

IBM's Smarter Cities Challenge

Philadelphia

Report





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1. Executive Summary

Philadelphia, Pennsylvania is one of the 24 cities selected around the world to receive a Smarter Cities® Challenge grant from IBM in 2011, as part of IBM's citizenship efforts to build a Smarter Planet™. IBM's Smarter Cities Challenge aims to contribute to the improvement of high-potential cities around the world.

During a three-week period in October 2011, a team of six IBM experts worked in the City of Philadelphia to deliver recommendations on a key challenge identified by Philadelphia Mayor Michael A. Nutter and his senior leadership team: to infuse Philadelphia's existing literacy (three Rs and digital) and workforce training infrastructures with new strategies to create the first human capital management system of its kind in the country.

Challenge: Increasing literacy and employment in Philadelphia

Over the past 50 years, the Philadelphia region has transformed from a manufacturing, banking and insurance center into a leader in health services, higher education, telecommunications and pharmaceuticals. However, many Philadelphians have not kept pace with these changes and do not have the necessary skills to participate in the city's current and future economy. By 2030, it is estimated 600,000 Philadelphians will lack the basic skills needed to compete in the new global economy. This means Philadelphia will struggle to support and attract companies that require literate and skilled workers. Put simply, if nothing is done to reverse the current trend, Philadelphia will find it hard to compete for good, high-wage jobs, leaving more Philadelphians trapped in a cycle of unemployment and low-wage jobs.

Philadelphia already depends upon a large range of public and private sector organizations to help tackle this challenge transitioning from low literacy, low digital literacy, and insufficient work skills towards full employment. What it lacks however, is the ability to expand these services in order to meet the growing need along with a system that can ensure collaboration, eliminate redundancies and establish a mechanism to recognize the attainment of skills valued by employers. The City also needs a method to curate content or link to its best sources in order to meet a specific skill gap.

Digital On-Ramps (DOR) will provide Philadelphians with a framework for delivering comprehensive education and workforce training to youth and adults, using a blended learning approach. Accessible via cloud technologies, DOR will offer access to a range of educational and training tools from basic literacy and math to post-secondary education and employment training. To help students learn effectively, the material will engage them through interactive online content as well as traditional classroom methods. Content will be available through a full range of devices (e.g. mobile, tablets, netbooks and desktop computers) to provide "anywhere, anytime, any device" access.

Overall Themes

Applying the concept of DOR to learning, while simple in theory, is extremely complicated in practice. The needs of many stakeholders must be considered. We uncovered a variety of challenges and issues related to the way individuals and organizations collaborate and interact. These are grouped under four themes: Learning, Governance, Philadelphians, and Scalability and Sustainability.

Learning: One of the biggest challenges for learning is the sheer diversity of Philadelphia's citizens and their range of learning needs. DOR must be able to meet all these needs in a style most effective for each individual learner. DOR should serve people who dropped out of high school as well as people with degrees looking to advance their careers. People who need assistance with the three Rs – "Reading, 'Riting, 'Rithmetic" – as well as those who need help with the 21st century four Cs – communication, critical thinking, collaboration, and creativity, are all "in scope."

Governance: Governance is an essential ingredient to the success of DOR. It will empower DOR entities and make them accountable by providing a framework for implementation and a consistent, structured evaluation of the initiative. To do this, the City and other bodies, public, private and philanthropic must collaborate effectively. While there are constraints which can impede progress, the entities involved with DOR are ready to collaborate toward a common goal.

Philadelphians: In the context of DOR, Philadelphians may be viewed in three different ways: as Citizens, Providers and Employers.

Citizens need to be able to access information about themselves, their learning pathways, and their progress, in other words, from a citizen-centric viewpoint.

The City should lead efforts to segment the target populations in need, based upon multiple salient characteristics such as age, geography, and skill levels, and develop specific strategies for reaching each segment. With a more comprehensive understanding of the size and distribution of each of these populations, providers will be better able to develop effective outreach programs, increase program effectiveness, and optimize demand versus supply for DOR services. The City's actions would inform and enhance the work already being done by individual service providers to segment their constituents, and create a comprehensive, city-wide perspective.

Many service providers exist in silos, isolated from each other. This leads to poor coordination, duplication of effort, and less than optimal outcomes for the people being served. DOR will need to integrate these silos. The new approach promises easier access to both service and information, with choice in method of access.

Employers benefit from DOR services as much as citizens. They are central to the key outcome measure: employment. It is critical that DOR comprehensively engages Philadelphia's business community as soon as possible. Inviting key employers to the DOR table on an individual basis is certainly necessary; but it is not enough. DOR needs to be brought to a large number of Philadelphia's business community by engaging multi-employer organizations such as trade associations, chambers of commerce, business councils, business committees for the arts, and downtown associations.

Strategic, sustained engagement by a range of employers of all sizes is critical to the success of DOR and the City. Employers are in the best position to define and refine entry level skill requirements, including both "hard" and "soft" skills. In addition, employers should provide both strategic insight and resources to develop career pathways for Philadelphians, for example, by creating internships coordinated with DOR curricula. The City is well positioned to utilize both its relationships and its role in setting policy to foster concrete collaboration between employers and DOR efforts.

Scalability and Sustainability: It is important to think about the sustainability of DOR while it is in its infancy. DOR needs to be integrated with the City and its citizens' lives so that it becomes a vital and permanent part of Philadelphia's identity. While sustainability affects the long-term viability of DOR, scalability enables DOR to handle growing amounts of people, providers, programs, and content. Clearly, DOR is unsustainable if it does not scale up. In addition to examining the new sources of funding recommended by this report as a means to support its growth, DOR should look at strategies to leverage existing dedicated sources of funding, for example by helping students who have left the high school system to re-enter it.

Top-Priority Recommendations

We believe the City should consider and act upon the following recommendations to build momentum quickly and begin implementation of DOR through a series of "quick wins." Each of these will provide DOR with the opportunity to implement critical functionality in six months or less and can be scaled to meet the long-term goals of DOR. Of course, quick wins are only the beginning – Philadelphia must develop a comprehensive, integrated strategy to increase literacy and employment across all populations in need.

Learning – Implement an intelligent navigator of content resources with an online interactive guide to help providers or citizens locate courses based on learning objectives, physical location, preferred learning environment and other factors.

Governance – Appoint a Project Lead for DOR. Bring representatives from the education system, workforce development partners and small and medium business members into the initiative. Create a web-based catalog of providers and services by following the model of the survey being done for the Mayor's Commission on Literacy to gather information about the providers of literacy programs.

Philadelphians – Create a “federated” view of the constituent in the cloud, a view that includes information coming from a number of different environments or providers. Build upon the work being done by the School District of Philadelphia and Community College of Philadelphia via the Gates Foundation Grant and the proposed McArthur Grant regarding pathways and badging. Segment the population in need and develop tailored strategies for serving each segment to better inform program outreach, content, and delivery pathways.

Scalability and Sustainability – Implement a virtual computing lab (VCL) leveraging a services provider to ensure a successful initial implementation of an environment for eLearning. The use of a cloud computing infrastructure will permit scalability to match capacity as needed, by providing anytime, anywhere any device access to online learning content.

Conclusion

During our initial meeting with Mayor Nutter, he expressed an eloquent and uncomplicated vision for the future: “Literacy and workforce development soar in Smart City Philadelphia.” It is not a simple vision to implement. The challenge will be to integrate disparate systems, organizations and objectives intelligently. The good news is that many of the critical pieces are either in place, or well on their way to being realized. The City holds a pivotal role in creating a culture of ongoing information-sharing and collaboration among citizens, service providers and employers. We are confident this report provides a roadmap for moving forward.

2. Introduction

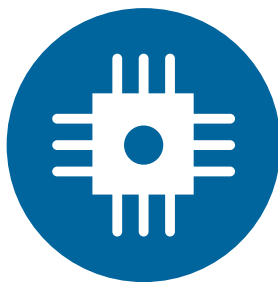
A. The Smarter Cities Challenge

By 2050, cities will be home to more than two-thirds of the world's population. They already wield more economic power and have access to more advanced technological capabilities than ever before. Simultaneously, cities are struggling with a wide range of challenges and threats to sustainability in their core support and governance systems, including transport, water, energy, communications, healthcare and social services.

Meanwhile, trillions of digital devices, connected through the Internet, are producing a vast ocean of data. All of this information – from the flow of markets to the pulse of societies – can be turned into knowledge because we now have the computational power and advanced analytics to make sense of it. With this knowledge, cities could reduce costs, cut waste, and improve efficiency, productivity and quality of life for their citizens. In the face of the mammoth challenges of economic crisis and increased demand for services, ample opportunities still exist for the development of innovative solutions.

In November 2008, IBM initiated a discussion on how the planet is becoming smarter. By this it meant that intelligence is becoming infused into the systems and processes that make the world work and into things no one would recognize as computers: cars, appliances, roadways, power grids, clothes, even natural systems such as agriculture and waterways. By creating more instrumented, interconnected and intelligent systems, citizens and policymakers can harvest new trends and insights from data, providing the basis for more informed decisions.

A Smarter City uses technology to transform its core systems and optimize finite resources. Since cities grapple on a daily basis with the interaction of water, transportation, energy, public safety and many other systems, IBM is committed to a vision of Smarter Cities as a vital component of building a Smarter Planet. At the highest levels of maturity, a Smarter City is a knowledge-based system that provides real-time insights to stakeholders, and enables decision-makers to manage the city's subsystems proactively. Effective information management is at the heart of this capability, and integration and analytics are the key enablers.



Instrumented

We can measure, sense and see the condition of practically everything.



Interconnected

People, systems and objects can communicate and interact with each other in entirely new ways.



Intelligent

We can analyze and derive insight from large and diverse sources of information, to predict and respond better to change.

Figure 1
Intelligence is being infused into the way the world works

As IBM aligns its citizenship efforts with the goal of building a Smarter Planet, we realize that city leaders around the world face increasing economic and societal pressures. Given the increased demand for services, they have to deliver new solutions ever more rapidly.

With this in mind, IBM Corporate Citizenship has launched the Smarter Cities Challenge to help 100 cities around the world over a three-year period become smarter through grants of IBM talent. The City of Philadelphia was selected through a competitive process as one of 24 cities to be awarded a Smarter Cities Challenge grant in 2011.

During a three-week period in October of 2011, a team of six IBM experts worked in Philadelphia to deliver recommendations around key issues for Mayor Michael A. Nutter.

B. The Challenge

Over the past 50 years, the Philadelphia region transformed from a manufacturing, banking and insurance center to become a health services, higher education, telecommunications, and pharmaceutical leader. However, many Philadelphians have struggled to keep pace with these changes and do not have the skills needed to become part of the city's current and future economy. Some startling statistics include the fact that only 23 percent of Philadelphians have a college degree, and only 52 percent have a high school diploma (or equivalent). Forty-one percent of the city's residents do not have personal access to computers and online technology.¹

By 2030, it is estimated 600,000 Philadelphians will lack basic literacy skills. Even more people will lack 21st century skills of communication, critical thinking, collaboration and creativity, essential to compete in the new global economy. If nothing is done to reverse this trend, the City will struggle to support and attract companies requiring a literate and skilled workforce and Philadelphia will find it hard to compete in the global economy for quality, high-wage jobs. More of its citizens will be consigned to a world of unemployment and low wages.

Philadelphia's public and private sector organizations already serve 135,000 citizens, trying to move them into full employment by tackling low literacy, low digital literacy, and insufficient work skills. What is needed is the ability to expand their operations to meet ever growing need and more important, to collaborate in order to eliminate redundancies. They must create a mechanism that recognizes the skills valued by employers and when these are attained, and also establish a method to curate content or link to the best sources of content to meet a specific skill gap.

In the spring of 2010, Mayor Nutter took the first steps to reorganize Philadelphia's public workforce development agency to better align and unify programs and increase efficiency, transparency and accountability. The reorganization will also create stronger connections between the workforce training system, the City's economic development organization, and the education system. To support this vision, these separate efforts will be unified under the Digital On-Ramps Initiative.

Digital On-Ramps (DOR) will provide a framework for delivering comprehensive education and workforce training to youth and adults using a blended learning approach. Accessible via cloud technologies, DOR will offer an array of educational and training tools, from basic literacy and math to post-secondary education and employment training. To help students learn effectively, the material will engage students through interactive online content as well as traditional classroom methods. Content will be available to a full range of devices whether mobile, tablet, netbook or desktop computer to provide "anywhere, anytime, any device" access.

Coupled with this challenge are several process and infrastructure issues that can be summarized as follows:

- A lack of alignment of effort across several digital initiatives and activities. New territory for all, thus limited expertise in the community about how to build a cross-sector system
- Multiple siloed data collection and information systems with inconsistent and sometimes redundant information, making it difficult for learners to track their progress and move along pathways to success
- Policy issues are an unknown. Philadelphia will have limited influence over national and industry decisions, requiring flexibility, adaptability, and quick responsiveness across all aspects of the system.

DOR will enable more people in Philadelphia to obtain critical work skills and improve outcomes for those who ultimately enroll in adult education and workforce development programs. It will produce more substantial and lasting results. Ultimately, more Philadelphians will obtain high school and college degrees, and the gap between the workforce's skills and available job opportunities will be narrowed.

During the Smarter Cities engagement, a team of six IBM experts worked in the City of Philadelphia to deliver recommendations to infuse their existing literacy (three Rs: Reading, 'Riting, 'Rithmetic" and digital literacy) and workforce training infrastructures with new strategies and technologies to create the DOR human capital management system (Figure 2).

	Planning, governance, initiatives and programs	Provider performance	Citizen performance	Workforce planning and management	Learning and development	Citizen data and information management
Direct Strategy and Planning	Create and manage strategy and planning	Provider performance management strategy	Citizen performance and management strategy	Short and long-term workforce demand forecasting, planning and budgeting	Learning and knowledge management strategy	Strategy to leverage technology
	Develop policies and procedures	Reward recognition and motivation strategy for provider	Reward, recognition and motivation strategy for Citizen	Resourcing strategy and plan	Plan programs and roll-out	Plan DOR infrastructure
				Citizen segmentation	Plan curriculum	Privacy strategy
				Skills definition and competency		
Control Manage, Monitor and Track	Manage and control function and performance	Service provider management	Manage career development	Manage workforce process and performance analytics	Manage programs outreach and promotions	Define and manage reporting process
	Manage providers			Analyze and control workforce programs performance	Manage curriculum and content	Privacy management
	Manage stakeholder relations (employer)			Outcome evaluation	Manage enrollment and roll out	Define citizen data and inquiry process
	Manage stakeholder relations (funder)				Plan and optimize resources	Manage citizen data, manage governance
	Manage stakeholder relations (government/agency)					
	Manage initiatives and programs					
Execute		Executive provider performance reviews and feedback	Individual development and career planning	Workforce programs and aligned resources scheduling and deployment	Eligibility determination	Citizen/provider help desk
			Execute citizen assessment	Skills competency equivalency and credits	Enrollment/intake	Citizen data and life status changes
			Provide citizen counseling	Citizen tracking and managing stickiness	Provide program delivery	Execute reporting
			Performance review and follow up		Process assessment and certifications	

Figure 2
The Business Components of DOR

In this report we will present:

- A snapshot of efforts aimed at creating Philadelphia’s 21st century workforce
- A sense of the scope and feasibility of the project
- A high level implementation plan and recommendations, including suggestions for “quick win” projects to jumpstart success.

C. Approach

The team received outstanding support and collaborated extensively with City Leaders as well as key DOR stakeholders. Over the three-week engagement, the team gained a better understanding of Philadelphia and the issues it faces through the following activities:

- Kick-off meetings with the Mayor, DOR Executive Steering Committee, and the DOR Steering Committee
- Over 39 interviews with more than 66 people from City agencies, nonprofit organizations, School District of Philadelphia, Workforce Investment Board, businesses, foundations, and other key stakeholders (a complete list of interviews can be found in Appendix A)
- Analysis of additional materials and websites provided to us as a result of the interviews
- Touch-point meetings with the DOR Executive Steering Committee
- Meetings with experts from the broader IBM team to validate hypotheses and recommendations
- Cultural immersion in the community such as an historic walking tour, a mural arts tour in South Philadelphia, and assembling three IBM Young Explorers Learning Computers for the Opportunity Industrial Center (a small subset of the 100 units IBM donated to support Philadelphia’s Freedom Rings Initiative).

We approached the initial interviews with no preconceptions and discussed with interviewees what they provide, who they work with, what infrastructure they own and their expectations of DOR. After a few meetings we realized that the stakeholders were experts at serving their constituents. The challenge for DOR was going to be how the participants could work together on such a strategic initiative, to ensure it was not to become a mere series of pilot projects but rather an outcome-led sustainable initiative centered on Philadelphians.

In addition to “anywhere, anytime, any device” we also considered:

- Constituents: In the 14-65 range, what are the different groups being served, for example: youth, in school, dropouts, unemployed, employed?
- Environments: What are the different types of environments where learning can occur, for example: in school, at home, at the library, on the bus, or in the community center?



Figure 3
Smarter Cities Challenge Team Approach

Figure 4 depicts the business context for DOR. DOR is at the center with the business entities with which DOR interacts shown around DOR. In addition, the arrows signify the type of information shared.

As part of our report to the City, we are recommending a set of “quick wins” – prototype projects designed with scalability in mind, to validate assumptions, lay out the foundations for DOR, and to be used to make the case for funding. The City should then build on these quick wins to develop a comprehensive, integrated strategy to increase literacy and employment for all Philadelphians in need.

We organized our findings into the following themes:

- Learning: blended learning, pathways, assessments
- Governance: leadership, trust, outcomes, data exchange, technology evaluation and standards
- Philadelphians: citizens, providers, employers
- Scalability and Sustainability: infrastructure, flexibility, outreach.

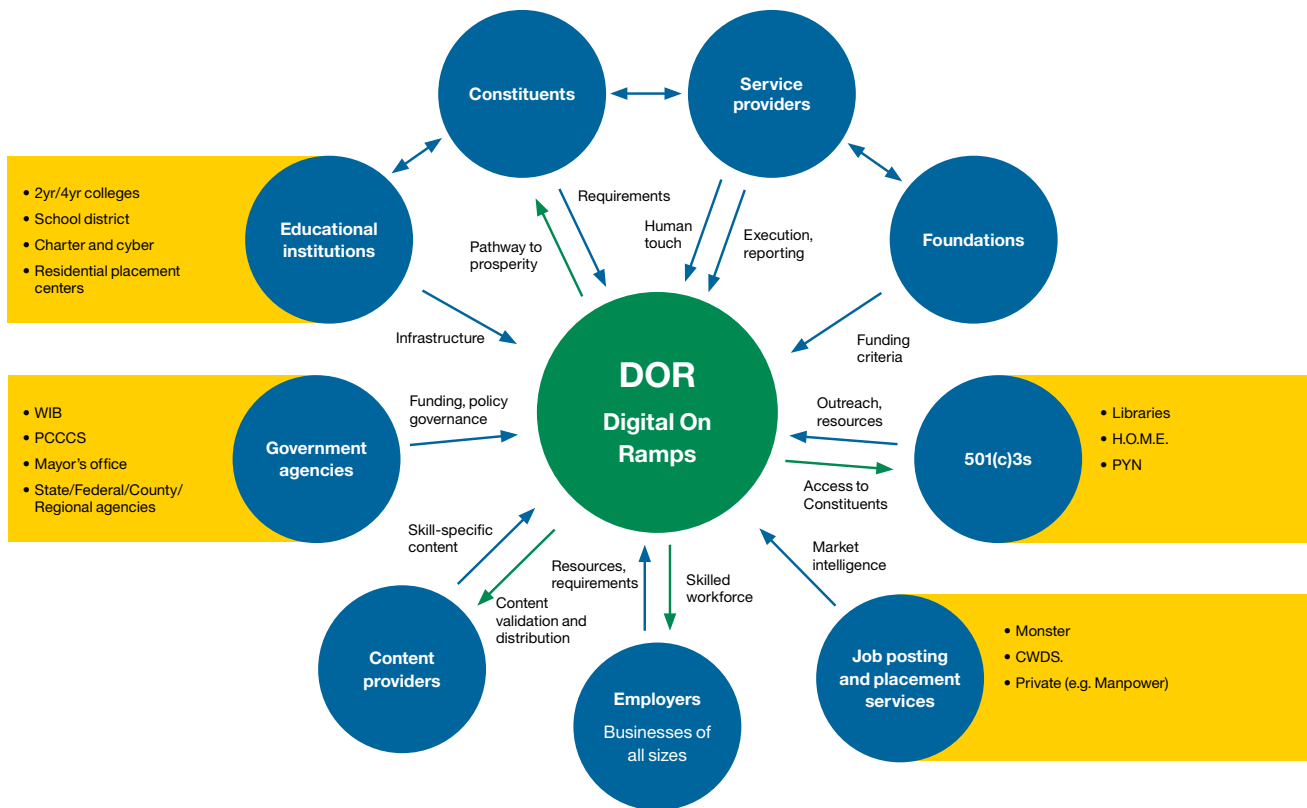


Figure 4
Business Context

3. Findings and Themes

A. Setting the Stage

Two of the most important documents in American history – the Declaration of Independence and the United States Constitution – were written in Philadelphia. Today, 22 percent of Philadelphia’s citizens would struggle to read either. “Philadelphia is in crisis: 550,000 adults do not have the literacy skills to apply for a job,” according to Philadelphia Mayor Michael A. Nutter. In his 2011 Budget Address, Mayor Nutter characterized the City’s new budget as one “that will make us a smarter city by tackling the quiet shame of 550,000 Philadelphians who don’t have adequate literacy skills.” It is an ambitious goal.

According to the City’s Smarter Cities Challenge proposal, “Philadelphia is poised to create one of the largest and most effective citywide human capital management systems in the country.”³ The City of Philadelphia has hundreds of individual literacy and workforce programs which, in total, serve approximately 135,000 people. They work independently of each other and this lack of synergy prevents them from scaling up.

