and that are effective in retaining new principals.

(2) GRANTS- If the Secretary uses sums made available under section 2103(b) to carry out paragraph (1), the Secretary shall carry out such paragraph by making grants, on a competitive basis, to —

- (A) high-need local educational agencies;
  - (B) consortia of high-need local educational agencies; and
  - (C) partnerships of high-need local educational agencies, nonprofit organizations, and institutions of higher education.
- (Note: Nonprofit may include community- and faith-based organizations.

Title II, Part A (ESEA) -- **Definition of High-Need Local Educational Agency**

### **SEC. 2102. DEFINITIONS**

(3) HIGH-NEED LOCAL EDUCATIONAL AGENCY- The term high-need local educational agency' means a local educational agency —

- (A)(i) that serves not fewer than 10,000 children from families with incomes below the poverty line; or
- (ii) for which not less than 20 percent of the children served by the agency are from families with incomes below the poverty line; and
- (B)(i) for which there is a high percentage of teachers not teaching in the academic subjects or grade levels that the teachers were trained to teach; or

(ii) for which there is a high percentage of teachers with emergency, provisional, or temporary certification or licensing.

## **Section B: General Application Instructions, Information, and Forms**

- General Instructions
  - Intent to Apply
  - Instructions for Preparing the Project Narrative
  - Selection Criteria
  - Abstract
  - Budget
  - Other Program Requirements
    - High-Need LEA Requirements
    - High-Need District (LEA) Eligibility: Optional Table and Instructions
    - Intergovernmental Review
- School Leadership Program Questions & Answers
- Application Submission
- Program Staff Contact List
- ED forms, Assurances, and Clearances

## **General Application Instructions, Information, and Forms**

### **General Instructions**

This application package provides applicants seeking a grant in FY 2005 under the School Leadership program with instructions and the necessary forms for preparing and submitting an application. In addition, this application package contains Questions and Answers to highlight and clarify important information about the program.

Applicants for a grant under this program must comply with the applicable eligibility requirements, and address the selection criteria contained in the Notice Inviting Applications for New Awards for FY 2005, as published in the Federal Register on February 22, 2005.

The Federal Register notice contains two invitational priorities under the subheading “Invitational Priorities.” The Secretary believes that these priorities are of national importance and encourages applicants to address them. Applicants that do so would discuss proposed activities within their response to the selection criteria, and those that are awarded grants will be responsible for implementing the priorities and other activities in their approved applications. However, applicants are not required to address either of the two invitational priorities, and those that do so will not receive any additional points in terms of the program’s selection criteria.

The following sections of the application package provide specific instructions and information to help the applicants prepare and submit their School Leadership program applications.

### **Intent to Apply**

Each potential applicant is strongly encouraged to submit a brief e-mail to us indicating that it intends to submit an application. The e-mail notification should be sent no later than March 24, 2005 to [SLP@ed.gov](mailto:SLP@ed.gov). Applicants that fail to provide this e-mail notification may still apply for funding.

### **Instructions for Preparing the Project Narrative**

Before preparing the narrative, applicants should review Section A of this application package, which includes the –

- Notice Inviting Applications for New Awards as published in the Federal Register; and
- School Leadership Program statute and statutory definition of “high-need local educational agency” (LEA).

The Notice Inviting Applications for New Awards provides applicants with instructions for preparing and submitting the application, information describing the invitational priorities, the selection criteria that will be used to evaluate the application, and other pertinent information concerning the competition for awards.

## **Selection Criteria**

The Department will use the selection criteria identified below to evaluate the quality of applications submitted for funding. How applicants address the selection criteria is left to their own judgment, ingenuity, and imagination. The full description of the selection criteria is contained in the Notice Inviting Applications for New Awards included in Section A of this application package. Each criterion has specific factors that will be used in evaluating each application. Those applicants who choose to address one or both of the invitational priorities would do so within their responses to the selection criteria.

The maximum score that an applicant can earn under the selection criteria is 100 points. The maximum score for each criterion is indicated in parenthesis following that criterion.

<b>Need for the Project</b>	<b>(20)</b>
<b>Project Design</b>	<b>(25)</b>
<b>Significance of the Project</b>	<b>(20)</b>
<b>Management Plan</b>	<b>(15)</b>
<b>Project Evaluation</b>	<b>(20)</b>

## **Abstract**

In addition to the project narrative, applicants must submit a project abstract. Those applicants that receive permission to make non-electronic submissions must include in the abstract the name and address of the organization submitting the application and the name, phone number, and e-mail address of the contact person for the project.