“Philadelphia is in crisis: 550,000 adults do not have the literacy skills to apply for a job.”

— Mayor Michael A. Nutter

The vision is that DOR will allow citizens to access education, training, and support that will help them in developing literacy, digital literacy and workplace skills. It will increase scale and impact by providing simple on-ramps via a variety of devices that personalize and customize learning interventions from basic literacy/math to post-secondary education and employment training. The ultimate goal is to put unemployed citizens back to work, and help employed people to progress to better paying jobs and careers, by facilitating opportunities for lifelong learning.

In talking with the many DOR stakeholders in City government, the community and business, we uncovered a variety of opportunities, challenges and issues; some technological, some programmatic, and some related to the way in which individuals and organizations collaborate and interact.

We have organized these into four themes: Learning, Governance, Philadelphians, and Scalability and Sustainability. Each of these themes offers challenges and opportunities, and each is fundamental to the long-term success of Philadelphia’s vision.

While relatively simple in theory, applying the concept of DOR to learning is extremely complicated in practice. The needs of many stakeholders – government, community-based providers, businesses and citizens – must be considered. New approaches, collaborations, business practices, and technologies will have to be adopted. Old ways of doing things may be left behind.

A plan or roadmap that details these necessary changes, both short and long-term, is crucial. It is important that this roadmap not be static. Over time, established pathways can change; neighborhoods and communities can shrink or grow. The character of those communities can change. The needs of Philadelphians and the workforce evolve.

Just as a GPS device can help a driver navigate unfamiliar territory with maps and directions that are continuously updated, we believe that a focus on Governance, Philadelphians and Scalability and Sustainability can help guide the DOR Steering Committee and stakeholders through the unfamiliar and constantly changing territory of a Learning Digital On-Ramps.

IBM is very familiar with navigating the unknown and evolving to address new markets and business opportunities. When the company changed its name from “The Computing-Tabulating-Recording Company” to “International Business Machines” in 1924, it defined itself as a company that manufactured business machines. Initially, that meant industrial kitchen equipment and master clocks for factories. Later, it was tabulating machines and typewriters. The company contributed to the war effort during WW2 by manufacturing bombsights and rifles. Eventually, IBM got into the computer business. Today, IBM no longer makes PCs or laptop computers. IBM has thrived by embracing the concept that we live in a world of constant change and that survival is dependent on a capacity to change and to think long-term.

DOR needs to communicate its focus on learning clearly, with the end goal of enhancing its citizens' employability. From our interviews with various DOR stakeholders, we concluded DOR's business focus is on learning; of every type. As citizens' needs change, as employers and industries move in and out of the Philadelphia region, and as technology continues to change the way we live and work, we believe a focus on Learning – GPS will give DOR the flexibility to continue meeting the needs of its citizens well into the future.

B. L is for Learning – Citizen-centric View

One of the biggest challenges facing the Learning DOR is the diversity of Philadelphia's citizens and the range of learning needs that they have. To succeed and meet Mayor Nutter's goal of making Philadelphia a smarter city, DOR needs to serve citizens from 14 to 65 years old. It must serve people who dropped out of high school as well as people with advanced degrees looking to advance their careers. Non-English speakers, people with disabilities, veterans, immigrants, single parents, and the homeless are all potential learners. Those who are unemployed and need education delivered in the context of their career pathway are candidates for learning. People who need assistance with the three Rs: – “Reading, 'Riting, 'Rithmetic;” as well as those who need help with the 21st century four Cs: Communication, Critical thinking, Collaboration, and Creativity should all be targeted.

In other words, DOR must be able to meet the needs of virtually all Philadelphians. It must do so by treating each citizen as an individual, and this presents some unique challenges. The City of Philadelphia can help facilitate customized learning by leading a city-wide effort to segment the DOR target population. This can be based upon the current understanding of relevant characteristics – for example literacy levels, age, educational attainment, and geography. It can build on the work already done by individual service providers in segmenting their constituents. With a comprehensive understanding of the needs of different populations across Philadelphia, the City should lead a collaborative effort to develop targeted strategies to serve each segment. Such an effort will assist in triaging the various population segments, to facilitate the efficient development of specific strategies and related programs for such segments, and to help match supply and demand for programs.

One size does not fit all – Blended approach: People learn in different ways. For some, self-guided online learning will be effective and they will thrive. For others, digital learning will be a challenge. They will need training, mentoring, support, and reinforcement. And for both the “digital natives” and the “digital immigrants”, “all-digital all the time” will be neither practical nor preferred. Learning will at times need to be in person, in a classroom. A blended, managed learning opportunity that provides individuals with the flexibility to choose a style of learning that suits their unique needs is critical. Simultaneously, providers should understand when digital learning is appropriate and when it is not; for whom it will work and for whom it will not. “Anywhere, anytime, any device” can function effectively, but it must not be confused with “everywhere, all the time, every device”.

Pathways to learning: A learning pathway is the route taken by a person through a range of educational activities. It allows the individual to build knowledge and skills progressively while working toward an end goal of employment, literacy, digital learning literacy or improvement in any one of these areas. With learning pathways, the individual’s starting point and end goal are clearly identified through a baseline assessment at intake, together with the intermediate steps required to achieve that goal. However, the way an individual advances down that pathway needs to be flexible. As the person progresses, they receive standardized tests and assessments leading to badges (indicators of completion of a course or intermediate step) and eventually certification of key milestones achieved. Since the citizen’s pathway is defined, it is possible to automate alerts and notifications informing the individual they are one or two small steps away from achieving their next badge or certification. This is an approach used successfully by the New Options program in New Mexico.⁴

Personalized, Customized and Flexible: Since one size does not fit all, it is critically important that citizens have pathways to learning that meet not only their current skill level and learning style, but also their career choice. Individuals starting out with different skills will almost certainly take different pathways to their literacy or work goals, whether those goals are the same or different. Family and work demands also necessitate flexibility and customization. Furthermore, since it is likely that people will change their career goals as they work toward literacy and employment, the DOR curricula and pathways need to offer the flexibility required to support and even encourage those changes.

“We have been moving in recent years towards an education system that is more flexible and diverse. The aim is to provide students with greater choice to meet their different interests and ways of learning. Being able to choose what and how they learn will encourage them to take greater ownership of their learning. We are also giving our students a more broad-based education to ensure their all-round or holistic development, in and out of the classroom.”⁵”

— Singapore Ministry of Education

Open learning environments: “Anywhere, anytime” means just that. Digital learning may allow citizens to study and learn independently, but such a style does not mean they will learn in isolation. The City of Philadelphia is fortunate to have a variety of learning environments available to its citizens. Libraries, community centers, coffee shops, places of worship, public transportation hubs, apartment buildings and schools are just some of the environments where citizens naturally congregate. They can become spaces where citizens meet to learn together. To be successful, DOR needs to consider and utilize learning environments in the broadest sense possible. It is not just about rooms and buildings.

Learning environments include social and cultural forces as well, such as the successes that libraries are having with their innovative open community approach, and planned airport hotspots. People who are a natural part of the environment can be an important resource for students. Professional and support staff can offer invaluable guidance, mentoring and tutoring, although this requires coordination and training. The payback is not just support for students; open learning environments can also be a source of community support to ensure the long-term success and sustainability of the DOR program.

Locally, the Mayor’s Commission on Literacy is working in partnership with the Philadelphia Department of Parks and Recreation to implement an IBM Reading Companion Grant at City Recreation Centers. This effort will provide interactive web-based, free software that uses speech recognition technology to “listen” to emerging readers as they practice and provides individualized feedback on their progress. The Reading Companion software will be loaded on all computers in the newly-installed public computing centers at 19 Philadelphia Public Recreation Centers through the Freedom Rings Partnership.

“Technology is a tremendous untapped resource to dramatically increase student learning. By redefining ‘classrooms’ as we know them, technology can serve to individualize pace, style and model of instruction, to meet each and every student’s needs.” – Broad Foundation

Connecting learning to work: People whose goal is employment need to have their efforts linked toward this end, particularly if that goal is many months or even years away. One of the best ways to do this is by providing internship and apprenticeship opportunities as part of the learning pathway. Experience in the workplace not only enhances and reinforces course work; it can strengthen the individual’s resolve to continue down their learning pathway. It may also help the person discover, sooner rather than later, that the work goal they set needs to change. Drexel University’s Co-op program is an excellent example of the power of internships as an integrated, planned part of education.

Another way to link learning to work is by securing employer validation of badges and certifications. By this, employers do not guarantee jobs to individuals if they achieve specific certifications, but rather, they are validating the various levels of achievement that qualify the individual for a job or career with a company or industry. An example of this is IBM’s P-TECH⁷ program in New York which prepares high school students for computer architecture and software development jobs with IBM. By completing P-TECH, students are prepared to compete for these jobs and are “first in line” for them.⁸ Chicago is now evaluating ways to create a similar model.

Professional Development: In this report we have focused on three groups of Philadelphians: citizens, providers and employers. The truth is that DOR providers are also employers, and their employees are also citizens. DOR provider agencies will vary in size, budget, and capabilities. Their staff will vary in their skills and expertise as well. Some organizations will be large and sophisticated in their use of technology, while others will be more grassroots and limited. Staff from both types of programs will need education and training to stay up to date in their professional development. DOR can leverage the same infrastructure, curricula and blended learning tools to help partners ensure that their staff not only have the skills required for their current jobs, but that they have a pathway to career advancement.

Content: The good news is that there is an abundance of content that DOR can use to develop curricula for literacy, digital literacy, workplace literacy and a variety of careers. Some of these materials were developed by DOR stakeholders, others are available through a variety of resources like colleges, universities, programs and providers outside of Philadelphia and online sources like iTunes University. However, not all content is created equal.

DOR will need to develop a mechanism for providers to submit content for vetting to allow its integration into DOR learning pathways, badges and certifications. Initially, DOR may want to serve as an intelligent aggregator of content resources, where an online interactive guide helps providers or citizens find courses based on learning objectives, physical location, preferred learning environment and other factors. Eventually, there will need to be a process for DOR to create new, original content as the need arises. It may be valuable to consider DOR students as content creators. Content of all types will need to be archived, continuously updated, re-validated, and made available to providers and citizens. There will also be content to which DOR will want to direct users without formally incorporating it into its learning pathway. This is content DOR may want to point out as valuable, without taking ownership or responsibility for its maintenance.

Screening and Assessment: Screening involves brief assessments that are valid, reliable, and evidence-based. They are conducted with students or targeted groups of students to identify where the individual is on their learning pathway. At intake, screening and assessment help to determine the needs of the individual. Assessments are then used, as the person progresses, to validate achievements that can lead to badges and certifications. As is true of content, there are many sources of screening tools and assessments. Some tools and providers like KeyTrain/WorkKeys, Worldwide Interactive Network (WIN), and National Occupational Competency Testing Institute (NOCTI) are focused on work competency and career readiness and are already being used by DOR stakeholders. Other tools are focused on academic skills and achievement. The National Center on Response to Intervention⁹, the US Department of Education's What Works Clearinghouse¹⁰, and Intervention Central's Curriculum-Based Measurement Warehouse¹¹ are just some of the places to find valid and reliable academic screening and assessment tools that can be incorporated into DOR.

Entrepreneurship: It is somewhat ironic that Steve Jobs, one of the world's great designers of digital devices and methods for sharing digital content passed away two days into the DOR project. When the world lost Steve Jobs, they also lost one of the world's great entrepreneurs. Entrepreneurs put their ideas to work, starting new businesses and taking on the risk and rewards of being an owner. The "job" of entrepreneur requires creativity, critical thinking, excellent communication and collaborative skills. In other words, it requires 21st century skills.

In thinking about pathways to learning and employment, traditional jobs and careers are not the only pathway that DOR should consider. Entrepreneurs not only create jobs for themselves, they can create jobs for others: sometimes thousands of others.

Keep it simple: We have seen it numerous times in both government and the private sector: tens of thousands of dollars are spent on new IT hardware and software and it sits on the shelf; figuratively and literally. If DOR cannot make learning easily accessible, citizens will not access the On-Ramps. And if they do get on, and find it difficult to access what they need, they will run to the nearest exit.

One of the easiest ways to keep things simple is to avoid “big bang” projects that try to do everything at once. Start small, find some quick wins, but have the long term vision in mind and build on those wins. Build learning components that build on each other.

Transferring traditional learning to digital is not enough: Perhaps the most important lesson that IBM has learned over the years is that meaningful change is not about the technology, but rather the new systems and new approaches it allows and enables. Simply taking a traditional classroom curriculum and making it available online or through a mobile device is not sufficient. Business as usual, even if it is digital, is still business as usual, and it is almost certain to fail.

Providers must consider what will happen to a curriculum when it becomes client-driven and digital. How will audio and video be incorporated? What are the options for assistance and mentoring in an anywhere, anytime course? How will progress and achievement be monitored and measured? Organizations may need to reconsider core principles and culture and move from a collection of independent entities to a unified and integrated enterprise with common goals and values. It does not mean giving up what makes you successful and unique, but it does mean doing things in a new way.

C. G is for Governance

Improving literacy and workforce-readiness is a challenging social endeavor which has the potential to achieve enduring beneficial outcomes to Philadelphians. No single agency, sector or organization can independently solve this problem: the City and other entities, public, private and philanthropic, must collaborate effectively. Recognition of this need led to the formation of the Digital On-Ramps (DOR) steering committee. Although the entities involved with DOR are ready to collaborate toward a common goal, there are some constraints which may affect future progress and sustainability. These include grant restrictions on fund use, legal and regulatory elements and existing relationships between DOR participants and other institutions.

Many public sector or collaborative efforts succeed in early pilot projects but cannot scale up and never achieve sustainability because of the lack of good governance. Good governance is an essential ingredient to the success of DOR. It will empower DOR entities and make them accountable by providing a framework for implementation and a consistent, structured evaluation of the initiative.

Good governance will:

- Define, monitor, and enforce business policies
- Define roles and the structure of the organization
- Define metrics for success and key performance indicators
- Provide a set of standards that facilitate information exchange
- Define business processes for to enable stakeholders to work towards a given outcome.

Building Strong Relationships

Relationships, those that exist and those that need to be developed, are perhaps the driving force behind the need for good governance. A number of collaborative relationships between DOR participants already exist. These relationships need to be nurtured and maintained. They can be the foundation for the strong collaboration and sharing that will ensure DOR’s long-term sustainability. There is, however, an urgent need to build more broad-based collaborations among DOR participants and between DOR and other entities that are not part of DOR. During our interviews, we heard the term “turfism” a number of times. We also encountered a few participants who indicated they would be reluctant to share resources. We understand this may be the first time some organizations have collaborated on an initiative so comprehensive and strategic, and that it might be difficult to trust other groups that are also viewed as competitors. Nevertheless, we are confident that these hesitations can be overcome, and a community of trust established by building a compelling vision for all stakeholders.

Motives for non-collaboration, such as competition for grants, will frequently challenge the pursuit of common objectives among the DOR partners. It is critical to find common ground that encourages the aggressive pursuit of DOR-focused goals. Existing relationships between DOR partners are the foundational building blocks for the initiative. Leverage these core relationships to show “quick wins” that require collaboration between each other. Such victories will motivate other organizations to join the project.

In order to nurture good relationships among DOR partners and ensure DOR’s sustainability, we believe that the following Governance elements are necessary:

1. Leadership and Structure

Leadership and organizational structure are central to good governance. An executive sponsor is required for authority, influence, and access to resources. DOR has a powerful sponsor in the person of Mayor Nutter. In addition, DOR’s Steering Committee is comprised of champions who are intimately involved and use their expertise to sustain the collaboration. This is essential because of the decentralized and collaborative aspect of the initiative. These champions are integral to DOR’s sustainability and will make sure the collaboration continues, even in the wake of leadership change. The DOR Executive Steering Committee provides strong direction, guidance, and vision. Each of these individuals and groups has contributed significantly to the advances made by DOR so far.

However, with no single identified leader for the initiative, DOR’s further progress will be hindered. Successful initiatives, even in a highly collaborative environment, require a strong focused leader at the helm undistracted by competing priorities, who places their initiative’s success above all other considerations.

Mayor Nutter is the executive sponsor of DOR. Its goals are in direct support of the Mayor’s office. DOR should continue to use the Executive Steering Committee to provide vision, leadership and guidance. The DOR Project Lead should be a visible and persuasive champion well-versed in the intricacies and nuances of collaborative partnerships in Philadelphia. He or she should also serve as Chief Learning Officer in the model of the Cities of Service Leadership grants.

For long-term sustainability, it is advisable that DOR exists outside the Mayor’s office and has consistent leadership across administrations. With its strong workforce emphasis, DOR would, ideally, fit within PhillyWorks. Due to be operational in June 2012, PhillyWorks combines the Workforce Investment Board and the Workforce Development Council with direct funding from Federal, State and private sources, and the Mayor gives it direction. In the meantime, DOR can incubate in a number of places including the Mayor’s Office as Chief Learning Officer or an expansion of the Mayor’s Commission for Literacy, or as a subcommittee of the WIB such as the Philadelphia Council for Career and College Success (PCCCS).

Another aspect of the DOR governance structure currently missing is a business process to bring new partners and stakeholders onboard. A number of entities such as education system representatives, employers, and social services are not at present active participants in DOR. The involvement of city-wide learning institutions and local business community leaders is essential to build trust and give the initiative credibility. Social Services are critical as support systems.

Other sections of this report detail the organizations that must become involved as soon as possible. Before that happens, a formal process should be created to encourage participation. The development of a compelling value proposition outlining the benefits of joining DOR should be part of the process.

An interesting model to consider adapting for Philadelphia, particularly in terms of its success in gaining support from the business community, is the 2003 alignment of New York City's workforce development system with its economic development strategy. This was achieved at the time by consolidating its Department of Employment's adult programs into the Department of Small Business Services.¹²

2. Role of the City

To succeed, DOR needs to reach far beyond its core mission of increasing literacy and employment. Under Mayor Nutter's leadership as DOR executive sponsor, the City can expand its role in facilitating and rewarding efficient information-sharing and pro-active collaboration among City's departments, the K-12 education system, adult basic education services, community colleges, local colleges and universities, the Workforce Investment Board, local employers and other stakeholders who are key to DOR's success.

Just as no student succeeds on their own, DOR must have active support and cooperation from other City agencies, the state, and federal government. Students in certain constituencies will need services such as childcare, accessible course content, and reliable transportation. While not specifically within the scope of DOR, ensuring the support of key City and state agencies responsible for providing these services is critical to DOR's success. The involvement of City departments such as the Department of Human Services and the Workforce Investment Board is as important as that of state-level agencies such as Public Welfare, Higher Education Assistance, the System of Higher Education, and Labor and Industry. We recommend the Mayor and the Steering Committee expand the Steering Committee to include a representative from each, and involve the agencies in working on grant applications and securing other resources, providing expertise, and promoting the initiative under the day-to-day guidance of the DOR Project Lead.

3. Outcomes Evaluation

DOR goals are defined at a high level. They include: anywhere, anytime learning from any device; simplicity; scale; proficiency and mastery; and building a community around learning. There is however no definition of more detailed goals and objectives, nor key performance indicators (metrics), nor any mechanism to keep track of these metrics. This is to be expected at this early stage of the initiative, but these omissions need to be addressed since they are essential to the accountability and sustainability of DOR.

Being able to measure outcomes is important because:

- It differentiates reality from perception
- It makes participating organizations accountable
- The results can help DOR publicize wins and encourage work on the next steps in the DOR roadmap
- The results can help measure "Return on Investment" (ROI)
- The results will be used as a business case to secure additional funding.

Defining Metrics

DOR participants already have an obligation to report to their funders. A number of DOR participants are successfully using reporting mechanisms other than Excel spreadsheets. For example, Graduate Philadelphia uses a web-based Constituent Relationship Management (CRM) tool. During the course of our interviews, it became obvious, but not surprising, that DOR outcomes are related, although different from those measured by grants or other government funding structures. DOR participants may have to start collecting a different kind of data from that which they currently collect and report on. The DOR leadership will need to find a way to balance what they ask partners to collect and report with what these partners already have to do for their sources of funding. If DOR participants are going to be required to do additional work, they must see it as valuable.

Defining Monitoring and Management Framework

DOR needs to develop a strategy to implement a monitoring and management framework that measures DOR outcomes. This framework is a living dashboard that shows DOR's performance using a set of graphic diagrams. The framework should include a mechanism for collecting and analyzing the data and should be developed alongside the DOR infrastructure, curricula, and business architecture. Waiting until these components have been put in place is too late. The framework should be role-based and provide different views to different users, for example to the DOR Project Lead, Steering Committee and providers. The reporting mechanism needs to be simple and transparent to providers without putting extra burdens on them. DOR can learn best practices from DOR participants on what reporting mechanisms works well.

4. Data Exchange

As constituents progress along their pathways, they will undertake activities with a number of different providers. For example, a person who is chronically unemployed due to lack of reading skills, might enroll in a literacy course at the library while also taking a video-based workforce training course provided by a community-based job-training program. Today constituents are required to give their profile and learning information to each provider. Through DOR, providers can exchange data about learning activities (for example, demographic data, assessment result, learning history) with the constituent's consent. This streamlines intake for both provider and constituent.

The data currently exists, but is housed in organizational and technology silos. Without a policy for data sharing, it will be very difficult to implement the scalability envisioned by DOR. Establishing a data exchange framework and analytics is essential for DOR's success. The framework is the overarching environment within which data will be shared. It includes a common data model, data warehouses, business processes and rules for sharing information, data security and privacy mechanisms and data management.

A consistent "intake" business process used by providers to gather data about constituents also needs to be developed. As part of "intake," providers will gather information from DOR and provide updated information to DOR. By standardizing the intake process, procedures will be simplified for both citizens and providers, with duplicate data entries eliminated, less time required to get started, and more complete and accurate data provided.