The project abstract must not exceed one double-spaced page in 12 point font or larger. Applicants should include the project title (if applicable), and a summary of the goals, expected outcomes and contributions for research, policy, and practice. Applicants also should describe the population to be served. When preparing the abstract, applicants should consider how best to describe their projects to a wide range of individuals who will read them.

## **Budget**

Applicants must describe their proposed multiyear project activities and present a multiyear budget. Section 75.112 (b) of the Education Department General Administrative Regulations (EDGAR) (34 C.F.R. 75.112) requires applicants to present "...a narrative that describes how and when, in each budget period of the project, the applicant plans to meet each objective of the project." In addition, applicants must complete form SF524 for all budget years of the proposed project. Further information and instructions are available elsewhere in this package in the budget form and in the Program Questions & Answers. In their budget submissions, applicants also should provide their approved, negotiated indirect cost rate.

## Other Program Requirements

### **High-Need LEA Requirements** (See Section III: “Eligibility Information” in the Notice Inviting Applications for New Awards.)

Each entity that receives a School Leadership program grant must be, or work in partnership with, one or more high-need LEA. In order that the Department may ensure that all participating LEAs meet the statutory definition of “high-need,” each applicant must provide data confirming that each LEA that would benefit from the program meets this definition. The definition of a high-need LEA and an explanation of the data needed to meet this definition are explained in the Notice Inviting Applications for New Awards.

Under section 2102 (3) of the ESEA, each LEA must meet one of the two poverty components and one of the two teacher-quality components of the definition of “high-need.” An optional table for providing the required data and instructions for completing it is below.

*Example: (Note: This example assumes that the data on percent of poverty comes from the most currently available Census Bureau data. Hence, there is no need to provide a data source).*

A1: Number of children from families with incomes below the poverty line (must be not less than 10,000).

A2: Percentage of children from families with incomes below the poverty line (must be at least 20%).

B1: A “high percentage” of the LEA’s teachers teaching out of field.

B2: A “high percentage” of the LEA’s teachers teaching with emergency, provisional, or temporary certification or licensing.

Name of the LEA	No. of Children		Poverty Rate		AND	Percent of teachers			
	A1	#	A2	%		B1	%	B2	%
District XYZ	√	24,543						√	6.20
District ABC			√	23.54				√	12.43
<b>Data Source for B1:</b> (identify separately for each LEA)									
<b>Data Source for B2:</b>	Waiver data use by State for the State’s HEA Teacher Preparation Report (2004)								

### **High-Need District (LEA) Eligibility: Optional Table and Instructions**

#### **Data Confirming High-Need LEA Eligibility**

Name of the LEA <b>LEA</b>	No. of Children		Poverty Rate		AND	Percent of teachers			
	A1	#	A2	%		B1	%	B2	%
<b>Data Source for B1:</b> (identify separately for each LEA)									
<b>Data Source for B2:</b>									

Applicants may complete this table or use another format that includes the required data. Note that for component B1 or B2, applicants must provide the data source.

In addition, where applicants identify poverty rates or data (Component A1 or A2) that do not come from the most currently available Census Bureau data, applicants will need to identify the source **AND** explain how these data meet the definition of high-need LEA. See further information available in the Notice Inviting Applications for New Awards, and in the Questions & Answers that appear later in this application package.

## Instructions: High-need District (LEA) Eligibility

### Component A

**A1:** Provide data that demonstrate that each LEA serves not fewer than 10,000 children from families with incomes below the poverty line; **OR**

**A2:** Provide data that demonstrate that each LEA is one for which not less than 20 percent of the children served by the LEA are from families with incomes below the poverty line.

### Data Source for A1 or A2:

The Department is not aware of any consistent available LEA data – other than data periodically gathered by the U.S. Census Bureau – that would show that an LEA serves the required number or percentage of children (individuals ages 5 through 17) from families below the poverty line (as defined in section 9101 (33) of the ESEA.) Therefore, absent a showing of alternative LEA data that reliably show the number of children from families with incomes below the poverty line that are served by the LEA, the Department would expect that the eligibility of an LEA as a “high-need LEA” under component A1 or A2 would be determined on the basis of the most recent U.S. Census Bureau data. U.S. Census Bureau data are available for all school districts with geographic boundaries that existed when the U.S. Census Bureau collected its information.