An excellent discussion of the use of analytics in this context is the Alameda County Social Services Agency ROI Case Study.¹³

5. Technology Evaluation and Standards

Technology evolves rapidly. Mobile computing (smart phones and tablets), social media, and the Cloud are just a few examples of rapidly emerging technologies that have had a dramatic impact on how people use technology. Initiatives aimed at improving literacy and workforce readiness by leveraging technology will outlive specific technology decisions.

DOR needs to have mechanisms in place to benefit from the evolution of technology and avoid vendor lock-in. Standards are necessary to establish the “shared services” model required by DOR. They define the principles that participants have to follow in order to participate. For example, as one of the guiding principles behind DOR is “any device”, so DOR should establish a set of open standards that will allow new devices to be part of DOR.

After a number of “quick wins” have been established, DOR should form a committee of technologists and learning experts – a Center of Excellence – staffed with people who know about best-of-breed solutions, how to evaluate vendors and service providers, to define open standards, and to promote best practices.

The proposed architecture overview diagram provides a conceptual view of DOR users, modes of access, as well as the functionality provided by DOR. (Refer to Appendix B: Proposed Architecture Overview for DOR for details).

This Center of Excellence will institute a set of standards for participation in DOR and establish these standards as a requirement in all DOR-related Requests For Proposal (RFP)s.

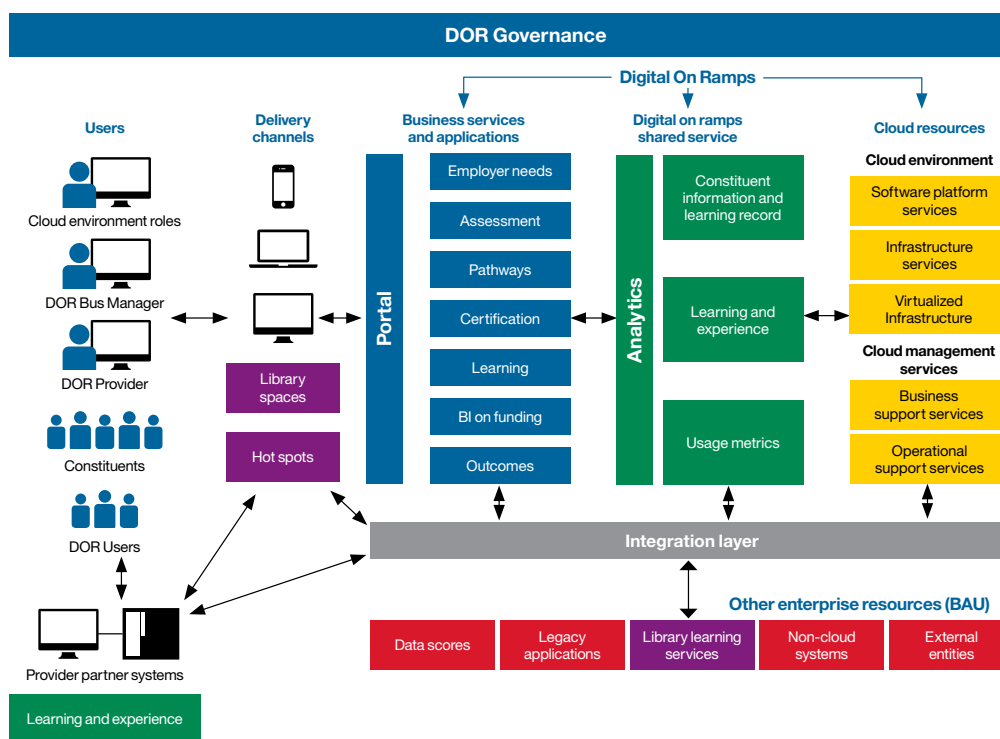


Figure 5
Proposed Architecture Overview Diagram

D. P is for Philadelphians

During the Smarter Cities Challenge: Philadelphia, we interviewed approximately 66 individuals from 38 organizations representing City government, private sector employers, universities and colleges, schools and community-based organizations. While the support for DOR is strong and clear, the way in which this support can be harnessed and coordinated is less clear. There are many ways to build collaborative relationships between groups and individuals who have never had the need or desire to cooperate before; or between those who have long-standing, successful collaborative relationships that are now in need of redefinition. The first step in developing these relationships is to understand who the stakeholders are; their needs, their strengths, their weaknesses and their concerns.

We have chosen to view the DOR stakeholders in three groupings: citizens, providers, and employers. Some organizations and individuals may find themselves in more than one grouping. A provider, for example may also be an employer. Others may find none of the groupings is exactly right for them, and that a fourth or fifth grouping would be preferable. In the interest of simplicity and flexibility, we opted to view Philadelphians from these three perspectives.

Citizens – As discussed earlier, one of the keys to making digital learning work for citizens is to make it flexible, customizable and personalized. Citizens need to be able to access information about themselves, their learning pathways, and their progress. They need to access providers and course material in a variety of ways, in different environments at various times. They need a citizen-centric view of DOR: one that is organized around their needs and their progress. On Monday they may work from home, on Wednesday they may work in the cafeteria at their place of employment. Sometimes they may want to access coursework in a library or with their peers in a coffee shop. DOR needs to support self-directed, independent learning and classroom learning.

Figure 6 shows the citizen-centric view of DOR, with the citizen surrounded by business-driven skills, modes of learning and the immediate environment, (for example, Communication Skills, Any Device, and Community Centers).

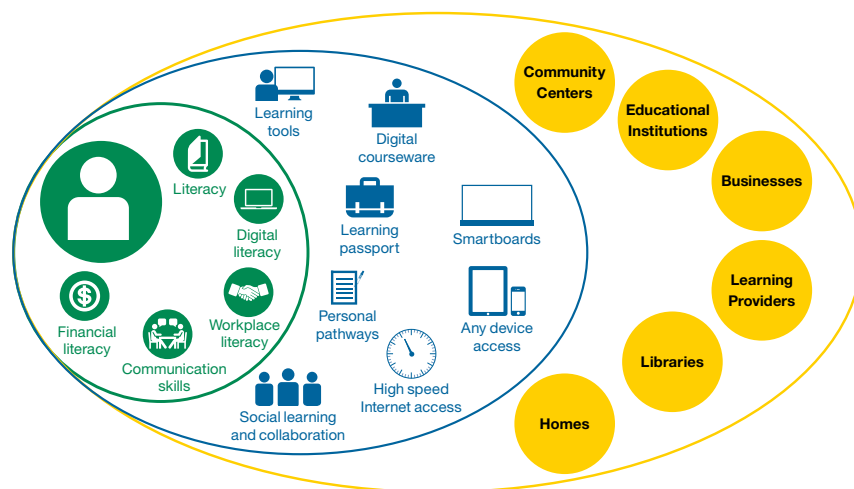


Figure 6
Citizen-centric view

To revolve services around the citizen seems necessary, even plain common sense. Survey after survey tells us citizens see their interactions with government and government-funded organizations as fragmented, frustrating and dissatisfying. But while it sounds simple enough in principle, imagine the complexity of organizing multiple levels of government, not-for-profits, community-based organizations, colleges and universities, and private industry. Moreover, all this is at a time when levels of trust in institutions are at historic lows, weakening the ability of cities, states, and nations to meet citizens' demands or take effective action in the face of economic, social or environmental crises.

Many groups involved in DOR traditionally exist in isolation from one another. This is not unique to Philadelphia. These silos result in poor coordination, duplication, and less than optimum outcomes for the people being served. Confusion, frustration and waste of personal time and money are the eventual consequence for citizens. For DOR to integrate these silos, systems that may have massive resources tied up in bureaucratic structures, aging technology, and processes that are hard to unravel and reshape, need to change. There can be no transition to a citizen-centric approach to literacy and employment without taking on this legacy.

To citizens, the verdict is clear; the old ways no longer serve them well in today's interconnected world. For their part, citizens' expectations of services are straightforward. They want:

- Service that is personal, as simple as possible, fair and equitable
- Governments and service providers who are mindful of personal information and the need to keep that information private
- The ability to consent to sharing personal information if it is more convenient for them in order to access service and benefits.

The promise of the new approach then, is easier access to services and information and choice in method of access.

The government of Canada implemented an excellent approach to this concept through its Service Canada portal. The project is described in the document "Service Canada – A New Paradigm in Government Service Delivery."¹⁴

Providers – During the course of our interviews, it became clear that the City of Philadelphia has a tremendous pool of providers all working on this challenge, albeit individually, who understand their constituencies and provide programs to meet their needs. These providers will bring DOR their expertise, their content and their physical resources. DOR, in turn, will allow the providers to scale up and reach more people, with access to vetted, aggregated content and a city-wide view of complementary programs and social services.

On the provider side, taking a citizen-centric approach involves a close examination of organizations in order to transform and coordinate them to be more effective. This means:

- Becoming more coherent at connecting policy decisions with service outcomes (in other words, getting a better understanding of citizens' real problems and solving them)
- Modernizing the delivery of programs and services in front and back office, eliminating waste and improving working conditions in the process
- Creating a more citizen-centric culture, so providers and government think and act as a single facilitating organization, rather than a labyrinthine agency structure full of red tape. This is much more difficult than developing a citizen-centric IT architecture
- Collaboration among all of those partners who can bring critical knowledge, skills and resources to bear on making the most of DOR
- Leveraging investments across multiple government and non-government partners to create economies of scale and new learning possibilities for citizens. Improving governance and bringing in outside partners through collaboration will build trust and lead to better outcomes, helping institutions adapt to a rapidly changing world.

In addition to this approach to learning, DOR must also consider how to present a single or holistic view to the citizen and implement it. Industry best practice for service organizations, both public and private, is to develop “one face” to the customer or client. Why? Citizens can go to one place; it is faster and easier for them to access what they need; it provides choice; they do not have to provide the same information repeatedly, and the service provider can offer the service at the point of contact. A one-stop, citizen-centric portal eliminates complexity for citizens. It connects people to the services they need, regardless of whether they understand the originating department or organization, the role of government, or how other providers are involved.

Delivering one-stop service means DOR service channels need to be easily accessible. They must provide citizens with choice. The internet is an essential tool for the citizen-centric service. People have developed new behavior patterns and trust models, based on their experience with eBay, Amazon, iTunes and other online services. They have come to expect similar experiences with all types of service providers, having experienced a retail environment where transactions are quick, easy, personalized and are conducted while they wait.

The DOR portal must become a service delivery channel, an environment where programs, services and assistance can be found, where people are remembered, where experiences are tailored to the preferences of the user, and where transactions are completed, not just started. Some people however, particularly if they are not digitally literate, will still seek service over the phone. In becoming one-stop, DOR should therefore consider providing one number for citizens to call, and allow them a clear choice: either speaking to an agent or using an interactive voice response service, depending on their personal preferences.

When citizens physically need to go to an office or class, it should be easy to find. They should feel welcomed, and should experience a service that leaves them with a positive impression, while achieving what they came to do. One-stop service means channels that are designed to work together – they are integrated. People are able to call or book appointments in offices, over the phone, or online. When in an office or other learning environment, they can access the internet or phone someone with a question. Integrated channel management means learning is designed with this one-stop experience in mind and ensures people have choice and easy access.

Of course, this level of service requires integrated information. People cannot be asked to fill out an application form for every course or service. By better integrating and sharing information, the costs of collecting and processing information can be reduced. Program integrity can also be improved as the latest, most accurate information is used. Most importantly, DOR clients will receive better service.

Becoming citizen-centric, implementing a one-stop approach, and embracing a holistic view of the citizen, means DOR will be asking some if not most providers to adopt new ways of doing things. They will be asked to share their clients, intellectual property, data, and resources with new partners who are in many ways competitors. The challenges associated with recruiting providers and overcoming resistance to change will be considerable. So too are the benefits and rewards for providers. DOR will offer better outcomes for clients, with new sources of funding, access to curricula and other learning tools, reduced duplication of services and redundancy of data collection.

The long-term vision underlying DOR is ambitious, even revolutionary. Citizen-centric means citizens cease to be passive recipients of services, and become active partners in the restructuring and innovation of public policy and service. One-stop service, supported by a holistic view of the citizen, means information-sharing among DOR providers is less cumbersome and time-consuming. The end result is programs and services that better meet the needs of the people they support.

Figure 7 shows the interactions between providers and DOR as they go through the timeline of Intake, Learning Path Creation, Program Completion, Testing, and Certification. It shows the exchange of information between the providers and DOR as well as the shared services DOR provides. In addition it also list examples of alerts that DOR can generate.

Employers – There are thousands of employers in Philadelphia. The largest (University of Pennsylvania and Penn Health System) employ over 30,000 people according to Philly.com. DOR has the potential to become as important a resource for Philadelphia’s employers as it is for the citizens receiving training and other workforce development services. It can do this by providing a pipeline of qualified candidates, trained in the specific skills needed by Philadelphian employers. To achieve this vision, DOR must engage employers closely in the development of DOR programming and the scaling up of its services. Employers have a critical role to play in validating DOR curricula, and providing training materials, internships and funding to support its expansion. It is critical DOR comprehensively engages Philadelphia’s business community as soon as possible.

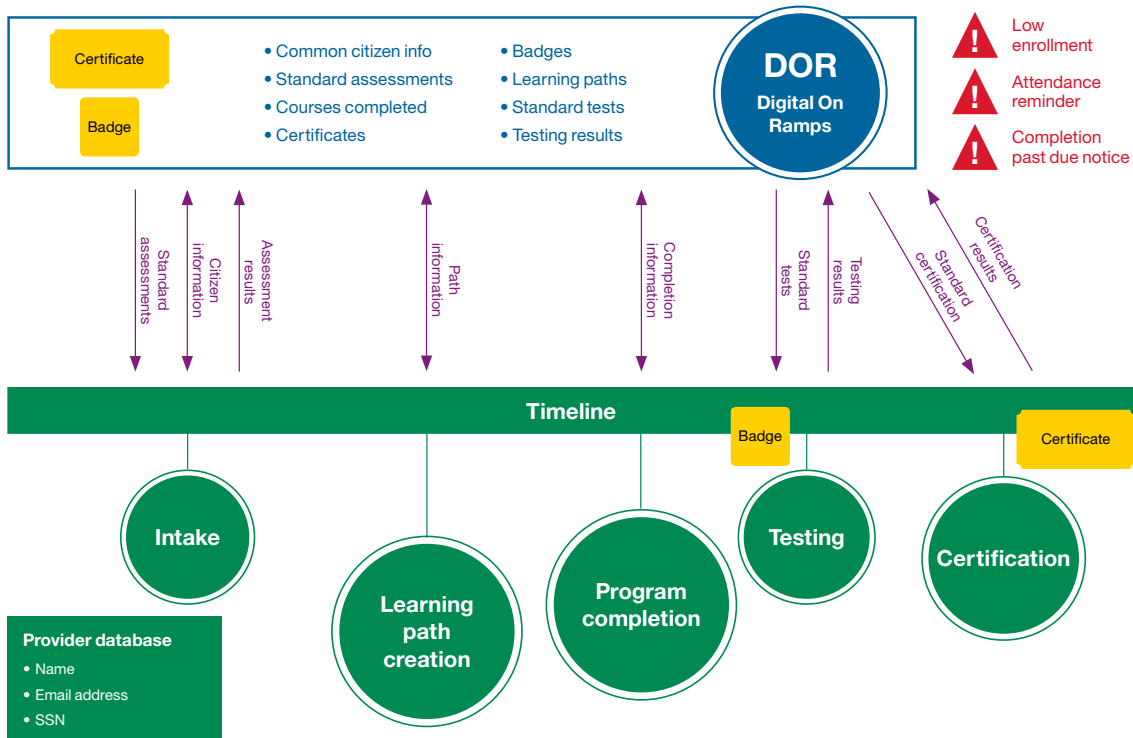


Figure 7
Providers’ interactions with DOR

Inviting key employers to the DOR table individually is certainly necessary but not sufficient in itself. It is also advisable to bring DOR to Philadelphia's business community in larger numbers. To do this, DOR should go where employers naturally congregate and meet: business networks, trade associations, chambers of commerce, business councils, business committees for the arts, and downtown associations. This is a quick and efficient way to strengthen and expand buy-in for DOR from employers.

In all of this, it is important to remember employers come in all shapes and sizes. Small employers are just as important to the long-term success of DOR as large employers. According to Manta, a small business networking site, there are over 116,000 businesses in Philadelphia; most of them small businesses. According to the U.S. Small Business Administration¹⁵, small firms represent 99.7 percent of all employer firms in the U.S. and employ just over half of all private sector employees. They have also generated 64 percent of net new jobs over the past 15 years. They are an important resource that should not be overlooked.

As DOR strengthens its relationship with employers, it will be important to focus not only on the variety of industries represented by employers, but the job skills required by those industries. This may seem obvious, but there is an important reason for this dual focus. For example, while there currently is no overall talent shortage in Philadelphia according to Monster.com¹⁶, the areas of finance and IT are close to showing shortages in qualified people. There is also a relatively high volume of job postings for people with these job skills. If one were to look at job availability by industry only, the availability of jobs for software engineers and financial analysts might be missed. So it is critical to focus both on industry and the job skills that are associated with and across industries.

Philadelphia's vision for DOR will allow citizens to access education, training, and the support to assist them in developing literacy, digital literacy and workplace skills. It will take the commitment, creativity, and resources of the total community to make that vision a reality. New relationships will be forged and old ones may deteriorate. There must be new ways of doing business. The only way to ensure the success and long-term sustainability of DOR is through the people who will deliver and benefit from DOR.

E. S is for Scalability/Sustainability

DOR originated with the objective of using technology to facilitate literacy and workforce development in Philadelphia. Blended learning practices can remove the physical constraints of classroom size and allows providers to reach an unlimited number of constituents. The vision is that more constituents will be reached and their learning experience enhanced, without the need for more people on the provider side.

Improving literacy and workforce readiness is not a one-year, four-year, or even ten-year project. Even if literacy rates in the City of Philadelphia dramatically increase, there will always be the need for improving people's ability to respond to an evolving workplace. Similarly there will always be a need to provide avenues of learning for Philadelphians; whether the learning is linked to employment or not.

That is why it is important to think about the sustainability of DOR even though it is in its infancy. Mayor Michael A. Nutter very clearly described his goal of DOR sustainability. DOR needs to be seamlessly woven into the fabric of the region and its citizens' lives so as to become a vital and permanent part of Philadelphia's identity.

While the long-term viability of DOR depends on its sustainability, its ability to handle growing amounts of people, providers, programs, and content relies on its scalability. Clearly, DOR is unsustainable if it does not scale up. DOR will not be viewed as a valuable Philadelphia asset that should be maintained if people are turned away from services they view as valuable; if they have to wait too long to get assistance; or if downloading or accessing information is tedious, frustrating and time-consuming.

It is important that the DOR consortium does not underestimate the challenges ahead. Historically, many attempts at scaling up education technology solutions or workforce development-related activities have failed. A number of very successful pilots were not scalable and for a variety of reasons, including weak infrastructure, never therefore moved beyond the pilot stage.

Infrastructure

The elements needed for sustainability and scalability start with infrastructure. DOR will only be successful if the problem is tackled from a system's point of view, which includes all participating entities. For example, the issue is not just about K-12 or just about workforce development. DOR could also be seen as a human capital management system, which includes the following domain areas:

- Planning and Governance
- Provider Strategy, Management, and Operations
- Constituent Strategy, Management, and Operations
- Workforce Planning and Management
- Learning and Development
- Information Management.

DOR's mission needs to be defined clearly and carefully. To avoid being boxed into a proprietary infrastructure that restricts flexibility a few years from now, the focus must not be too much on specific technologies of the day. A mission statement that is too narrowly focused on a current issue, even one as important as literacy or workforce development, may not allow unforeseen issues that arise a year or two from now to be addressed. DOR might consider a mission statement which is more broadly focused such as:

[Support the right of all Philadelphians to pursue a meaningful, healthy and enriching life by providing access to relevant and up-to-date learning opportunities and community support, to be available anytime, anywhere, on any device.](#)

In short, infrastructure – both technological and programmatic – needs to have inbuilt flexibility to allow DOR to adapt and grow as needs and technologies change.

That being said, DOR's current focus is on literacy, workforce development, and learning. Learning can happen in a number of different environments such as schools, community centers, the workplace, or homes. Research shows that affordable access to high-speed internet (broadband) is a pre-requisite to unleashing learning outside the classroom. This is needed not only for children, but also for parents, care-givers, and other family members that provide the supporting network.

During our interviews we spoke with a number of groups that are focusing on this issue. Comcast has the Internet Essentials program, which provides 1.5MBPS broadband for \$9.95 a month. One Economy is making broadband to residents in 12 affordable housing units for free for two years. After the two years it will also cost \$9.95 a month. Freedom Rings is a third example of how broadband is being made available in underserved areas. These types of efforts need to be coordinated and expanded upon if DOR services are to be made available to the people who need them.

Access to “bricks and mortar” facilities can be a challenge as well. For example, an individual may need to walk through an unsafe neighborhood in order to get to a service provider. A person may have trouble getting to work because their job is not in an area served by public transportation; or they may need to use multiple bus and train connections, a time-consuming and frustrating ordeal compared to an easy drive by car.

As DOR begins implementing blended learning options, devices will become an issue. Company CIOs have generally had a hard time keeping up with the pace of evolution in mobile computing. For example, some companies support the BlackBerry but not the iPhone. As a result people have felt they are equipped with state-of-the-art technology at home but back to “20th century” technology at work. An emerging trend referred to as “Bring Your Own Device” (BYOD) lets employees use their personal devices (smart phones, tablets, laptops) on the company’s network. Some companies do not provide a corporate device to their employees. DOR should consider incorporating BYOD as an option into their “Any Device” strategy. This will help DOR keep up with the rapid pace of device evolution, for example in smart phones and tablets.

Earlier in the Learning section of this report we discussed the need for quality educational content. DOR needs to provide the infrastructure for a federated registry and repository to manage that content. The registry will allow people to search for content based on specific criteria (for example provider location, course topic, course level, roadmaps) that can be accessed from the DOR portal. The repository will also allow for the storage of content. Some content will be stored by providers; other content will be stored in the DOR infrastructure in a federated approach. It is critical that the registry keeps track of changes in the repository and always provides a current and up-to-date view of content. If a course is no longer available, the registry needs to be updated. Apple’s iTunes University is an excellent example of registry implementation.

OpenData Philly has created an environment where people can find data about the city. The range of information is very broad and includes the economy, education, transportation, and food. This is particularly relevant to DOR because OpenData Philly has put in place a framework and set of processes for people to search and submit data, vote on its usefulness, register, and get notified of updates (RSS feeds). In addition, OpenData Philly also provides applications and Application Programming Interfaces (APIs) that will allow software programs to communicate with each other and facilitate access to data.

DOR could leverage the OpenData Philly infrastructure and processes as appropriate, as a way for stakeholders to submit, validate, and share data. The OpenData Philly infrastructure could also be leveraged to add location-based information about learning providers and other DOR constituents (see quick win projects).

One of the more controversial but critical aspects of DOR is tracking. DOR will allow students to track progress toward goals, badges or certificates on learning activities, but DOR will also allow providers to keep track of student goals and progress. Some constituents will already be recipients of government benefits or participating in other government programs. These participants may be reluctant to share data with DOR. Others may be reluctant to be “tracked.” DOR will need to define a strategy to address these concerns. One way to alleviate providers’ concerns would be to offer incentives to share data with DOR providers. During our interviews, we were given the example of people who are unwilling to share personal information with literacy providers but ready to provide their entire information (including Social Security Number) to a financial organization in exchange for a free t-shirt. While DOR participants do not necessarily need an incentive as tangible as a t-shirt, there is no reason not to use a t-shirt as an incentive. The point is that participants need to feel there is something in it for them if they are going to allow their information to be shared.

Nothing is static: The world is changing faster than ever before. Consider that the last decade alone has seen the introduction of the iPod, Hybrid Cars, YouTube, Facebook, iTunes, the iPad, the Blackberry smartphone, Google, eBay, satellite radio, Twitter, The Huffington Post, Politico, The Daily Beast, and online banking. Gone or going are analog cell phones, floppy disks, VHS and Beta tapes, video stores, and cameras that use film. There is no telling what the next ten years will bring, but it is sure to change the way we work, play, entertain ourselves and learn. It is also likely to change the learning needs of Philadelphians and the ways in which that learning is accessed, delivered and utilized.

Flexibility is critical for the long-term sustainability of DOR, particularly when it comes to technology. In a business context, flexibility means being able to choose solutions suitable for the needs of the users. As DOR requirements and citizens' needs change, solutions should not be unreasonably constrained by software. Long-term flexibility is most likely obtained through the careful choice of standards for interworking and data exchange, followed by vigilance to ensure that freedom from proprietary lock-ins is maintained in critical areas. The drawback is that standards typically lag in terms of glamorous features. Feature-based sales pitches today can lock you into hardware and software that will make it difficult to respond to changing demands in the future.

Open source software and software based on open standards offers freedom from a single vendor as well as the freedom to modify your software. Software vendors can go out of business, and they can arbitrarily decide to cease development of a product. Open source software allows you to retain the right to use the software you already have as well as the ability to continue to use it as your needs change. You will not be limited to what one company believes you need. Proprietary software vendors must cater to many different companies, including their own. Open source software can be tailored for the way you do business. Typically, it is practical for all but the smallest companies and organizations to modify open source software to suit their own needs. If in-house development is not an option, it is usually not too difficult to find a consultant.

Curricula will also change over time as will partners. Courses will become outdated and irrelevant. Some will need to be revised, others replaced. A mechanism will be needed to manage content. One potential way of doing this is by adopting Common Cartridge, “the first of three major standards that comprise a new generation of Digital Learning Services standards to support a new generation of learning technology.” These standards were developed by the IMS Global Consortium¹⁷, an affiliate and alliance organization of more than 180 members, representing all parts of the global learning community. The three standards are:

- Organized and distributed digital learning content (Common Cartridge – CC)
- Applications, systems, and mash-ups (Learning Tools Interoperability – LTI)
- Learner information: privileges and outcomes (Learning Information Services – LIS).

Support Services: Neither learning nor work occur in a vacuum. Single parents may need to arrange for child care in order to take a course. A person may only be able to accept a job if they can get there via public transportation or with a car pool. Just as a child in school is unlikely to flourish without encouragement and support from parents and family at home, people trying to develop the knowledge and skills they need to return to work or advance, are not likely to succeed in neighborhoods and communities that do not or cannot support their efforts.



Figure 8
Screenshot from utah.gov

Faith leaders, librarians and community center staff are some of the more traditional sources of community support and mentoring for literacy and workforce development efforts. But there is non-traditional support that should be considered as well. For example, there is no reason why a security guard in a library or the maintenance staff in an affordable housing development could not provide mentoring, guidance, support and encouragement. It may take some training, but these are people who are successfully working and understand what that means. They can be a valuable source of information and help.

Social media can also be leveraged to build a sense of community and support. DOR participants can certainly connect on Facebook, but DOR may want to consider and develop a DOR-specific way for citizens and providers to connect online. Texting, tweets, YouTube, and RSS feeds are other social media tools that many human services programs are using to communicate with participants and staff. One of the best examples of how social media is being used to communicate with citizens can be found at Utah.gov

Cloud Computing

Cloud computing is defined by the National Institute of Standards and Technology (NIST)¹⁸ as a model for enabling convenient, on-demand network access to a shared pool of configurable computing resources, for example networks, servers, storage, applications and services, that can be rapidly provisioned and released with minimal management effort or service provider interaction. NIST has identified five essential characteristics of cloud computing: on-demand service; broad network access; resource pooling; rapid elasticity and measured service. Cloud computing is defined as having several deployment models, each of which provides distinct trade-offs for agencies which are migrating applications to a cloud environment. NIST defines the cloud deployment models as follows: Private cloud, Community cloud, Public cloud and Hybrid cloud.

The benefits of using Cloud Computing are:

Efficiency – Improved asset utilization for the City of Philadelphia, by aggregation of demand. Rather than each City agency, NGO, IGO or other provider provisioning their own IT resources, by moderating demand and supply collaboratively, productivity can be increased. Efficiency improvements will shift resources towards higher-value activities for the City of Philadelphia and its partners.

Agility – Acquiring DOR services (whether Learning and Experience Content, content alone or end-to-end business processes, Infrastructure or Service Operations as a Service from trusted Providers including Cloud Providers) will enable a responsive and scalable DOR solution. Cloud computing allows systems to be scalable and elastic.

Standardization – Aligning the deployment of DOR services to a finite set of Platform as a Service (PaaS), and Infrastructure as a Service (IaaS) resources, with agreed capacities using a common set of Cloud Management Services, will reduce the variability and overheads needed to maintain the different environments and component versions.

Innovation – As indicated in the Federal Cloud Computing Strategy¹⁹, rather than being burdened with asset ownership, we recommend shifting focus to DOR services management, tying into private sector innovation, encouraging an entrepreneurial culture by reducing risk, linking to emerging technologies better, building on the recommended “quick wins”.

Refer to Appendix C: Enabling Cloud Computing for DOR, for a detailed view of how Cloud Computing can be implemented for DOR.

Quick Wins – Within this report we have recommended various quick win projects that will serve a number of purposes. First and foremost, they will demonstrate the efficacy of some of the key aspects of DOR. We have recommended Quick Wins focused on:

- A Directory of Vetted Providers
- Expanding OpenData Philly to include literacy services
- Predictive Analytics
- A Virtual Computing Lab
- A Single View of the Constituent.

Each of these will provide DOR with the opportunity to implement critical functionality in six months or less and can be scaled to meet the long term goals of DOR.

The outcomes of the quick wins can be used by DOR to reach out to new providers, employers and citizens. Each of the stakeholders in the DOR community, providers, citizens and employers, will engage and stay with DOR in the long term if they see value in it.

The quick wins can be used to educate Philadelphians about the benefits of becoming part of DOR. Individuals who are digital natives may see value in a virtual computing lab that can help them gain workplace or literacy skills. The digital immigrant may see value in the Directory of Vetted Providers who can help them gain digital literacy skills. Providers will see value in being part of that directory. Employers might want to make some of their training content available to their workforce via the virtual computing lab. These are just a few of the possibilities.

Taken as a whole, the quick wins provide a means for DOR to demonstrate and market the ways in which government, NGOs and employers are working together to improve Philadelphia's workforce. They lay the foundation upon which DOR can build for the long term. Securing adequate funding to scale these quick wins is essential.

Funding

Significant investment is currently being made in Philadelphia to address skill gaps through a number of disconnected programs and services with fractured funding and procurement models:

- BTOP grants coordinated by Freedom Rings
- TAACCCT grant for the Community Colleges
- Employer funding for 1199c
- Workforce Investment Board (WIB)
- School District of Philadelphia
- Numerous Federal, State, Local and private grants for specific aspects of literacy or workforce development and ongoing siloed system funding.

It is critical that DOR studies existing funding streams to develop a detailed and comprehensive understanding of current sources, allocations, and expenditures across both literacy and workforce readiness providers. DOR efforts to integrate the actions of these providers and programs to create personalized learning pathways for Philadelphians should present fresh opportunities to restructure, repurpose, and cultivate new sources of funding. Collaboration in identifying innovative approaches to leverage existing federal, state, local, and private funding streams will be critical to success. Appendix D: "Grant Report" contains a Grants Office Research Report for Philadelphia, developed to assist in these efforts.

The promise of DOR is to provide an all-encompassing services layer to connect these disparate efforts and leverage funding across the system as a whole:

- Making it easier for citizens to navigate to the most appropriate service or provider
- Improving the ability of both the City and other potential funders to assess the quality of outcomes from specific initiatives
- Creating a means to identify and disseminate best practices and drive quick wins to scale.

Funders typically have discrete objectives. This can make it difficult to secure funding for a project as broad in scope as DOR. In our discussions and research we have identified three potential models which DOR should evaluate to generate revenue in order to fund the initiatives. In addition, we commissioned The Grants Office, a private grant writing firm, to research potential funding sources. At a high level, the three proposed funding models for consideration for DOR's shared services include:

A United Nations model – each participant pays an established annual fee to be a member in DOR.

Advantages: participants have “skin in the game”; can adjust the fee based on the entities ability to pay.

Disadvantages: may keep some organizations from joining if they cannot or do not want to pay the fee; funding structure is at risk each year at renewal.

Fee for services – DOR could implement a metering and chargeback system for cloud-provided services such as assessments, eLearning content, shared registry, program evaluation (Good Housekeeping seal of approval).

Advantages: participants pay for what they use and value. They vote with their dollars.

Disadvantages: investment to build the infrastructure needs to come from somewhere (founding grant or borrowing).

DOR could seek grant funding to build and maintain the shared services infrastructure –The Grants Office report (Appendix D) includes many sources already being leveraged today and also highlights potential new sources. In addition, the Clinton Global Initiative or Bloomberg Foundation would be a solid source of funding to build the shared services infrastructure.

Advantages: potentially significant upfront investment enables the solution to be designed thoughtfully from the ground up. Easier to make the economic development business case to gain support of the business community.

Disadvantages: difficulty convincing funders to support broad scope.

To succeed it is likely that DOR will need to employ a combination of these three methods.

4. Recommendations

We believe the City should consider and act upon the following recommendations in four key areas to build momentum quickly and begin implementation of DOR.

Learning

- Implement an interactive guide to aggregated content resources.

Governance

- Appoint a Project Lead for DOR
- Expand Representation in DOR
- Create Directory of Vetted Providers (Quick Win).

Philadelphians

- Produce Single “Federated” View of the Constituent (Quick Win)
- Expand [OpenDataPhilly.org](https://opendata.philly.org) with Literacy Services (Quick Win)
- Extend Predictive Analytics
- Apply Analytics to Raise Graduation Rates (Quick Win)
- Apply Analytics to Raise Young Adult Employment (Quick Win).

Scalability and Sustainability

- Leverage Cloud Computing Technologies through a Virtual Computing Lab (VCL)
- Deploy a VCL Leveraging a Services Provider (Quick Win).

Each recommendation contains:

- A description of potential benefits and expected outcome
- Cost estimates (Low cost = <\$100K, Moderate cost = \$100K – \$250K, Higher cost = >\$250K)
- Timeframe (Short term = <6 months, Medium term = 6 – 12 months, Long term = >12 Months).

While the projects will likely be staggered in their execution, assignment of ownership to each recommended project is of course critical to its success. We recommend this assignment be done by the Steering Committee within 30 days of their review of this report. A management system will need to be put in place to provide accountability.

Among these recommendations, we also describe six sub-projects, “Quick Wins” which can be completed quickly to demonstrate early successes. Each of these will provide DOR with the opportunity to implement critical functionality within six months and can be scaled to meet the long-term goals of DOR:

- Directory of Vetted Providers
- Single View of Constituent
- Expand [OpenDataPhilly.org](https://opendata.philly.org) with Literacy Services
- Predictive Analytics to Raise Graduation Rates
- Predictive Analytics to Raise Young Adult Employment
- Virtual Computing Lab (VCL) for eLearning.

A. Learning

1. Intelligent Aggregation of Content Resources

We recommend DOR serve as an intelligent aggregator of content resources. An interactive guide or wizard should assist providers or citizens in locating content based on learning objectives, physical location, preferred learning environment and other factors.

Issues of literacy and employment skills are best addressed by segmenting Philadelphians in need according to relevant attributes such as age, skills including literacy and technological savviness and geography, creating customized pathways for each segment.

This approach to customized learning pathways is a distinguishing characteristic of DOR. While most content will reside at its source, there will also have to be a process for DOR to create occasional new, original content as the need arises. It may be valuable to consider DOR students as content creators. The links to content of all types must be continuously evaluated for currency and accuracy, and made available to providers and citizens.

Benefits: vetted content, access to more extensive content by all providers
Cost: moderate
Timeframe: medium term.

B. Governance

1. Appoint a DOR Project Lead

We recommend the appointment of a Project Lead for DOR who also serves as a Chief Learning Officer in the model of the Cities of Service Leadership grants. (See Governance section C.1. on page 17 for additional detail on this position.)

Benefits: scalability test, beginning of development of customized learning
Cost: low
Timeframe: short term.

2. Expand Representation in DOR

Now is the time to bring additional representatives into the DOR collaborative. Expanding representation from the K-12 Education System, the Higher Education and Community College System, Social Services Agencies and members of the business community will broaden the support base.

Benefits: earlier representation ensures buy-in from constituents, increasing collaboration and sustainability
Cost: low
Timeframe: short term.

3. Quick Win: Create Directory of Vetted Providers

Just knowing what is available – whether providers or their services – is a challenge for DOR. Currently, the Mayor's Commission on Literacy under Judith Renyi is launching an RFP to gather information about the providers of literacy programs. This will create a comprehensive landscape assessment of the service providers, populations served, programs provided, and information regarding effectiveness. The information will also inform the Mayor's Commission's next piece of work, which is to create an online adult literacy referral service. It can also inform ongoing DOR efforts to evaluate what programs work best with targeted populations, the critical factors for ensuring success, and will help foster a collaborative culture among providers in order to share best practices.

We recommend DOR create a web-based catalog of providers and services based on the results of the RFP. This online catalog will allow constituents to find providers and services in their neighborhood (via keyword and/or zip code). Providers will be able to use this catalog to find resources for their constituents.

Key to the success of this catalog is the currency of the data. DOR will need to create a simple business process which will allow providers to update their information promptly. As the catalog grows and expands, additional information such as seats available in a class or constituency ranking of the class could be included.

For the prototype, the proposed entry point to this catalog is [Phila.Gov](#)

Benefits: easier access for constituents to providers and content, with clearer pathways to success

Cost: low

Timeframe: medium term.

We recommend extending this review to create a comprehensive roadmap of all providers, including both literacy and workforce development providers and programs. It is also important to analyze both the sources and uses of funding, while evaluating program metrics and effectiveness.

C. Philadelphians

1. Quick Win: Produce Single “Federated” View of the Constituent

Currently, information on each constituent resides in various fragmented data sources such as the School District of Philadelphia database and in a variety of formats such as Excel. It is not possible to get a single unified view of the constituent that includes all information related to all the different DOR environments.

We recommend that DOR creates a “federated” view of the constituent in the cloud, a view that includes information from a number of different environments or providers. Based on a “key”, the provider could pull a report which contains data pulled from the SDP database (name, address, truancy and tardiness data, grades for example) and data stored in the cloud (such as name, provider, courses completed).

As providers are vetted, they will be given secure role-based access to the federated view and will be able to update courses completed, so that a constituent starting a new program will have their “digital passport” follow them.

Benefits: decreased complexity, clearer pathways for constituents

Cost: low

Timeframe: medium term.

Once this quick win is established, DOR should scale it by adding providers and constituents.

2. Quick Win: Expand OpenDataPhilly.org with Literacy Services

Learning Providers' lack of visibility presents a hurdle to widespread acceptance and sustainability of DOR. What good is a provider if no one can find you? OpenDataPhilly.org is a natural extension of the DOR project. The SCC team recommends submitting the data from the Center of Literacy RFP to the CityMaps Map Viewer in order to highlight Literacy Services in the Greater Philadelphia area.

Benefits: decreased complexity, clearer pathways for constituents

Cost: low

Timeframe: medium term.

Once this foundation is laid, the next step would be to add additional Learning Providers, communities and hotspots as they are inventoried.

3. Extend Predictive Analytics

Predictive analytics includes a variety of statistical techniques including modeling, data mining and game theory that analyze current and historical facts to make predictions about future events. In business, predictive models exploit patterns found in historical and transactional data to identify risks and opportunities. Models capture relationships among many factors to allow an assessment of the risk or potential associated with a particular set of conditions, guiding decision making for candidate transactions. These predictive models can be extended to education.

4. Quick Win: Apply Analytics to Raise Graduation Rates

The Smarter Cities Challenge Team recommends a prototype of applying analytics to the population of students not completing their degree requirements from School District of Philadelphia (SDP). Analytics will enhance efforts focused on individualized profile development and inform interventional strategy development as well. Analytical reports will allow the City to proactively identify dropouts close to graduation and to reach out to them with a plan to help them graduate. Analytics would provide significant benefit by allowing the City to identify and approach dropouts who are closest to completing their high school diploma, in order to match them with programs that are both effective and efficient in helping them achieve this. Regular systemic use of data analytics will also improve the City's ability to connect with dropouts before they "age out" in terms of qualifying for completion programs that can utilize existing District infrastructure, resources, and per-pupil funding efficiently.

Benefits: increased graduation rate

Cost: low

Timeframe: short term.

The next step is to expand this quick win model to include social services data for a full citizen-centric view. Philadelphia should also examine the comprehensive night high school model pioneered by New York City as a strategy for building on this quick win. New York City's Manhattan Comprehensive Night and Day High School allows under-credited students to attend either night or day classes while working full-time and having adult responsibilities. It represents an innovative way to leverage existing resources to serve students whose situation make it difficult for them to attend a traditional high school in order to complete their graduation requirements.

5. Quick Win: Apply Analytics to Raise Young Adult Employment

In addition, the SCC team recommends the prototype of applying analytics to those soon to be high school graduates who will not be going on to college and are seeking immediate employment. This quick win will also include students participating in the Philadelphia Youth Network. This data set will include the combined student data of skills/experience and map it against the monster.com jobs database, building upon earlier efforts by the Workforce Investment Board (WIB) to develop a macro model for the Philadelphia job market. The results will help set goals for those still at school while uncovering job opportunities for high school graduates.

- **Benefits:** increased employment, Quick Win
- **Cost:** low
- **Timeframe:** short term.

The next step is to expand the quick win to include graduates with longer pathways to success (the “young and far”).

D. Scalability and Sustainability

1. Leverage Cloud Computing Technologies through a Virtual Computing Lab (VCL)

A virtual computing lab (VCL) leverages cloud computing technologies to provide students with access to the applications they need to succeed, be they architectural, geographical, mathematical, research or statistical, at any time, from any location with an internet broadband connection.

Virtual computing resolves the issues student face with physical labs, such as limited lab hours, limited seats during times of high demand, travel to metropolitan campuses in heavy traffic, individual safety during evening and early morning hours, and the availability of complex tools for distance learners.

Virtual computing allows students to reserve and access a computer together with a desired set of applications, via the internet. This computer environment can range from something as simple as a virtual machine running productivity software such as MS Word, to a running high end software (for example, a CAD, GIS, statistical package or an Enterprise level application).

North Carolina has been using a VCL for more than eight years. They have been able to scale it statewide to serve multiple universities, community colleges and K-12.²⁰ There are other successful wide-scale implementations of cloud-based learning environments, designed using open source code, that should be examined as well.

The VCL cloud may be hosted by Phila.gov, Drexel, the Free Library, the Community College of Philadelphia, or any cloud service provider, to name a few.

2. Quick Win: Deploy a VCL leveraging a services provider to ensure a positive experience in offering an environment for eLearning

Open source course content, vetted by DOR Governance, is loaded into the cloud and made available to DOR providers. If DOR were able to include youth interested in technology (for example Philadelphia Devnuts) in the VCL deployment, they would build a base of local skills that would help to scale to additional content and services.

- Benefits:** scalability test, beginning of development of customized learning
- Cost:** medium
- Timeframe:** short term.

DOR should reconsider what is described in the section on Governance: Leadership and Structure for recommendations on how to fund the creation and staffing of the Project Lead position.

In addition, our recommendation is that DOR leverage a business architecture definition approach to prioritize the Quick Wins and consider candidate organizations that can plan and execute on each Quick Win.