**Note:** **Data on the number or percentage of children receiving free and reduced lunch subsidies is NOT permissible since the number or percentage of these children does not reflect children from “families with incomes below the poverty line” as defined in section 9101 (33) of the ESEA.** Any LEA that uses data that is not generated by the Census Bureau, such as charter schools and newly created LEAs, will therefore also need to explain how the source of data used meets the statutory requirement. (See the Questions & Answers for special information for LEAs, such as charter schools, that have no geographic boundaries and so are not included in the Census Bureau tables) The link to the census data is:

**Census Bureau Data:** <http://www.census.gov/housing/saipe/sd02> Applicants are encouraged to review the README file at the directory level, which provides a description of how the files are organized.

This link provides data for all listed LEAs that correspond to Components A1 and A2. The fourth column for each LEA provides the *Estimated Number of Relevant Children 5 to 17 years old in Poverty Related to the Householder*, needed to find that the LEA meets the poverty criterion for A1. To determine the poverty percentage for A2, the number in column 4 must be divided by the number in column 3, *Population of Relevant Children 5 to 17 years of Age*. (For the example below, 1282 would be divided by 4954 giving a percentage of 25.88, which would be recorded in A2 as making the LEA eligible by poverty rate.)

Example:

02 00050 ABC SCHOOL DISTRICT	17243	4954	1282	sd00_ABC.dat	2NOV2003
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The Department also makes these data available at its web site at:

<http://www.ed.gov/programs/lsl/eligibility.html>. Although the Department posted this listing specifically for the Improving Literacy through School Libraries program, these same data apply to the definition of “high-need LEA” used for purposes of eligibility under the School Leadership program.

### Component B

Provide data that demonstrate that each participating LEA has a “high percentage” of teachers--

**B1:** Teaching out of field; **OR**

**B2:** With emergency, provisional, or temporary certification or licensing.

### **Data Source for B1 or B2:**

**B1:** With regard to component B1 of the definition of “high-need LEA,” the Department interprets the phrase “a high percentage of teachers not teaching in the academic subjects or grade levels that the teachers were trained to teach” as being equivalent to “a high percentage of teachers teaching out of field.” The Department expects that LEAs that rely on component B1 of the definition will demonstrate that they have a high percentage of teachers teaching out of field. The Department is not aware of any specific data or percentage that would demonstrate a “high percentage” of teachers teaching out of field. Accordingly, the Department will review this aspect of an LEA’s proposed eligibility on a case-by-case basis.

**B2:** For component B2 of the definition of “high-need LEA,” the data that LEAs likely will find most readily available on the percentage of teachers with emergency, provisional, or temporary certification or licensing are the data they provide to their States for inclusion in the reports on the quality of teacher preparation that the States provide to the Department in October of each year as required by section 207 of the Higher Education Act of 1965, as amended, (HEA). In these reports, States provide the percentage of teachers in their LEAs teaching on waivers of State certification, both on a statewide basis and in high poverty LEAs. As reflected in the State reports the Department most recently received in October 2004, the national average percentage of teachers on waivers in high poverty LEAs is 3.5 percent. Consistent with the methodology the Department used in the FY 2004 competition under the Transition to Teaching program, in which participating LEAs were similarly required to be “high-need LEAs” (as defined in section 2103 (3) of the ESEA), the Department would expect that an LEA with over 3.5 percent of its teachers having emergency, provisional, or temporary certification or licensing (i.e., teachers on waivers) has a “high percentage” of its teachers in this category. We expect that an LEA that is not relying on the data it provides to the State for the purposes of reporting required by section 207 of HEA will provide other evidence that demonstrates that it meets the eligibility requirement under component B2 of the statutory definition of “high-need LEA.”

### **Intergovernmental Review**

This program is subject to the requirement of Executive Order 12372 (Intergovernmental Review of Federal Programs) and the regulations in 34 CFR Part 79. The objective of the Executive Order is to foster an intergovernmental partnership and to strengthen federalism by relying on State and local processes for State and local government coordination and review of proposed Federal financial assistance. Applicants must contact the appropriate State Single Point of Contact to find out about, and to comply with, the State’s process under Executive Order 12372. You may locate the name and contact information of State Single Point of Contact on <http://www.whitehouse.gov/omb/grant>

## School Leadership Program Questions & Answers

### Questions and Answers

#### GENERAL APPLICATION INFORMATION

##### 1. Must I notify the Department of my intent to apply?

We strongly encourage each potential applicant to submit a short e-mail note to us indicating that it intends to submit an application. This will give the Department a better understanding of the number of entities that intend to apply under this program, and allow for a more efficient process for reviewing grant applications. The e-mail should not include information regarding the content of the proposed application, only the applicant's intent to submit it. We request that this e-mail notification be sent no later than March 24, 2005 to the following address: SLP@ed.gov. Applicants that fail to provide this e-mail notification may still apply for funding.