Marketing strategy for DOR needs to include branding, how DOR will be visible and reach out towards constituents, providers and prospective employers.

The next step is to expand the VCL to include more course content and for providers to test scalability and integration.

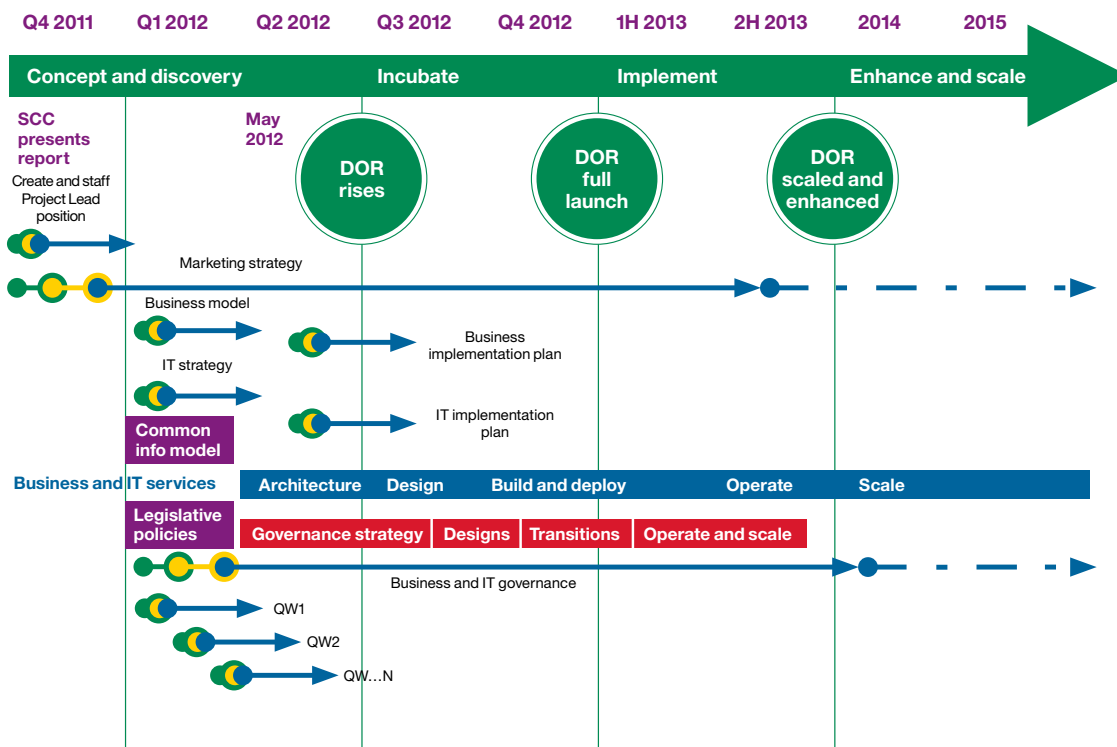


Figure 9 Roadmap

The business model needs to elaborate:

- The mission statement
- Business services and goals
- DOR participants (constituents, providers, funders, and vendors) roles and responsibilities
- High level budget (Refer to section on Scalability and Sustainability: Funding).

The business implementation plan details how DOR will achieve its strategic plan. It specifies the time-line of accomplishing desired goals. By helping to break down business needs and goals into smaller objectives and tasks, it becomes easier to understand the implementation phases clearly and the amount of effort required for success.

DOR's IT Strategy should define the Principles, Standards and High Level Budget that will be the IT input into the Business Model.

We discussed DOR with Adel Ebeid, Chief Innovation Officer for the City of Philadelphia, and found common thinking on the principles that should guide the architectural decisions:

- View DOR first as a business architecture with business and IT governance rather than a technical architecture
- Define the enterprise architecture
- Leverage existing assets
- “Cloud first” strategy; broker and leverage “best of breed” vendors’ products and services; resist owning the infrastructure, its maintenance or providing services
- Enable “self-services” model for the constituents and providers.

DOR's IT Implementation Plan will define the different phases (iterative and accruable as building blocks), timelines, technology, hardware, software, services, operations’ model people (roles and responsibilities) and detail budgeting costs.

Business and IT Governance needs to be elaborated with governance strategy, governance design, governance transition and establish how DOR intends to operate and scale as it matures.

5. Conclusion

Two hundred years ago, Philadelphia was the geographical center of the 13 original American colonies and the capital of the United States. It was the birthplace of the American Revolution and American Independence. Today, Philadelphia is embarking on another revolution, to make the City a leader in literacy and workforce development.

A recent survey of U.S. companies found that nearly six out of ten respondents reported problems attracting critical skills employees, and one-third reported difficulty retaining them.²¹

Philadelphia is no exception. Over half a million of its adults do not have the necessary literacy and 21st century skills to apply for a job. In a city surrounded by 50 colleges and universities, only 23 percent of inhabitants have a college degree and about half have a high school diploma. Forty percent of the City's residents do not have personal access to a computer and online technology.

Through DOR, Philadelphia is creating one of the largest and most effective citywide human capital management systems in the United States. The vision for DOR is that it will allow citizens to access education, training and support to assist them in developing literacy, digital literacy and workplace skills. The ultimate goal is to put unemployed citizens back to work, and help employed people advance to better paying jobs and careers. It is an ambitious goal and truly revolutionary.

Philadelphia has a wealth of public and private sector organizations and assets that are addressing the challenge of moving from low literacy, low digital literacy, and insufficient work skills to full employment. What is lacking is the ability to scale up these services to meet their growing demand and a system to facilitate collaboration, eliminate redundancies, and establish curricula and accreditation standards. There is no quick fix for this. However there are short-term quick wins that can propel the City toward fulfilling its vision of DOR. To realize the promise of DOR fully, these quick wins must be leveraged as part of a comprehensive, integrated strategy to increase literacy and employment for all Philadelphians in need. The strategy is to implement DOR in discrete, attainable and strategic pieces that can be built upon over time. New collaborations and relationships will be forged. Some traditional approaches and methods will be discarded. In the end, Philadelphia will have achieved the DOR mission to support the right of all Philadelphians to pursue a meaningful, healthy and enriching life by providing access to relevant and up-to-date learning opportunities and community support, available anytime, anywhere, on any device.

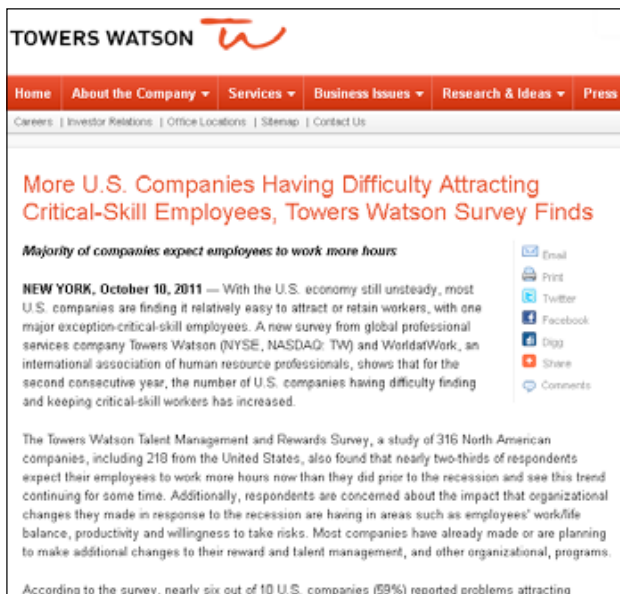


Figure 10
More U.S. companies having difficulty attracting critical-skill employees²¹



6. Appendix

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Kaiyilla Matthews	Transitional Workforce Division General Council, Philadelphia Workforce Development Corporation
Barbara Mattleman	Director, PhillyGoes2College, City of Philadelphia
Fran Newberg	Deputy Chief of Accountability, School District of Philadelphia
Mayor Michael Nutter	City of Philadelphia
Lisa Nutter	President, Philadelphia Academies
Wilfredo Ortiz	Deputy Chief, Promotions and Credit Recovery, School District of Philadelphia
Hedra Packman	Director of Library Services
James Pecora	CTO, Free Library of Philadelphia
Bret Perkins	Vice President, External and Government Affairs, Comcast
Derrick Perkins	Program Manager, Multiple Pathways to Graduation
Eliza Pollack	Recruitment Specialist, Project H.O.M.E.
Arun Prabhakaran	Manager, Government and Strategic Partnerships, Greater Philadelphia Urban Affairs Coalition
Mary Randles	Director, Project H.O.M.E.
Erin Reilly	Research Director, USC Annenberg Schools of Communications and Journalism
John Reinhart	CityForward, IBM
Judith Renyi	Executive Director, Mayor's Commission on Literacy
Chuck Rumford	Senior Director, Community College of Philadelphia
Henry Schaffer	Professor Emeritus, Coordinator of Special IT Projects and Faculty Collaboration, North Carolina State University
Kirsten Schroeder	Education, Global Business Services
Jordan Schwartz	Deputy Chief of Staff, Mayor's Office, Philadelphia
Lori Shorr	Chief Education Officer, City of Philadelphia
Anne Silvers Lee	Chief – Materials Management, Free Library of Philadelphia
Leslie Sorel	Strategic Accounts Liaison, Pearson Digital Learning
Jennie Sparandara	Director, Jobs Opportunity Investment Board, JOIN Collaborative
Sarah Stein	Associate Professor, Dept of Communications, North Carolina State University
Dustin Stiver	Civic Engagement Manager, Sprout Fund
Patty Sullivan	Global Education Industry Solution Executive, IBM
Susan Thomas	Director, Pennsylvania Partnership for Direct Care Workers
Tom Vander Ark	CEO, Open Ed Solutions
Mick Weeks	Philadelphia K-12 Account Executive, Apple
JoAnn Weinberger	President/Executive Director, Center for Literacy
Terri White	Higher Education Advisor, Mayor's Office of Education, City of Philadelphia
Wayne Wormley	Dean, Business Technology, Community College of Philadelphia

B. Proposed DOR Architecture Overview

Figure 11, the proposed DOR Architecture Overview Diagram, identifies the high-level services that need to be in place for DOR. It may leverage components from the cloud or from the outside. The cloud environment provides a set of common shared services that can be utilized by the different providers and constituents. In addition, the Operating Supporting Services and Business Supporting Services will have unique Cloud Capabilities that DOR may adopt as part of the overall end-to-end solution for constituents.

Users and Delivery Channels

A variety of users (including constituents and providers) can access the different functions of the DOR portfolio through mobile, desktop or laptop computers connected to DOR via broadband internet connection, or mobile network.

Cloud Computing Environment Roles

These are uniquely defined roles necessary to support Cloud environment from either a private cloud, managed private cloud, hosted private cloud, shared cloud services, public cloud services, or community cloud services. These will include the development and operations roles needed to support DOR.

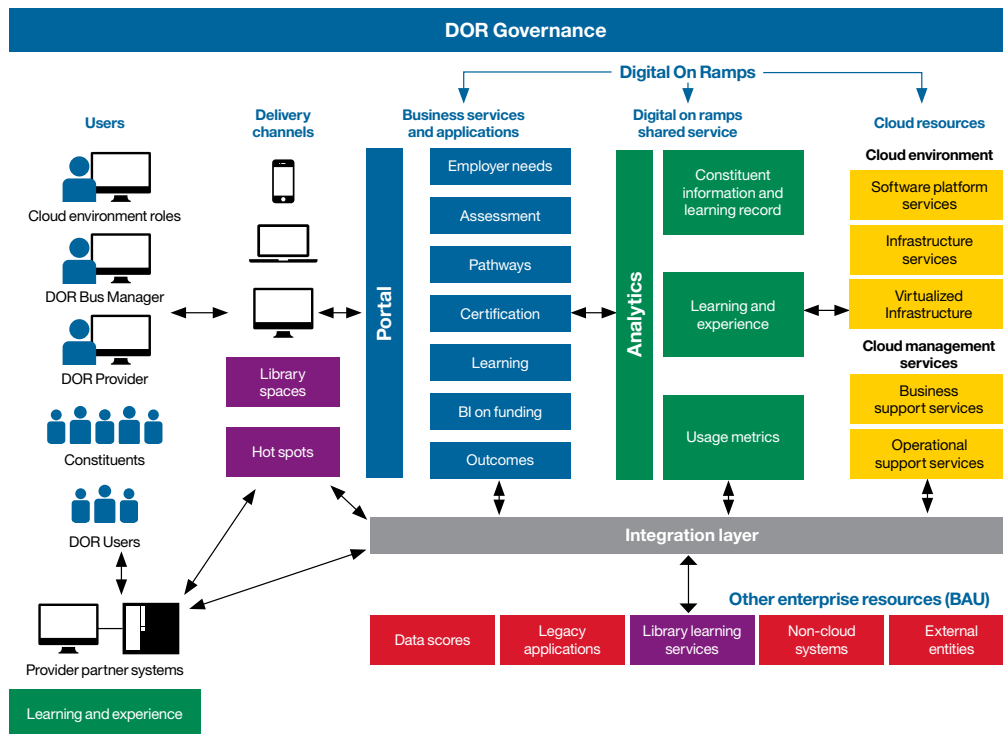


Figure 11 Proposed Architecture Overview Diagram

Digital On-Ramp Roles

- **DOR Business Manager** – Ability to provision from the DOR offering what best meets each of the DOR constituents and apply the entitlement contracts to the offerings.
 - **DOR Constituent** – Uses the DOR offerings provisioned by the DOR Business Manager. These are the constituents who are being served by the provider and DOR. Constituents can access DOR via the provider who may act as the constituent's agent/advisor or they can interact directly with DOR. They can invoke macro level business processes to keep constituent personal information up to date, as well provide "consent" to which information and what aspects of their learning record providers can have access, for example learning, certifications and badges. The constituent may allow the providers to look at the pathways that constituents have enrolled in as well as the certificates and badges the constituent has earned as part of their learning and experience content journey. As an advanced function, the constituent may be able to share their credentials (certifications and badges) to prospective employers, for job opportunities.
 - **DOR Provider** – Ability to manage a number of provider roles to maintain the relationship between DOR and DOR constituents.
1. One role may be the initial (constituent-facing) person representing the provider in the neighborhood location. They may introduce the constituent to DOR or may locate the constituents within DOR (based on constituent-provided personal information) that reside within the neighborhood that they serve. This provider person will conduct outreach including intake.
 2. Provider may do initial as well as intermediate to final assessments
 3. Provider may identify career pathways with corresponding learning and experiences (curriculum) needed
 4. Provider may enable learning and experience content within their own resources (class and systems) if provider can scale to enroll the constituents or provision the publicly available or proprietary learning and experience content (class/webcast/podcast) by provisioning the number of "seat" resources needed within the cloud environment. Provider may coordinate the learning and experience content enablement with the DOR Business Manager or utilize DOR "self-service" functions.
 5. Provider may look up the usage metrics of provider-owned learning and experience content that was used by other providers within DOR and utilize that information to reconcile their accounting as well as utilize the DOR-provided business support services for business intelligence on Funding and reporting.

Providers may include but are not limited to the neighborhood NGOs, IGOs as well as established learning and experience content (e.g. District 1199c, Philadelphia Youth Network, School District of Philadelphia, Community College of Philadelphia, Pearson, Reed Elsevier, to name a few).

Providers may also include the Library Learning Services that has the Learning centers and Learning spaces that can be manned by facilitators who can support the active participation and collaboration of the constituents towards their learning goals.

Provider may even include entities like Internet access and Cable providers, for example Comcast, that can dedicate specialized Media channels specific to Constituent learning.

Delivery Channels

The DOR solution will allow its users to access the DOR business functions through various channels. Basically some functions that exist today will be migrated to cloud. Other functions will be built new in cloud. For example, common shared services like constituent information and learning records will be integrated from current and future providers' enabled services and applications and will be loosely coupled. Whichever way the current user-community interacted with the existing functional application will be migrated to the cloud environment. Adapting the same type of delivery channels to the cloud environment will enable users not to experience any interruption of service. The Delivery channels included are:

- Over the Internet through a laptop or personal computer equipped with an Internet Browser
- Using a pervasive device such as smartphone, Tablet, etc.
- Using a television or multi-media device, etc.
- By calling the call center and talking to a DOR customer service representative
- Engaging a provider
- More channels may be added to this environment as dictated by business needs and the ability of technology to support them.

These deliverable channels may utilize the public internet connections with wireless cellular and/or Wi-Fi as well as dedicated wired connections. They may link to bricks and mortar provider offices, community centers, neighborhood centers, mobile libraries, library spaces and hotspots.

DOR Business Services and DOR Business Applications

Multiple forms of business services would become available, as a service to the DOR community in order to solve the DOR business needs. Each instance of these business services (Software As A Service (SaaS), Business Process As A Service (BPaaS), Application As A Service (AaaS)) will be an aggregation of one or many of process services, visibility services (including dashboard functionality) optimization services, information services and collaboration services. These business services or applications are either from the Business as Usual application portfolio (available from the City of Philadelphia, library services and third-party providers) and transformed to function within the cloud environment, or were green field applications solely meant to function within the DOR cloud environment.

As a function of the cloud business services and applications, there is a need to invoke usage metrics (a shared service) that may in turn invoke Cloud Management Services (CMS) as it relates to usage of resources within the DOR Cloud Environment. These resources are in fact the business services applications platform and infrastructure needs or the image in which DOR will provide the services to the user community. The metering, monitoring, logging, auditing within the cloud environment must be exposed to CMS in order to capture, manage and reconcile usage according to the agreement between the business services or application owner and the DOR cloud environment.

The provisioning for the usage of the SaaS, AaaS or BPaaS will inherit the capabilities of the DOR cloud environment's provisioning functionality and will be extended to meet the provisioning needs of the business providers that the SaaS, AaaS or BPaaS will be supplying. These business services may have the capabilities of supporting batch processing as well as interactive transactional processing.

Cloud External Services

The DOR cloud environment will be supported by two major aspects of cloud computing. The first aspect is Business Support Services (BSS), which represents the servicing, billing, reporting, provisioning, change management, and managing the constituent and provider relationships for cloud computing. The other aspect of the cloud managed services is operation support services that manage the operation and support of the offerings of cloud computing. These services/components are externalized and would provide a publish/subscribe capability for exchanging information with the cloud management supporting services that are used to enrich the business services or application within the cloud environment.

Drill Down of the Proposed Business Services/ Business Applications

Employer Needs

DOR will have the capability to capture the employer's needs – these may be solicited by the stakeholders, brokers and providers that are part of the DOR ecosystem. In future, advanced function will utilize the employer-provided needs to create workforce deployment, enablement models and channel the provider and constituent to chart a path towards the planned and projected entry-level as well as higher-paying jobs.

Outreach

An aggregation of business processes and services that facilitate the intake of a constituent into DOR and direct/guide them with “self-services”, bringing the providers as a community to service the constituent with positive outcomes.

Assessment

Depending on the type of DOR services or the job opportunity that a constituent is seeking, evaluate the current skills and determine where the current gaps are. Most assessments will utilize standardized tests that are defined at national and state levels to bring uniformity as to how the different providers may evaluate the constituents. Where no standardized assessments exist, DOR will be good forum to share and collaborate on which assessment techniques and tools may be used in an effective manner. The constituent may be assessed at different points in their lifetime and even within a career pathway may be evaluated at each milestone identified within the career path.

Pathways

Once a constituent has been initially assessed, the provider will determine in conjunction with the constituent and the known constraints, what will be the career path that the constituent will undertake. The discrete steps in the career path will be separated by milestone assessments. In addition, each discrete step will include learning and experience content that may be serviced by the provider who undertook the initial outreach/intake or by a community of providers that collaborate to service the constituent.

Certification

As a constituent undertakes the journey on the career pathway identified, they will be evaluated at each milestone and based on successful completion of the learning and experience content, will be awarded certifications and badges for proficiency that will be recognized within the industry and will be very useful for applying for the target job. In future, as an advance function the constituent can direct these certifications and badges to the employer that they are applying to. This simplifies and creates an electronic version of the certificates and badges that stay with the constituent's information and learning record. Appropriate security, control and non-repudiation of the constituent will have to be set up as the certification service is enhanced.

Learning and Experience (Content)

As indicated earlier, learning and experience content may be the publicly available or proprietary learning and experience content (class/webcast/podcast). It may reside within a provider environment or a provider may enable learning and experience content by provisioning the number of “seat” resources needed within the cloud environment with the content already “snapped” in. The provider may coordinate with the DOR business manager or utilize DOR “self-service” functions.

Business Intelligence on Funding

Within the DOR governance, the DOR solution may enable services that provide a common reporting information model. As input, DOR may provide information used to track the usage metrics and outcomes. Providers may use common reporting and then add any specialized reporting specific to their funding organizations.

Outcomes

As DOR is enabled and built up in a phased manner, the evidence of success of DOR will have to be captured. For the constituent, the success criteria is that they are successfully employed and stay employed – evidence of the number of times the constituent has been in and out of DOR will be a good measurement. For the provider, the outcome of success will be how many constituents the provider is able to enroll and push on to their career pathways. The usage metrics and funding amounts spent on each constituent working with each provider may be captured and made available for analysis.

Cloud Environment

Cloud services from an Enterprise point of view provides the capabilities to either become a private cloud, public cloud or interact with other architectural environments supporting cloud technology. Cloud services architecture is an extension of the Enterprise architecture and will follow all of the Enterprise governing guidelines and principles in maintaining a quality level of service to all consumers of the enterprise.

Integration Layer

Integration layer may include all access to existing application, systems, and data sources, both internal and external to the DOR and the City of Philadelphia. This layer isolates the complexities of integration from the DOR application services components. Integration layer capabilities include the set of functions required by individual DOR components to communicate with one another in a distributed computing environment. These capabilities can include the following:

- Brokering components: providing routing, transformation, mediation and translation, and queuing services
- Process management components: coordinating the assembly of required information from multiple applications
- Common services: providing access to core infrastructure services (directory, security, systems management)
- Application Adapters: providing access to information and services specific to an application, software package, or data store.

Other Enterprise Resources (BAU)

Since cloud computing is an extension to the enterprise architecture it is important to continue to maintain and manage the various business application portfolios, data repositories and other aspects of the enterprise in order to continue to provide the quality of service to each of the different business units of the organization.

C. Enabling Cloud Computing for DOR

For DOR to be cloud computing enabled, the City of Philadelphia needs to define a Cloud Computing Strategy, aligned with the City CIO's cloud first principle: develop a cloud computing strategy and evaluation process that involves governance, enterprise architecture, security, data management, sourcing, legal, and other areas as appropriate. DOR cloud services must be managed through the use of a strategy for harvesting the value of cloud computing. Below are some considerations on formulating the cloud computing strategy:

- Provide an entrance criteria, decision framework and examples to support City agencies and partners intending to migrate towards cloud computing (“coalition of the willing”) for delivering DOR services
- Evaluate cloud computing as an alternative approach for delivering DOR services
- Highlight cloud computing resources
- Identify the City of Philadelphia, its agencies and partners' roles, responsibilities, and activities to be undertaken for cloud adoption
- Identify and resolve the program, legal, and policy issues related to the characteristics of cloud computing
- Examine the impact of cloud computing on existing and planned DOR services that are administered by the city of Philadelphia
- Ensure that DOR business processes are working efficiently and effectively before applying technology to support them.

Using Cloud Computing

DOR Outcomes

DOR Outcomes is a consolidated system that is scalable and integrated even though federated and loosely coupled. The constituent information and learning records are in available in a consolidated, standardized information model and modernized information technology infrastructure. The constituent controls access to information, similar to the electronic health record. Cloud computing will have to provide adequate security, privacy and confidentiality for constituent data. The constituent will have control, to enable and revoke who may access their personal information and learning records.

The City agencies that make up the City of Philadelphia and their partners have historically operated as a collection of independent entities, each with their own technology plans and diverse IT contracts and without an enterprise architecture or common operating platform. This decentralization has led to an inefficient and less than optimal IT environment. If each city agency or their partners were to enable the DOR services on their own, they might be constrained by obsolete or closed proprietary capabilities, ineffective IT systems and software, poorly integrated applications, minimal web-based constituent access, and limited data analysis capabilities. New applications would be costly to deploy, integrate and maintain. By consolidating, standardizing and modernizing its IT infrastructure, the City of Philadelphia and its partners can reduce IT costs while at the same time improving operations, enabling web-based DOR citizen services and City government transparency. The City of Philadelphia and its partners' employees will save time, increase productivity, and be able to help citizens get the information they need more quickly.

DOR Ecosystems

A number of City agencies and their partners should be able to adopt cloud technologies and realize considerable benefits through a community cloud. This gives small independent DOR providers access to relatively inexpensive IT services in minutes. Prior to adopting this approach, it would have taken DOR providers significant time and effort to procure and configure comparable IT resources and operate them.

Figure 12 shows how DOR can leverage cloud computing to create a virtual lab environment for literacy providers and students. On the left are five students who are performing a lab exercise on their own device or on a device provided by a learning provider. Note that students use a variety of devices such as desktop computer, tablet, or laptop. Students do not have the lab software (in this case, operating system software such as Microsoft Windows and word processing software such as Microsoft Word) installed on their own devices. On the right is the DOR cloud where the backend server (e.g. blade) provides computing, memory, and processing power. The lab software (Windows + Word) has been virtualized. Each student uses a provided URL (IP address) to connect to their own virtualized image for the lab. Once they are connected, it is completely transparent to them and operates as if the software were running on their own devices.

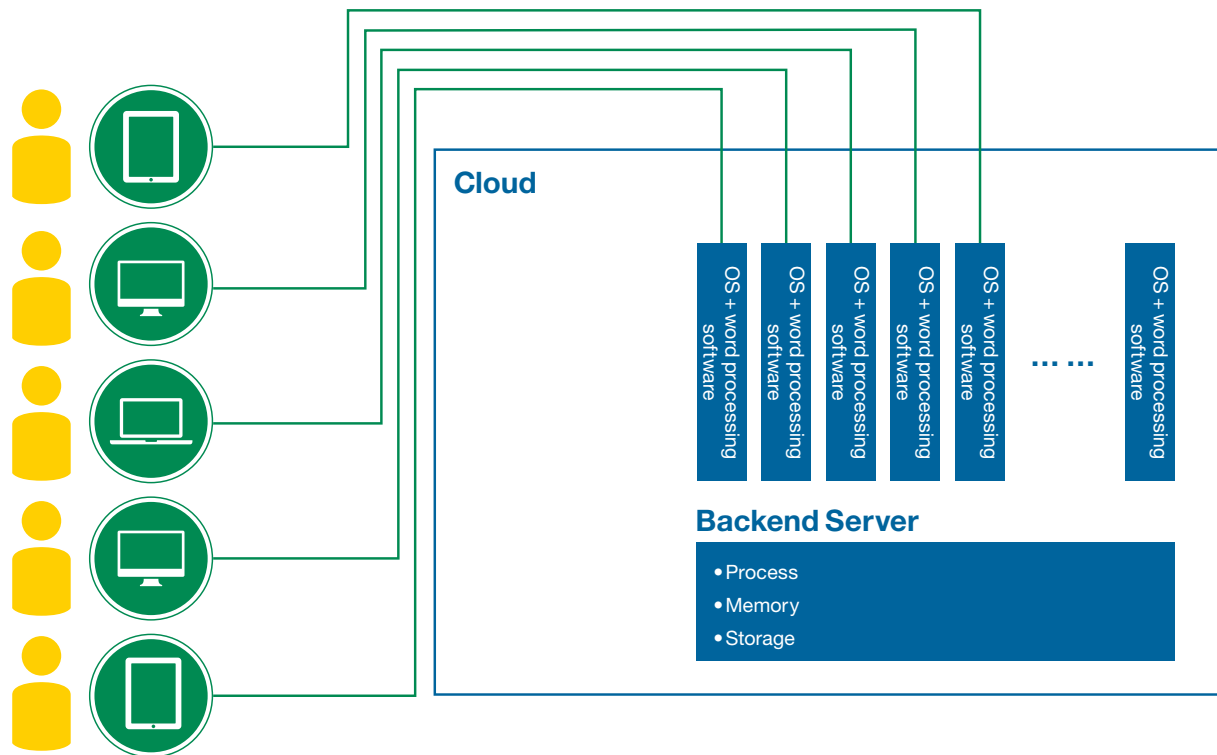


Figure 12
The Virtual Classroom Environment

DOR Analytics

Becoming smarter means using rich data and information – data and information that all City of Philadelphia agencies and partners collect, but rarely use effectively – to model and understand complex issues and make quality decisions. By delivering comprehensive, actionable information directly to staff desktops, The City of Philadelphia and its partners can improve the use of DOR outcome measurements that enable the elimination of ineffective programs. They will allocate financial resources effectively based on accurate, timely and easily accessible information. They will be able to hold managers and staff accountable for operating goals by tracking key performance indicators and making that information available in real-time.

DOR will be able to provide stakeholders with relevant data on outcomes, program effectiveness, constituent satisfaction and performance measures with scorecard reports. The City of Philadelphia and its partners frequently have their data spread over hundreds of databases, in multiple isolated programs, departments and organizations. Improved information-sharing offers the opportunity to provide focused DOR services to the right constituents, to identify inaccurate data, streamline eligibility and to improve the identification of constituents at risk.

DOR Scale Economics

End users DOR services providers do not need to determine their exact computing resource requirements upfront. Instead, they provision computing resources as required, on-demand.

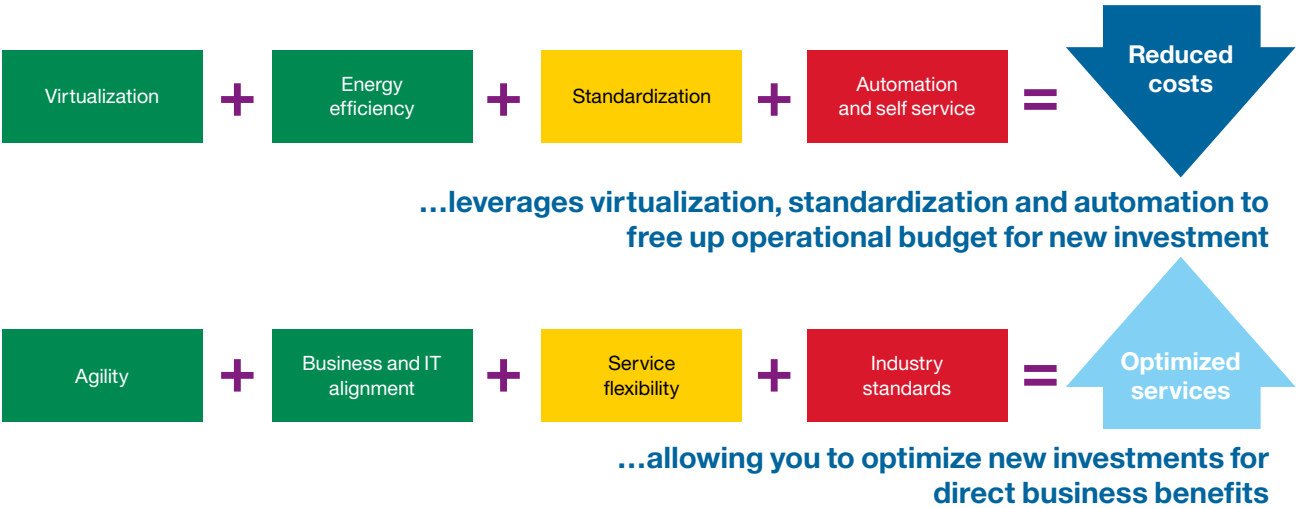


Figure 13
DOR Scale Economics

DOR Cloud Technology

The current Information Technology (IT) environment (in general, not for Philadelphia) is characterized by low asset utilization, a fragmented demand for resources, duplicative systems, environments which are difficult to manage, and long procurement lead times. These inefficiencies negatively impact the City of Philadelphia and its partners' ability to serve the constituent's literacy needs and journey on to workforce preparedness. Cloud computing can help City agencies and their partners when grappling with the need to provide highly reliable, innovative services quickly, despite resource constraints. By leveraging shared infrastructure and economies of scale, cloud computing presents a compelling business model for DOR to be able to measure and pay for only the resources they consume, to increase or decrease their usage to match requirements and budget constraints, and to leverage the shared underlying capacity of IT resources via a network. Resources needed to support mission critical capabilities can be provisioned more rapidly and with minimal overheads and routine provider interaction. Cloud computing can be implemented using a variety of deployment models – private, community, public, or a hybrid combination.

The operational activities and organization structure of DOR will need to be defined and agreed on. This may require a significant change to past operations and interactions, and will require stakeholders to reexamine their operations process, funding models and incentives. For some cloud deployment models, the historical pattern of systems acquisition, system operations and maintenance, and systems refresh cycles will be replaced with new IT management disciplines for managing services. Movement away from the traditional model for delivering IT services will have a significant impact on staffing, training and employee development, skills inventories, and career paths. These issues become most relevant for public, hybrid, and community cloud deployment models. As DOR engages more and more external services, it must maintain ownership for the outcomes achieved. Concern and care for constituents cannot be contracted without clear performance metrics and ability to capture and report on those metrics, which will have to be collaboratively agreed on by the stakeholders as part of the DOR governance.

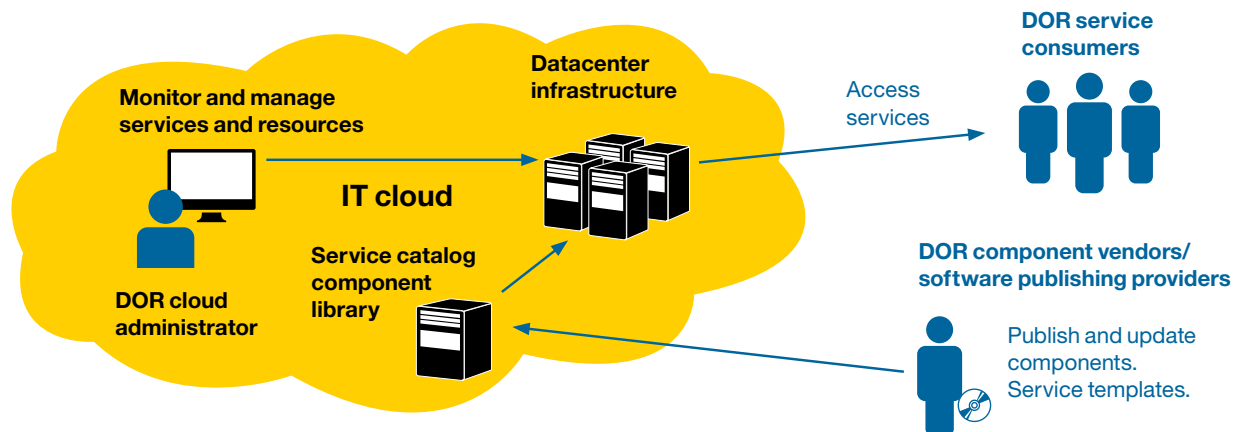


Figure 14
DOR Cloud Technology

D. Grant Report

Research Report for City of Philadelphia (PA)

Prepared by Grants Office, LLC for IBM at the request of Mary Olson

Mobilizing to Access Grant Funding

Each year, the federal government makes over \$400 billion available for a wide range of projects. Much of that is available to a group of entities referred to as “State, Local, nonprofit, and other.” As distinguished from research funding recipients, these government agencies, schools, and hospitals receive the largest share (in terms of dollars) of federal funding annually.

Grant Pathways

Funding at the federal level comes from 26 grant making agencies, and grants are either:

- **Direct** – funds go directly from the federal funding agency to local recipients; or
- **Pass-through** – funds go through the state, and possibly even a regional entity, before they are made available to the local entity. States may still have to apply for these funds and often keep a portion to cover administrative costs, but then each state will maintain its own re-granting process, timelines, and priorities.

It is important to be aware of whether the grant you are eligible to apply to a particular grant opportunity (and receive funds from it), or whether the opportunity is a pass-through grant for the state, and you will need to follow up with the state to determine what you need to do to apply for funds for your project.

Grant Types

Another distinction to be aware of is the type of grant a particular program offers. A grant may be:

- **Formula** – Funding allocations are based on a formula – such as student poverty (No Child Left Behind Grants), risk assessments (State Homeland Security Grants) or number of acute care hospital beds (Hospital Emergency Preparedness Grants). As long as an eligible applicant completes an application in the timeline and format required by the funder, they are virtually assured of receiving the money their formula has determined they’re eligible for.

- **Competitive** – applications are competitively scored based on a set of objective and/or subjective criteria, and the score the proposal receives factors into the award allocation; or
- **Earmark** – grant awards are decided at the legislative level during the budgeting process. You will need to apply to your local Congressman or State Representative to obtain these funds.

This Research Report may contain direct and pass-through grants as well as formula, competitive, and earmark programs. Each of these distinctions will have implications as the value of the program to your organization and the potential for raising new funding for your project.

Grant Sources

Grants typically come from one of three sources, including:

- **Federal** – issuing from one of the 26 Federal grant making agencies. These grants tend to be large (often \$250,000 to \$500,000 in size) and restricted to broad, national priorities
- **State** – issuing from a state agency, either using funds derived from within the state or passing through funds received from elsewhere (most often a federal agency). These grants tend to be more accessible, smaller than federal grants, and more in line with state priorities
- **Private** – Foundations and Corporations provide approximately \$35 billion each year in funding, and they tend to be the most responsive to locally developed projects and local needs.

All three of these sources may figure into your funding strategy. A common approach is to fund the bulk of a project with federal and state funds, then apply to foundations to support the local elements that fall outside the parameters of the government funders, or to cover the required matching costs.

Determining the Desirability of a Grant

You may not have the resources or even the desire or need to write all the grants identified in this document. So, it may be necessary to qualify which grants to which you would like to apply for the project, and which you will leave for another time or another project. The following criteria may be helpful in determining which grants to pursue:

- **Total funding available** – gives you an idea how broad the program will be and how competitive;
- **Application burden** – some programs require 100 page narrative, while others may look for 10 or less;
- **Matching requirements** – similarly, some programs require a dollar for dollar match, while others may require a 5 percent match or no cost sharing at all;
- **Scale** – you do not want to write 1,000 \$5,000 requests to get your \$500,000 project funded or lock yourself into a lot of extra activities that you did not intend just to get what you needed;
- **Collaboration/partnering requirements** – beyond what you have in place are a factor to consider;
- **Lead time** – more lead time generally equals more time to develop the project and articulate that in the grant application – six weeks is good, and three weeks is almost essential. The development of grant applications can take anywhere from 20 – 80 hours;
- **Track record with the funder** – generally more important or local funders than federal sources, but a consideration nonetheless.

Anatomy of a Grant Summary

The grant summaries contained in this report contain several common data elements, intended to provide you with an overview of each program and enough information to determine whether a given program warrants serious investigation – i.e. downloading and reading the guidance document and other informational materials on the program.

Each grant summary contains:

- **Grant Title** – the title of the grant as defined by the funder, with any common abbreviations in parentheses. If the grant is focused on a particular state, the state name will also be in parentheses.
- **CFDA#** – the Catalog of Federal Domestic Assistance number assigned by the funder, including the two numbers representing the primary funding agency (followed by a decimal point), and the remaining numbers (and letters) representing the agency's program. Some programs will not have a CFDA number.
- **Authority** – the definition of the funding source, including the federal or state agency and sub-agency or name of the foundation making the grant.
- **Summary** – relevant information about the grant program, funding priorities, and application process, including highlights of the grant program and information on the priorities and application process.
- **Eligibility** – the types of applicants that are eligible to apply for the grant including standard categories of eligible applicants, as well as any special eligibility criteria that the program requires.
- **Award Information** – the total funding available, matching requirements, allocation formula, and any other relevant items that impact the award amount.
- **History of Funding** – any available information on past years' funding. If no information is available, the entry will read: Not Available
- **Deadline** – additional information on the deadline, including Letter of intent/full application deadlines or submission timeframes for different media, reflecting any nuances in the application deadline, as indicated in the guidance or other sources. In addition, the deadline description will identify a forecasted (unofficial or not yet published) deadline date.
- **Additional Information** – relevant information not suited for other fields
- **Contact Information** – information on program contact(s), including phone, email, and a URL which points as directly as possible to the program Web page or guidance document (often a PDF).

Key Contacts**Congressional Representative:**

Contact your Congressional Representative at
<http://writerep.house.gov/writerep/welcome.shtml>

State Administrative Agency:

Pennsylvania Workforce Development
<http://www.paworkforce.state.pa.us>

Pennsylvania Department of Education
 333 Market Street, Harrisburg, PA 17126-0333
 717-783-6788
<http://www.portal.state.pa.us>

Report of Funding Opportunities

Grants Office has identified 39 funding opportunities for this client and they are listed below with their administering agencies included, as well as any deadlines that are currently available. *Some funding opportunities may require collaboration with other agencies. Congressional earmarks may be a viable opportunity for project funding. The client should contact their congressional representative for further details.

Funding Opportunities included in this Report:

Workforce Development:

1. H-1B Technical Skills Training Grants
2. Trade Adjustment Assistance Community College and Career Training Grants Program (TAACCCT)
3. Job Opportunity for Low Income Individuals (JOLI) Projects
4. Environmental Workforce Development and Job Training Grants
5. Reintegration of Ex-Offenders – Adult Program Grants

Education/Youth Related:

6. Investing in Innovation (i3)
7. Innovative Technology Experiences for Students and Teachers (ITEST)
8. YouthBuild Grants
9. Title IV, Part B: 21st Century Community Learning Centers (21st CCLC) (Pennsylvania)
10. Striving Readers Comprehensive Literacy Grant Program
11. Environmental Literacy Grants for Formal K-12 Education

Community/Economic Development:

12. Municipal Assistance Program (Pennsylvania)
13. Community Development Block Grants (CDBG) (Entitlement)
14. Choice Neighborhoods Initiative Planning Grant
15. Community Challenge Planning Grant Program
16. Sustainable Communities Regional Planning Grant Program
17. Promise Neighborhoods Program: Planning and Implementation Grants
18. Economic Development Assistance Programs – Public Works, Economic Adjustment Assistance, and Global Climate Change Mitigation Incentive Fund Economic Development Assistance Programs
19. Community Economic Development (CED) Projects

Foundations:

20. The Philadelphia Foundation (Pennsylvania)
21. FourJay Foundation (Philadelphia, Montgomery, and Bucks Counties, Pennsylvania)
22. 1675 Foundation (Philadelphia Counties, Pennsylvania)
23. The Barra Foundation (Philadelphia, Bucks, Chester, Delaware and Montgomery Counties, Pennsylvania)
24. Connelly Foundation (Philadelphia, Pennsylvania)
25. American Express Foundation Grants (Philadelphia, Pennsylvania)
26. The Longwood Foundation, Inc. (Delaware, and Chester County, Pennsylvania)
27. The William Penn Foundation (Pennsylvania)
28. TD Banknorth Charitable Foundation (Pennsylvania)
29. Wal-Mart and SAM'S CLUB Foundation
30. John S. and James L. Knight Foundation: Community Grants Program
31. Chevron Foundation
32. Office Depot Foundation
33. Starbucks Shared Planet Youth Action Grants
34. McCormick Foundation Veterans Programs
35. Dollar General Foundation Grants Program
36. Dr. Scholl Foundation
37. Goodrich Foundation
38. Jenny's Heroes
39. Verizon Foundation: Technology, Education, Literacy, Domestic Violence and Internet Safety Grant

H-1B Technical Skills Training Grants

CFDA Number(s): 17.268

Authority: Department of Labor, Employment and Training Administration

Summary: This grant program is designed to provide education, training, and job placement assistance in the occupations and industries for which employers are using H-1B visas to hire foreign workers, and the related activities necessary to support such training. H-1B technical skills training grants are financed by a user fee paid by employers to bring foreign workers into the United States under the H-1B nonimmigrant visa program. This technical skills training program was authorized under Section 414 (c) of the American Competitiveness and Workforce Improvement Act of 1998 (ACWIA), as amended (29 USC 2916a). Grant awards will be made only to the extent that funds are available.