##### 2. How will the Department select applications to be funded?

Applications will be evaluated by a three-person technical review panel and scored according to the program's selection criteria contained in the Notice Inviting Applications for New Awards for Fiscal Year (FY) 2005, as published in the Federal Register on February 22, 2005. Applicants are strongly encouraged to review these criteria carefully and to develop responses that fully and clearly address each criterion. An applicant can earn up to 100 points for responses to the selection criteria.

##### 3. Where in the application would an applicant address the invitational priorities? (Note: The Invitational Priorities are described in Section I. Funding Opportunity Description, of the Notice Inviting Applications for New Awards.)

Applicants would address the priorities as part of their responses to the selection criteria.

#### ELIGIBILITY

##### 4. Who is eligible to receive a School Leadership grant?

An eligible entity is a—

- High-need LEA;
- Consortia of high-need LEAs; and
- Partnerships comprised of one or more high-need LEA, and a nonprofit organization and /or an institutions of education.

See Section III. Eligibility Information, in the Notice Inviting Applications for New Awards for the definition of high-need LEA.

## 5. Are Charter Schools eligible to apply for funding under the School Leadership program?

Yes, if the charter school operates as an LEA. In this regard:

- Charter schools that operate as LEAs. Applicants should include in their applications confirmation that they have LEA status in their State. To determine if the charter school (LEA) is a high-need LEA, please note the following:
  - The Department will consider the eligibility of charter schools on a case-by case basis. Therefore, an applicant that is a charter school-LEA, or that proposes to work with one, should provide the best data it can that it has the equivalent of 20% of its students from families with incomes below the poverty line. **Note:** While the definition of a high-need school” section 2312 (3) of the ESEA (Transition to Teaching program statute) does not apply to the School Leadership program, the Department believes that charter schools that are high-need LEAs under that program would likely also be considered high-need LEAs under the School Leadership program.
- Charter schools administered by high-need LEAs. A charter school that is not confirmed as being an LEA in its State may not apply for program funding. However, a charter school may benefit from the School Leadership program if it is administered by a high-need LEA that has been identified as a recipient of program services.
- Charter Schools organized as nonprofits. A charter school LEA that is organized as a nonprofit organization (including community and faith-based organizations) may apply in that capacity if it is doing so as part of a partnership with one or more high-need LEAs. (To be eligible to receive School Leadership program services, this charter school would also still have to meet the definition of a high-need LEA.)

## PROGRAM ACTIVITIES

### 6. What program activities does the School Leadership Program authorize?

Activities may include:

- Providing financial incentives to aspiring new principals;
- Providing stipends to principals who mentor new principals;
- Carrying out professional development programs in instructional leadership and management; and
- Providing incentives that are appropriate for teachers or individuals from other fields who want to become principals and that are effective in retaining new principals.

**7. Must an applicant's project, if funded, provide equitable professional development to principals and assistant principals in private schools?**

Yes. Section 9501 of the ESEA, regarding the equitable participation of private school children, teachers, and other educational personnel, apply to this program. Among other things, this means that any LEA receiving financial assistance under the School Leadership program must, after timely and meaningful consultation with officials of private schools located in the areas served by participating high-need LEAs, provide to staff of those private schools professional development that is equitable to professional development provided with program funds to public school principals and assistant principals (or other public school staff whom the project serves). In providing equitable services, grantees must make expenditures for services that benefit private school staff that are equal, taking into account the numbers and educational needs of the children attending those private schools, to the expenditures for participating public school children.

**BUDGET**

**8. Must applicants describe their proposed multiyear project activities and provide a multiyear budget?**

Yes. The Education Department General Administrative Regulations (EDGAR) (section 34 C.F.R. 75.112[b]) requires that applications include “a narrative that describes how and when, in each budget period of the project, the applicant plans to meet each objective of the project.” For funded projects, the Department will use this information both for purposes of monitoring and providing assistance, and for determining if a grantee has made substantial progress toward meeting the approved application and thereby, under section 75.253 of EDGAR, deserve a continuation award.