Eligibility: Grants may be awarded to a partnership of private and public sector entities as defined in ACWIA. This partnership must include at least two entities from among the following groups: 1) business-related nonprofit organizations, such as trade associations; 2) education and training providers, including community colleges and other community-based organizations; and 3) entities involved in administering the workforce investment system established under Title I of the WIA, and economic development agencies.

Award Information: DOL or the Department announces the availability of approximately \$240 million in funds for an H-1B Technical Skills Training Grants program. The Department will make awards to two types of training grants: those that provide On-the-Job Training (OJT) to all participants and those that use other training strategies. Of the awards granted through this Solicitation, at least \$150 million will be awarded to grantees that provide OJT to all participants.

Between the two types of grants awarded (OJT and other training strategies), DOL intends to fund at least \$45 million to applicants proposing to provide training for occupations in the health care industry and at least \$60 million to applicants that serve long-term unemployed individuals. While this Solicitation is open, DOL anticipates that additional funding will accrue for this grant program. Such additional funding may be made available for awards during the second round of funding, depending on the quality of applications received.

Deadline Description: Applications for grant awards will be accepted immediately upon publication of this notice in the Federal Register with two closing dates of June 2, 2011 and November 17, 2011. Applications must be received no later than 4:00 p.m. Eastern Time on the closing dates.

Additional Information: In response to industry skill shortages in high-growth industries and occupations, Congress established the H-1B visa category for non-immigrants seeking work in high-skill or specialty occupations, imposed a user fee on employers for H-1B applications, and set annual limits on the number of H-1B visas granted. ACWIA, as amended, authorized the Department to use a portion of those fees to finance an H-1B Technical Skills Training Grant Program. This grant program is designed to provide education, training, and job placement assistance in the occupations and industries for which employers are using H-1B visas to hire foreign workers, and the related activities necessary to support such training.

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Visit website for program guidance:
http://www.doleta.gov/grants/pdf/SGA-DFA-PY-10-13_Final_H-1BSGA.pdf

Misc: <http://www.dol.gov/dol/grants>

Trade Adjustment Assistance Community College and Career Training Grants Program (TAACCCT)
CFDA Number(s): 17.282

Authority: Employment and Training Administration, U.S. Department of Labor

Summary: The Trade Adjustment Assistance Community College and Career Training grants program (TAACCCT) provides community colleges and other eligible institutions of higher education with funds to expand and improve their ability to deliver education and career training programs that can be completed in two years or less, are suited for workers who are eligible for training under the Trade Adjustment Assistance for Workers program, and prepare program participants for employment in high-wage, high-skill occupations.

The targeted population of this program is workers who have lost their jobs or are threatened with job loss as a result of foreign trade. The Department intends to fund multi-year grants to eligible institutions for either developing innovative programs or replicating evidence-based strategies. As a result of this program, the Department is helping to ensure that our nation's institutions of higher education are able to help the targeted population succeed in acquiring the skills, degrees, and credentials needed for high-wage, high-skill employment while also meeting the needs of employers for skilled workers. The grants awarded under this program will help eligible institutions expand and improve their ability to deliver education and career training programs that can be completed in two years or less, and are suited for workers who are eligible for training under the TAA for Workers program.

The Department is committed to funding applications that use data and evidence to demonstrate that strategies are likely to produce significant positive change and advance learning, allowing grantees to identify and integrate promising and proven strategies into their education and training programs. This program is designed to ensure that all eventual grant winners will contribute to strengthening the evidence base that exists on the impact of education and career training programs.

All successful applicants will be required to allow broad access for others to use and enhance project products and offerings, including permitting for-profit derivative uses of the courses and associated learning materials. The overarching goals of this program are to increase attainment of degrees, certificates, and other industry-recognized credentials and better prepare the targeted population, and other beneficiaries, for high-wage, high-skill employment.

This program contains four priorities and corresponding strategies toward achievement of these goals:

1. Accelerate progress for low-skilled and other workers
2. Improve retention and achievement rates to reduce time
3. Build programs that meet industry needs
4. Strengthen online and technology-enabled learning.

The first three priorities are education and workforce development approaches and the last priority, strengthening online learning, is a delivery mechanism that may be used in any of the priorities outlined above and should be integrated into projects as appropriate to support their implementation. In order to be considered for funding under this program, applicants must focus on one or more of these four priorities and must propose a set of evidence-based strategies designed to address the needs of the targeted population.

Eligibility: Eligible institutions are institutions of higher education as defined in Section 102 of the Higher Education Act of 1965 (20 U.S.C. 1002) which offer programs that can be completed in not more than two years. These "institutions of higher education" include public, proprietary, or other nonprofit educational institutions. Applicants must identify their institution type in Section 9 of the SF-424 Application for Federal Assistance.

Eligible institutions must be accredited by a nationally recognized accrediting agency or association that has been recognized by the U.S. Department of Education. A database of institutions that are accredited by bodies recognized by the U.S. Department of Education can be found at (<http://ope.ed.gov/accreditation>). Applicants are strongly encouraged to check this website, as the Department will reference this database in determining an applicant's accreditation to ensure eligibility. Generally, institutions of higher education include two-year and four-year colleges and universities, Historically Black Colleges and Universities, Tribal Colleges and Universities, and Hispanic Serving Institutions, among others.

Award Information: Under this program, DOL intends to award up to \$500 million in grant funds to eligible institutions. These awards will fund the development of innovative programs or replication of evidence-based strategies, and will support eligible institutions that are committed to using data to continuously evaluate the effectiveness of their strategies in order to improve their programming. DOL intends to make awards to eligible institutions ranging from \$2.5 million to \$5 million for individual applicants, and awards of \$2.5 million to \$20 million for a consortium of eligible institutions. DOL does not expect to fund any project for less than \$2.5 million but will consider applications below that amount with proper justification. In the event additional funds become available, ETA reserves the right to use such funds to select additional grantees from applications submitted in response to this solicitation.

Deadline Description: The closing date for receipt of applications under this program was April 21, 2011 by 4:00 p.m. Eastern Standard Time (EST). The deadline is anticipated to be similar in 2012.

Additional Information: Applicants under this program should propose projects that include technology-based solutions to effectively teach content to students, enable students to teach themselves, learn from other students, or to engage in hands-on learning, through methods such as interactive simulations, personalized instruction, and elements of game design, including strategies for asynchronous and real-time collaboration among learners as well as between learners and instructors. Online learning materials developed for these projects may include a mix of courses, including remedial or basic courses, developmental courses, foundational courses, gateway courses for career areas (from basic to advanced), and courses that lead to portable and/or stackable degrees, certificates, and other industry-recognized credentials.

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http://www.doleta.gov/grants/find_grants.cfm

<http://www.doleta.gov/grants/pdf/SGA-DFA-PY-10-03.pdf>

Job Opportunity for Low Income Individuals (JOLI) Projects
CFDA Number(s): 93.593

Authority: Administration for Children and Families

Summary: The Office of Community Services (OCS) will award up to \$1.16 million through the Job Opportunity for Low-Income Individuals (JOLI) program to support business development and expansion opportunities, including micro-enterprise and self-employment opportunities, in an effort to help Temporary Assistance for Needy Families (TANF) recipients and other low-income individuals achieve economic self-sufficiency. JOLI grantees create jobs through provision of technical and financial assistance to private employers in the community in order to create sustainable employment and business opportunities.

Financial assistance to low-income individuals may be provided through the use of revolving loan funds or the provision of direct cash assistance to a micro-enterprise or self-employed business owner. Funded projects should focus on one of the following three program strategies:

1. New business ventures
2. Business expansion
3. Self-employment/micro-enterprise projects.

Grantees must ensure that TANF or RCA recipients and other low-income individuals are recruited to participate in business development and expansion activities and to fill positions created under the program.

The program must help TANF recipients and other low-income individuals overcome personal or community barriers, and ensure that the businesses and jobs remain viable for at least one year after the end of the grant. OCS will strongly encourage applicants to propose projects that support child care and early childhood education as such projects create jobs for low-income participants and support other working families. In addition, OCS would encourage projects that coordinate support services for participants with a program that provides Individual Development Accounts.

Eligibility: Applicants must be qualified nonprofit organizations with 501(c)(3) or 501(c)(4) status. Community or faith-based organizations that meet these same requirements are also eligible and encouraged to apply.

Award Information: Up to \$1,160,000 in grants is available (\$290,000 maximum per project).

Deadline Description: Applications are due August 3, 2011, March 30, 2012 and March 29, 2013.

Additional Information: The JOLI program seeks to fund projects that address the personal and community barriers that must be overcome to help low-income individuals become self-sufficient.

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Visit website for program guidance:

<http://www.acf.hhs.gov/grants/open/foa/view/HHS-2011-ACF-OCS-EO-0163>

Environmental Workforce Development and Job Training Grants

CFDA Number(s): 66.808, 66.813, 66.815

Authority: Environmental Protection Agency (EPA)

Summary: Through this expanded Environmental Workforce Development and Job Training Program, graduates will develop wider skill sets that will improve their ability to secure full-time, sustainable employment in various aspects of hazardous and solid waste management and within the larger environmental cleanup and remediation field. Through the link to on-the-ground cleanup activities, Environmental Workforce Development and Job Training Grants train residents of communities impacted by a variety of waste facilities, blighted properties, and contaminated sites for environmental jobs that cleanup contractors may otherwise fill from outside the affected community.

Environmental Workforce Development and Job Training Grants help residents take advantage of the jobs created by the management, assessment, cleanup, and revitalization of solid and hazardous waste sites in their communities. A critical part of EPA's Environmental Workforce Development and Job Training efforts is to ensure that residents living in communities historically affected by economic disinvestment, health disparities, and environmental contamination have an opportunity to reap the benefits of revitalization in these areas.

Proposed training programs must target unemployed and underemployed individuals. Applicants will be evaluated on the extent to which they have partnered with local contractors and other stakeholders where EPA-funded projects for brownfields, Federal Facilities, Superfund, underground storage tanks, landfills, oil spill sites, or EPA-funded state or tribal corrective actions or closures at solid or hazardous waste facilities or landfills are taking place. Applicants should establish procedures to ensure that graduates will be employed in environmental work that involves preventing, assessing, managing, and cleaning up contaminated sites with a focus on the graduates' respective communities.

EPA's Brownfields Program and the Office of Solid Waste and Emergency Response are committed to integrating principles of environmental justice by helping communities revitalize contaminated properties, mitigate potential health risks, and restore economic vitality. Examples of eligible uses of grant funds to be provided under this competitive opportunity include the following activities:

1. Recruiting job training participants from communities impacted by hazardous and/or solid waste facilities and sites;
2. Implementing job development outreach activities directed toward engaging prospective employers to be involved in the job training program and to hire graduates;
3. Training participants for the handling and removal of hazardous substances and petroleum, including training for jobs in environmental sampling, analysis, and site remediation associated with brownfields, Superfund, and Federal Facility sites, including demolition and groundwater extraction, as well as health and safety training;
4. Training in the inventory, assessment, and remediation of facilities at which hazardous substances, pollutants, contaminants, or petroleum contamination are located, transported, or disposed;
5. Training in leak prevention and the removal of underground storage tanks;
6. Training participants to conduct chemical inventories; inspect and recommend proper chemical storage, safely handle chemicals and oversee removal of dangerous, unlabeled, and unnecessary chemicals in K-12 schools;
7. Training in confined space entry;
8. Training in HVAC, Freon removal or the removal of substances from white goods;
9. Training participants in the use of techniques and methods for cleanup of hazardous substances, petroleum, and pollutants, such as training in asbestos abatement, lead abatement, lead renovation, repair, and painting (RRP), mold remediation, and cleaning up sites contaminated by the manufacturing of illegal drugs (e.g. methamphetamine labs), abandoned gas stations, or mine-scarred lands;

10. Training in the use of compost and soil amendments, associated sampling, testing, design considerations and management techniques, such as integrated pest management (IPM), to support the assessment and cleanup of sites for urban agriculture and horticulture;
11. Training in integrated solid waste management-related jobs, including but not limited to household and industrial recycling management and collection, operators of material recovery facility and/or recycling centers, electronics and household hazardous waste collection and recycling program operators, construction and demolition debris collection and recycling, management and recycling center operators, training associated with solid and hazardous waste facility corrective action and landfill closure activities, and waste minimization efforts;
12. Training in environmental chemistry, toxicology, and geology to the extent necessary to inventory, assess, remediate and clean up contaminated sites;
13. Training in the requirements and implementation of the all appropriate inquiry, as required in CERCLA 101.35B and 40CFR part 312, and due diligence – defined as the process for evaluating a property for the potential presence of environmental contamination, and for assessing potential liability for any contamination present at the property;
14. Training in site surveying, inventorying, mapping, and geographic information systems (GIS);
15. Training participants in planning and conducting ecological restoration of contaminated land, including general botanical classes or introductory horticultural classes related to land and stream restoration or indigenous species re-vegetation, landscaping, and soil science;
16. Training residents in the preparation of contaminated sites for water or storm water management systems, low-impact development (LID), and Leadership in Energy and Environmental Design (LEED);
17. Training participants in the reuse of biosolids and other industry residuals associated with remediation of contaminated lands or solid waste facilities;
18. Training in innovative and alternative treatment technologies, such as “green remediation” technologies, phytoremediation, bioremediation, or soil amendments;
19. Training for spill response, including industrial and environmental (e.g. oil spills, etc.);
20. Training in site preparation for the installation of technologies that use alternative energy (e.g. solar, wind, or geothermal power) or alternative fuels (e.g. biofuels);
21. Training in building trades related to constructing beams, caps, synthetic barriers, pumping facilities and similar structures to remediate contamination;
22. Training in first-aid, CPR, emergency response, blood borne pathogens, first responder, disaster site worker, and National Incident Management System (NIMS);
23. Training in HAZMAT and commercial driver’s license (CDL), forklift, and machine operations associated with the transportation of hazardous waste;
24. Personnel costs for instructors to conduct training, fringe benefits, and/or personnel costs for tasks associated with programmatic reporting requirements;
25. Training in national historic preservation and tribal historic preservation regulations associated with cleanup projects;
26. Costs for screening and placing individuals of the training program;
27. Costs for training materials and work gear associated with the training curriculum, if reasonable;
28. Costs associated with health exams (e.g. pulmonary function tests), drug testing, or licensing fees directly related to the training and/or the placement of graduates in environmental work, if reasonable. (Any funding used to pay for such fees must be applied before training is completed and expended before the close of the grant);
29. Costs used to cover rental fees associated with training facilities or minor alteration of existing facilities, if reasonable; (Construction costs are not allowable);
30. Costs, including stipends, associated with transportation for trainees for site visits during training or for trainees getting to and from class, if reasonable;
31. Development and refinement of existing curricula for training;
32. Insurance a trainee needs to participate in on the job training.

Eligibility: The following information indicates what entities are eligible to apply for an Environmental Workforce Development and Job Training Grant:

- General Purpose Unit of Local Government;
- Land Clearance Authority or other quasi-governmental entity that operates under the supervision and control of, or as an agent of, a general purpose unit of local government;
- Government Entity created by State Legislature;
- Regional Council or group of General Purpose Units of Local Government;
- Redevelopment Agency that is chartered or otherwise sanctioned by a State;
- State;
- Indian Tribe other than in Alaska;
- Alaskan Native Regional Corporation, Alaska Native Village Corporation and the Metlakatla Indian Community. Alaskan Native Regional Corporation and Alaska Native Village Corporation as those terms are defined in the Alaska Native Claims Settlement Act;
- Nonprofit organizations.

Award Information: The total estimated funding available under this program is approximately \$4,000,000. Applicants may apply for up to \$300,000 in EPA funds for a two-year project period. EPA reserves the right to make additional awards under this competition, consistent with Agency policy, if additional funding becomes available. Any additional selections for awards will be made no later than four months from the date of the original selection decision. EPA reserves the right to reject all proposals and make no awards under this announcement or make fewer awards than anticipated. There is no cost sharing requirement for Environmental Workforce Development and Job Training Grants.

Deadline Description: Proposals were due March 18, 2011. Applicants may submit their proposals through the U.S. Postal Service, commercial delivery service, or through (<http://www.grants.gov>). The deadline is anticipated to be similar in 2012.

Additional Information: Grant funds may not be used for the following activities:

- Conducting site assessments or actual cleanups outside the context of on-the-job training;
- Conducting response activities often associated with cleanups except within the context of on-the-job training assignments (e.g. landscaping, demolition, and groundwater extraction). Assessment, cleanup, and associated activity costs must be funded through other means;
- General or life skills education activities, such as remedial classes in math and reading; job readiness training, such as developing resumes and acquiring interview skills; job placement costs; GED costs; website development; vehicle or medical insurance; or child care and daycare costs;
- Stipends for students, other than for transportation, or scholarship funds to support students' enrollment in college courses;
- Membership fees, such as fees required to join placement service organizations or environmental organizations;
- Providing food or light refreshments to employees, instructors, and trainees – except at graduation ceremonies;
- Costs that are unallowable (e.g. lobbying, fund-raising, alcoholic beverages) under Cost Principles 2 CFR Part 220 (universities), 2 CFR Part 225 (state, tribal, and local governments), or 2 CFR Part 230 (nonprofit organizations), as applicable;
- Matching any other Federal funds unless there is specific statutory authority for the match. CERCLA does not provide this authority. Grant funds may be used to match state or local funds, if authorized by the relevant state statute or local ordinance;
- Construction or substantial rehabilitation of buildings or other facilities to house training;
- Proposal preparation costs;
- Administrative costs, management fees, penalties, or fines.

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Misc: A full list of regional contacts can be found in the guidance at:
<http://www.epa.gov/oswer/docs/grants/epa-oswer-oblr-11-01.pdf>

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Reintegration of Ex-Offenders – Adult Program Grants
CFDA Number(s): 17.270

Authority: U.S. Department of Labor (DOL)

Summary: The Reintegration of Ex-Offenders – Adult (RExO – Adult) program is designed to strengthen the communities to which the majority of ex-offenders return through an employment-centered program that focuses on job opportunities and training in in-demand occupations such as those in “green” industries, incorporates mentoring, and facilitates the connection to supportive services such as housing, substance abuse programs and mental health treatment.

FBCOs must provide comprehensive and coordinated services to ex-offenders in each of the following three components:

1. Employment opportunities to reduce recidivism. The RExO – Adult program is an employment-centered program intended to address the needs of ex-offenders returning to communities. Employment is a critical stabilizing factor for ex-offenders and this initiative will stress job placement in in-demand industries such as “green” jobs, job retention, and increasing the earning potential of ex-offenders. FBCOs will offer job placement services in coordination with businesses, local One-Stop Career Centers, educational institutions, and other employment service providers. FBCOs will also use services available to support employment of ex-offenders, such as the Federal Bonding program and Work Opportunity Tax Credits. FBCOs should develop partnerships with various employment partners, including Employer Advisory Councils, Chambers of Commerce, Neighborhood Business Councils and individual employers to ensure a pathway to employment for participants;

2. Vocational training and educational interventions designed to improve the career pathways and earning potential of ex-offenders. Educational attainment is increasingly critical in the global economy. Many jobs will require more than a secondary degree. The Center for Economic Policy Research found that “[t]ime behind bars can lead to deterioration in a worker’s ‘human capital,’ including formal education, on-the-job experience, and even ‘soft skills’ such as punctuality or customer relations.” In order to improve employment opportunities for ex-offenders, opportunities for educational attainment and industry-recognized certificates are essential. FBCOs should conduct assessments and work with participants to create individual development plans to connect participants that may not be ready for immediate employment with opportunities for vocational and educational assistance. This may take the form of continuing education services (including literacy and numeracy gains toward the attainment of a high school diploma or GED, or toward the attainment of an Associate’s or Bachelor’s degree), provided by partnering with adult education agencies, community colleges and other education providers. Participants must also be given opportunities for training in work readiness and soft skills. As well, FBCOs should use these partnerships to offer opportunities for advanced vocational training with the goal of industry-recognized certifications, particularly in in-demand occupations in the local economy such as in “green” industries. The Department uses a broad framework for thinking about green jobs with the understanding that knowledge, skills, and abilities are transferable across industry sectors. This understanding may also be applied to the skills required for green jobs. All of these reference points – WIA, BLS, and O*NET – provide a broad framework for defining green jobs. Applicants may use any or all of these definitions in identifying the green occupations in which they propose to provide training. Applicants may also propose their own definition of green jobs if they can support their definition with evidence;

3. Mentoring of ex-offenders to support reintegration. Mentoring is a key element of reentry support. Previous research and programming have shown mentoring to be a promising practice in reducing recidivism and supporting returning offenders. FBCOs must provide post-release mentoring as it is essential to reintegrating ex-offenders in coordination with the corrections, parole, and probation structure. Participating adult ex-offenders will be matched with appropriate mentors who will be primarily responsible for offering support and guidance to the ex-offender in the community and the workplace. For the purposes of the RExO – Adult program, mentoring is defined as a relationship over a prolonged period of time between two or more people where caring volunteer mentors assist ex-prisoners in successfully and permanently reentering their communities by providing consistent support as needed, guidance, and encouragement that impacts RExO – Adult participants in developing positive social relationships and achieving program outcomes such as job retention, family reunification and reduced recidivism.