Applicants for new awards also must provide a detailed proposed budget and budget narrative using ED form SF 524 for all budget years of the proposed project, not just the first year. Before awarding a grant for the initial budget year, the Department will determine the size of award a grant recipient will receive for each year of the project (assuming availability of appropriations and that its receipt of a continuation award for future years is warranted). See sections 75.117, 75.232, and 75.253 of EDGAR.

**9. What information should applicants consider in planning their use of School Leadership program funds?**

As applicants build their proposed budgets, they should be aware that all costs must conform to requirements in EDGAR and the applicable cost principles in Office of Management and Budget Circulars: A-21 for institutions of higher education, A-87 for State and local agencies, and A-122 for non-profit organizations. Among other things, these cost principles contain basic rules that all costs charged to federal grants must be “necessary and reasonable” for the purposes of carrying out authorized grant activities.

**10. Is there a restriction on the amount of indirect costs that may be charged to a School Leadership program grant?**

Yes. Indirect costs may not exceed the amount determined on the basis of the applicant's approved negotiated indirect cost rate. However, applicants may wish to consider whether their overall applications will be stronger if they maximize the amount of direct program services that their projects will be able to provide by voluntarily limiting the amount of indirect costs charged to federal School Leadership program funds. In this regard, while they are not required to do so, the Secretary encourages applicants to consider limiting their indirect cost rate to no more than eight percent.

**11. How do I obtain an indirect cost rate?**

If your organization does not have an established indirect cost rate, you may negotiate one with the Department. Contact the Department's Indirect Cost Group to begin the process. Its website <http://www.ed.gov/about/offices/list/ocfo/fipao/icgindex.html> contains contact information as well as specific information on indirect cost rates.

**Application Submission**

Final application submissions must be complete in order to be considered for funding under this program. A completed application should have the following parts:

- Part I: Application for Federal Assistance (ED form 424) and GEPA (427)
- Part II: Budget Information-Non-Construction Programs (ED form 524)
- Part III: Application Narrative and Abstract
- Part IV: Assurances and Certifications (Forms provided)

**Program Staff Contact List**

Beatriz Ceja	<a href="mailto:beatriz.ceja@ed.gov">beatriz.ceja@ed.gov</a>	202-205-5009
Peggi Zelinko	<a href="mailto:peggi.zelinko@ed.gov">peggi.zelinko@ed.gov</a>	202-260-2614

## ED Forms, Assurances, and Clearances

**If you are submitting a paper application (see the Notice Inviting Application for New Awards for how to request permission to do so), you will also need to download the following required Federal forms:**

- ED Form 424--Application for Federal Education Assistance (Form and Instructions)
- ED Form 524--Budget Information, Non-Construction Programs
- ED Form 524--Instructions
- Standard Form 424B--Assurances, Non-Construction Programs
- ED80-0013--Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements
- ED80-0014--Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Covered Transactions
- Standard Form LLL--Disclosure of Lobbying Activities
- Survey on Ensuring Equal Opportunity for Applicants

You may obtain these forms at:

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

### **Section C: Transmittal Instructions**

- Application Transmittal Instructions

## Application Transmittal Instructions

**Electronic Submission is Required** - As outlined in the Federal Register notice for this grant competition, applications must be submitted electronically. You must submit your application using the electronic application system designated in the Federal Register notice. (The notice will designate whether you will use e-Application or Grants.gov). You may not e-mail an electronic copy to us. We will reject your application if you submit it in paper format unless you qualify for one of the exceptions to the electronic submission requirement described below 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.

Under mandatory submission, electronic applications must be received by 4:30 pm Washington, DC time on the application deadline date. **Under this new policy, Education does not allow for any last minute waiver requests from applicants, which is a change from the previous policy for mandatory electronic submission. Consequently, we strongly encourage you to review the registration and submission procedures for the designated electronic application system right away. In addition, we strongly suggest that you do not wait until the deadline date to submit your application.**

**Exception to Electronic Submission Requirement:** You qualify for an exception to the electronic submission requirement, and may submit your application in paper format, by mail or hand delivery, if you are unable to submit an application through the electronic application system designated in the Federal Register notice because—

- You do not have access to the Internet; or
  - You do not have the capacity to upload large documents to the 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. (Please follow the fax instructions found in the Federal Register notice for this competition. Also, your paper application must be submitted in accordance with the mail or hand delivery instructions also described in the Federal Register notice for this grant competition.)

For detailed information on the electronic submission requirement for this competition, please refer to the Federal Register notice.