Allowable uses of grant funds for projects funded under these grants include, but are not necessarily limited to, the following activities:

1. Up to three months before release from incarceration, grantees can provide services, to include:
 - a) Orientation activities for new participants;
 - b) Assessment activities, including risk assessment, work-readiness assessments and education placement assessments;
 - c) Developing post-release plans;
 - d) Assisting prisoners to obtain documents necessary for employment upon release;
 - e) Education and vocational training;
 - f) Job training;
 - g) Mentoring and case management;
 - h) Any other activities necessary to prepare offenders for employment at release.

2. Post-release workforce development services, such as:
 - a) Education and vocational training;
 - b) Job training;
 - c) On-the-job training;
 - d) Work readiness training;
 - e) Work experience;
 - f) Job placement assistance;
 - g) Basic skills remediation.
3. Case management services, including referrals to housing assistance, mental health counseling, and substance abuse treatment, among other supportive services;
4. Mentoring, both during active participation and after program exit;
5. Follow-up services that focus efforts on job retention, wage gains and career progress through regular contact with employers and other post-placement supporting agencies, including assistance in addressing work-related problems that arise, assistance in securing better paying jobs, career development and further education, continued mentoring, and performance tracking of participant outcomes;
6. These funds can also be used to provide monetary incentives to participants for performance or success in meeting benchmarks, and up to 1.5 percent of DOL grant funds may be used to provide needs-based payments to assist participants with costs related to food or other household items, such as paying a utility bill to prevent shut-off. FBCOs must have a consistent standard and policy in place on the provision of both incentive awards and needs-based payments.

Eligibility: Recipients of these grants will be nonprofit faith-based and community organizations (“FBCOs”) that are located in or have existing staff presence in the high-poverty, high-crime area to be served. This grant focuses on high-poverty, high-crime areas that are heavily impacted by a large proportion of ex-offenders returning each year and which experience high rates of recidivism. A single application may be submitted to serve multiple sites. However, applicants must demonstrate that they have an existing organizational presence in each of the identified geographic areas to be served. The application may not be for more than \$1,170,000, with additional funding for multiple sites coming from other leveraged resources if DOL funding does not fully cover the cost of operating a multi-site grant. Previous recipients of RExO – Adult grants are eligible for this solicitation.

Award Information: The Department expects to award approximately ten grants of approximately \$1,170,000 each for a 27-month period of performance. Any grant application with a proposed value greater than \$1,170,000 will be deemed non-responsive and not be considered. In the event additional funds become available as a result of the FY 2011 appropriation, ETA reserves the right to use such funds to select additional grantees from applications submitted in response to this solicitation.

The Department anticipates the approximate cost-per-participant to be \$3,000 with each grantee serving approximately 195 participants in the first year of program services, after the pre-implementation planning period. These grants will be funded for a 27-month period of performance, to include up to three months of pre-implementation planning and a minimum of two full years of program services. Cost sharing or matching is not required, although leveraging of resources is strongly encouraged in order to maximize the impact of the grant. Applicants should describe what resources, new and existing, may support the goals of the project.

While the failure to offer leveraged resources as a part of an application will not preclude consideration of the application, it will place the applicant at a competitive disadvantage against applicants that do so to the extent that an applicant's ability to provide required employment-related services and to arrange for supportive services is improved by access to resources beyond this grant.

Deadline Description: The deadline to submit an application was March 17, 2011 by 4:00 p.m. Eastern Standard Time (EST). The deadline is anticipated to be similar annually.

Additional Information: In addition to partnering with employers, grantees are expected to partner with Local Workforce Investment Boards (LWIBs) and One-Stop Career Centers. These workforce system entities can provide training in work readiness and soft skills, as well as opportunities for education and vocational training, and access to employer partners.

A small but growing number of One-Stop Career Centers, as described above, have a particular focus on the needs of ex-offenders. Examples of partnerships with LWIBs and One-Stop Career Centers include memoranda of understanding for referral to supportive services, training and other opportunities provided by these entities, and co-location of staff from the FBCO grantee at the One-Stop Career Center to serve as a liaison for RExO-Adult participants using the One-Stop Career Center.

Grantees should also seek to partner with State and local correctional agencies, including State Departments of Corrections, county and city jails, and probation/parole offices, to provide referrals of prisoners being released or recently released into the communities being served with this grant, as well as to provide access to state prisons and county or city jails to serve offenders within three months of release. These agencies will also be important partners in documenting recidivism outcomes as described in Section VI.C.

Past examples of collaborative partnerships have included partnering with correctional agencies that have received Second Chance Act funding to provide a seamless process of referrals and partnerships with Reentry One-Stop Career Centers, located in communities or in jails, which focus on the employment needs of soon-to-be-released prisoners and released ex-offenders. As well, many prisons use employment advisory councils that provide behind-the-fence apprenticeship opportunities for inmates and create pathways to post-release employment. Partnering with state prisons around employment advisory councils can create stronger linkages to industry-recognized certification opportunities and employment connections.

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http://www.doleta.gov/grants/find_grants.cfm

Misc: <http://www.doleta.gov/grants/pdf/SGA-DFA-PY-10-10-2011.pdf>

Investing in Innovation (i3)**CFDA Number(s):** 84.411A, 84.411B, 84.411C**Authority:** United States Department of Education

Summary: The Investing in Innovation Fund, established under section 14007 of the American Recovery and Reinvestment Act of 2009 (ARRA), provides funding to support to local educational agencies (LEAs), and nonprofit organizations in partnership with one or more LEAs or a consortium of schools. The purpose of this program is to provide competitive grants to applicants with a record of improving student achievement and attainment in order to expand the implementation of, and investment in, innovative practices that are demonstrated to have an impact on improving student achievement or student growth, closing achievement gaps, decreasing dropout rates, increasing high school graduation rates, or increasing college enrollment and completion rates.

These grants will allow eligible entities to expand and develop innovative practices that can serve as models of best practices, allow eligible entities to work in partnership with the private sector and the philanthropic community, and support eligible entities in identifying and documenting best practices that can be shared and taken to scale based on demonstrated success. Under this program, the Department is awarding three types of grants: “Scale-up” grants, “Validation” grants, and “Development” grants. Applicants must specify which type of grant they are seeking at the time of application. Among the three grant types, there are differences in terms of the evidence that an applicant is required to submit in support of its proposed project; the expectations for “scaling up” successful projects during or after the grant period, either directly or through partners; and the funding that a successful applicant is eligible to receive.

The following is an overview of the three types of grants:

1. Scale-up grants provide funding to “scale up” practices, strategies, or programs for which there is strong evidence that the proposed practice, strategy, or program will have a statistically significant effect on improving student achievement or student growth, closing achievement gaps, decreasing dropout rates, increasing high school graduation rates, or increasing college enrollment and completion rates, and that the effect of implementing the proposed practice, strategy, or program will be substantial and important.
2. Validation grants provide funding to support practices, strategies, or programs that show promise, but for which there is currently only moderate evidence that the proposed practice, strategy, or program will have a statistically significant effect on improving student achievement or student growth, closing achievement gaps, decreasing dropout rates, increasing high school graduation rates, or increasing college enrollment and completion rates and that, with further study, the effect of implementing the proposed practice, strategy, or program may prove to be substantial and important.

3. Development grants provide funding to support high-potential and relatively untested practices, strategies, or programs whose efficacy should be systematically studied.

One of the overall goals of the ARRA is to improve student achievement through school improvement and reform. Within the context of the ARRA, the Investing in Innovation Fund focuses on four key assurances, or education reform areas, that will help achieve this overall goal. All applicants will be expected to apply under one of the four absolute priorities.

Absolute Priority 1 – Innovations that Support Effective Teachers and Principals. Under this priority, the Department provides funding to support practices, strategies, or programs that are designed to increase the number or percentages of teachers or principals who are highly effective teachers or principals or reduce the number or percentages of teachers or principals who are ineffective, especially for teachers of high-need students, by identifying, recruiting, developing, placing, rewarding, and retaining highly effective teachers or principals (or removing ineffective teachers or principals).

Absolute Priority 2 – Promoting Science, Technology, Engineering, and Mathematics (STEM) Education.

Under this priority, the Department provides funding to support projects that are designed to address one or more of the following areas:

- a) Providing students with increased access to rigorous and engaging coursework in STEM;
- b) Increasing the number and proportion of students prepared for postsecondary or graduate study and careers in STEM;
- c) Increasing the opportunities for high-quality preparation of, or professional development for, teachers or other educators of STEM subjects;
- d) Increasing the number of individuals from groups traditionally underrepresented in STEM, including minorities, individuals with disabilities, and women, who are provided with access to rigorous and engaging coursework in STEM or who are prepared for postsecondary or graduate study and careers in STEM;

- e) Increasing the number of individuals from groups traditionally under-represented in STEM, including minorities, individuals with disabilities, and women, who are teachers or educators of STEM subjects and have increased opportunities for high-quality preparation or professional development.

Absolute Priority 3 – Innovations that Complement the Implementation of High Standards and High-Quality Assessments. Under this priority, the Department provides funding for practices, strategies, or programs that are designed to support States' efforts to transition to standards and assessments that measure students' progress toward college- and career-readiness, including curricular and instructional practices, strategies, or programs in core academic subjects that are aligned with high academic content and achievement standards and with high-quality assessments based on those standards.

Absolute Priority 4 – Innovations that Turn Around Persistently Low-Performing Schools. Under this priority, the Department provides funding to support strategies, practices, or programs that are designed to turn around schools that are in any of the following categories:

- a) Persistently lowest-achieving schools (as defined in the final requirements for the School Improvement Grants program);
- b) Title I schools that are in corrective action or restructuring under section 1116 of the ESEA;
- c) Secondary schools (both middle and high schools) eligible for but not receiving Title I funds that, if receiving Title I funds, would be in corrective action or restructuring under section 1116 of the ESEA. These schools are referred to as Investing in Innovation Fund Absolute Priority 4 schools.

Absolute Priority 5 – Improving Achievement and High School Graduation Rates (Rural Local Educational Agencies). Under this priority, the Department provides funding to support projects that are designed to address accelerating learning and helping to improve high school graduation rates (as defined in this notice) and college enrollment rates for students in rural local educational agencies.

For fiscal year 2011 and any subsequent year in which awards are made from the list of unfunded applicants from this competition, these priorities are competitive preference priorities. Applicants may address more than one of the competitive preference priorities; however, the Department will review and award points only for a maximum of two of the competitive preference priorities.

Competitive Preference Priority 1 – Innovations for Improving Early Learning Outcomes (zero or one point). Competitive preference is given to applications for projects that would implement innovative practices, strategies, or programs that are designed to improve educational outcomes for high-need students who are young children (birth through third grade) by enhancing the quality of early learning programs.

Competitive Preference Priority 2 – Innovations that Support College Access and Success (zero or one point). Competitive preference is given to applications for projects that would implement innovative practices, strategies, or programs that are designed to enable kindergarten through grade 12 (K–12) students, particularly high school students, to successfully prepare for, enter, and graduate from a two or four-year college.

Competitive Preference Priority 3 – Innovations to Address the Unique Learning Needs of Students with Disabilities and Limited English Proficient Students (zero or one point). Competitive preference is given to applications for projects that would implement innovative practices, strategies, or programs that are designed to address the unique learning needs of students with disabilities, including those who are assessed based on alternate academic achievement standards, or the linguistic and academic needs of limited English proficient students.

Competitive Preference Priority 4 – Improving Productivity (zero or one point). Competitive preference is given to applications for projects that are designed to significantly increase efficiency in the use of time, staff money, or other resources while improving student learning or other educational outcomes (i.e. outcome per unit of resource). Such projects may include innovative and sustainable uses of technology, modification of school schedules and teacher compensation systems, use of open educational resources or other strategies.

Competitive Preference Priority 5 – Technology (zero or one point). Competitive preference is given to applications for projects that are designed to improve student achievement or teacher effectiveness through the use of high-quality digital tools or materials, which may include preparing teachers to use the technology to improve instruction, as well as developing, implementing, or evaluating digital tools or materials.

Eligibility: Entities eligible to apply for Investing in Innovation Fund grants include: a LEA or a partnership between a nonprofit organization and one or more LEAs or a consortium of schools. An eligible applicant that is a partnership applying under section 14007(a)(1)(B) of the ARRA must designate one of its official partners to serve as the applicant in accordance with the Department's regulations governing group applications in 34 CFR 75.127 through 75.12. This program has very specific eligibility requirements. Please refer to the official guidance for more details.

Award Information: There is approximately \$148,200,000 in estimated funds. Award amounts have been adjusted to ensure that applicants have sufficient funding to carry out program goals while enabling the Department to fund as many high-quality applications as possible. Grants will be available within the same three categories as in round one:

1. Up to \$25 million each for two awards will be available for Scale-up grants to applicants with the strongest evidence and track records of success;
2. Up to \$15 million each for five awards will be available for Validation grants to verify effectiveness for programs with moderate levels of evidence;
3. Up to \$3 million each for 15 awards will be available for development grants to support new and high-potential practices whose impact should be studied further. Grant recipients will be required to secure private sector matching funds of 5 percent, 10 percent, or 15 percent, respectively.

Deadline Description: The deadline for the notice of intent to apply was June 23, 2011. The deadline for transmittal of applications was August 2, 2011. The deadline is anticipated to be similar in 2012.

Additional Information: To aid the i3 application process, the Department will offer pre-application workshops in the coming weeks along with several webinars on key i3 topics. Notices Inviting Applications for each of the three grant categories will be published today in the Federal Register, and applications will be due on Aug. 2, 2011. Awards will be made no later than Dec. 31, 2011.

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Visit website for program guidance:

<http://www2.ed.gov/programs/innovation/index.html>

Misc: Scale-up grants: <http://www.gpo.gov/fdsys/pkg/FR-2011-06-03/pdf/2011-13592.pdf>

Validation grants: <http://www.gpo.gov/fdsys/pkg/FR-2011-06-03/pdf/2011-13594.pdf>

Development grants: <http://www.gpo.gov>

Innovative Technology Experiences for Students and Teachers (ITEST)

CFDA Number(s): 47.076

Authority: National Science Foundation (NSF), Directorate For Education and Human Resources (EHR)

Summary: The ITEST program is funded by H-1B visa revenues in direct response to the need to ensure a high-quality future STEM and ICT workforce that can meet U.S. technology needs. The goals of the ITEST program are as follows:

1. To develop, implement, study, and evaluate strategies that encourage K-12 students to develop interest in and to be prepared for careers in the STEM and ICT workforce of the future;
2. To produce research findings that build knowledge about approaches, models, and interventions with K-12-aged children and teachers that are most likely to increase the nation's capacity and innovation in the STEM and ICT workforce of the future;
3. To equip teachers with the resources to ensure that their students consider choosing and are prepared to enter the STEM and ICT workforce of the future.

ITEST invests in three types of projects:

1. **Scale-up projects** – The goal of ITEST Scale-up projects is to apply proven strategies to enhance student or teacher knowledge of, or disposition toward, STEM and ICT careers to a broader audience for the purpose of learning effective steps in expanding the adoption of successful innovations in school and out-of-school settings. Scale-up projects can include expanding existing designs, implementations, and tests of research and theory-based models or models based in best practice and professional expertise, to interest and prepare students to be participants in the STEM workforce of the future. Any scale-up proposal must directly impact K-12-aged students or teachers of K-12 students and must involve a partnership among different types of institutions. Projects in this category are guided by the following questions:
 - a) Can innovative strategies that have been shown to be effective for supporting K-12 students' development for

- productive participation in the STEM and ICT workforce of the future be applied to new settings?
- b) What evidence can be generated to clearly demonstrate that innovations applied in some settings can be expanded to new settings to increase the knowledge, skills, and dispositions that students need in order to participate productively in the changing workforce in STEM, especially ICT-intensive workforce?
- c) How can innovations be expanded to cover additional scope within STEM workforce preparation?

Scale-up project proposals must:

- Identify the program, model, strategy, or intervention that will be scaled-up and explain the nature of the scale-up (e.g. size of affected population, variety of contexts). The proposal should make an argument for why the strategy is ready for scale-up, and provide detailed empirical or theoretical evidence for the viability of the scale-up. Provide any scientifically based theory (cognitive, developmental, or other learning science theory) that strongly suggests that the proposed innovation will be successful in a larger scale;
- Describe the plan for implementing the scaled-up version, including the population, the participants and any planned adaptations of the earlier model. The interventions may be school-based or based outside of school and should use modern forms of technology or networking (see Cyberlearning report) in the intervention. They should involve partnerships between student or teacher-based organizations, community or industry organizations, universities, or educational research organizations;
- Provide details about the evidentiary base that will be established to demonstrate, through rigorous, well-controlled, large-scale empirical studies, the impact of the proposed intervention on practice. Explain how plausible cause-and-effect assertions (between interventions and student learning, motivation, and achievement) will be tested. There must be a plausible set of studies capable of demonstrating whether or not the intervention had the intended effects.

2. **Strategies projects** – The goal of ITEST Strategies

projects is to develop, implement and study strategies that encourage K-12 students to consider and be prepared for careers in the STEM and ICT fields, or that equip teachers with the resources to ensure that their students consider and are prepared for choosing to enter the STEM workforce of the future. Every strategies project is regarded as a learning laboratory in the sense that other STEM educators should be able to gain knowledge provided by the project in other, future activities. Strategies projects should describe the anticipated contribution the project will make to the knowledge base about STEM education, in addition to short-term impacts on participants.

ITEST is particularly interested in new and innovative ideas, so projects seeking funding in this strand are strongly encouraged to connect with the ITEST Learning Resource Center (<http://itestlrc.edc.org>) for information about current and previously funded strategies projects so as to develop and implement strategies that will advance the field. Projects in this category are guided by the following questions:

- a) What strategies will best support student development for productive participation in the STEM and ICT workforce of the future?
- b) What are the knowledge, skills, and dispositions that students need in order to participate productively in the changing workforce in STEM and ICT, and how can we prepare teachers to help students acquire such knowledge, skills, and dispositions?
- c) How can the burgeoning cyber infrastructure be harnessed as a tool for STEM and ICT learning in classrooms and informal learning environments?
- d) What strategies can parents and caregivers adopt in the modern digital and computer age that develop student understanding of and appreciation for the scientific, mathematical, and engineering basis of technological developments?

Strategies projects include the design, implementation, and testing of research and theory-based models, or models based in best practice and professional expertise, to interest and to prepare students to be participants in the STEM and ICT workforce of the future. Investigators should articulate a strategy for engaging students in the STEM workforce of the future, and for identifying and building knowledge, skills, and dispositions that are essential for participation in that workforce. The project should include a clear connection between the STEM content to be addressed with the STEM or ICT career that it supports. Although a range of types of strategies and models are expected, any strategy proposal must directly impact K-12 students and may impact K-12 teachers.

The ITEST program strongly encourages innovative strategies with the potential to transform STEM learning in support of workforce development. Investigators are encouraged to create partnerships with K-12 schools, colleges, universities, informal science education organizations, government laboratories, and community-based organizations to address the needs of the target audiences as appropriate. Projects are also strongly encouraged to create industry partnerships to support career awareness and cultivate interest among student participants.

These partnerships can provide opportunities for career exploration and mentoring, interactions with technology and STEM professionals, and workplace applications of technology skills. Strategies project proposals must:

- a) Make a case for the potential of the strategy on the basis of research about workforce development, teaching and learning, and STEM and ICT workplace demands; or make a case on the basis of evidence from experience, professional judgment, and/or other relevant theory or arguments that support the strategy;
- b) Clearly explain and describe the strategy for creating a linkage between the STEM content and workforce preparedness;

- c) Describe the plans for implementation of the strategy. Include plans for sustainability as appropriate that clearly show what parts of the project are sustainable and how they will be supported;
- d) Include educational researchers as part of the project team or advisory committee to ensure that appropriate connections are made to the literature on related studies, models, and impacts;
- e) Explain the intended immediate participant impacts and longer-term outcomes (e.g. contributions to the knowledge base) that are anticipated and describe how these outcomes are related to the strategy.
- f) Provide sufficient detail about how the progress toward the goals will be measured, including what instruments and research or evaluation design will be used.

Strategies projects must have an implementation or direct services component for students, parents, teachers, STEM professionals, and/or the public. The implementation and direct services part of the project enables building the knowledge base about what it takes to enhance the STEM and ICT workforce of the future. A major contribution of strategies projects should be to provide evidence for this knowledge base through a systematic research or evaluation component.

In FY 2011, ITEST has allocated funds to specifically address understanding the role that robotics competitions play in student learning of STEM content and increasing their motivation, engagement, and pursuit of STEM career pathways. Strategies projects that include design and implementation of robotics competitions, along with research on their impacts on student engagement, motivation to learn STEM content, and STEM career motivation may increase their total budget by an amount up to \$150,000.

3. **Research projects** – The goal of ITEST Research projects is to produce empirical findings and research tools that contribute to knowledge about which approaches, models, and interventions with K-12 students and teachers are most likely to increase capacity in the STEM and ICT-intensive workforce of the future. Effective strategies must be developed and studied for engaging American youth of the 21st century in ICT and STEM learning in a manner that leads them to pursue career trajectories that focus on technology-intensive STEM fields.

Research in this area has the potential to transform policy and education in STEM. To that end, the ITEST program is seeking projects that bring together researchers in STEM education, career development, psychology, sociology, anthropology, science fields, and other critical areas that heavily invest in STEM and ICT careers. Projects in this category are guided by the following questions:

- a) What educational activities would increase the nation's capacity to participate in transformative, innovative discoveries in STEM?
- b) How can we assess and predict inclination to participate in STEM or ICT-intensive careers?
- c) How can we measure and study the impact of various models to encourage participation in STEM or ICT-intensive careers?
- d) Does K-12 student participation in activities outside of the formal school setting (e.g. robotics competitions or at nature centers) significantly contribute to students choosing STEM or ICT-intensive careers?

Research project proposals must:

- a) State the research questions and issues that will be addressed in the study, and provide a rationale based in previous literature or theory for why investigation of the questions and issues will help to build knowledge about how K-12 students and teachers can become engaged in building the STEM and ICT intensive workforce capacity;
- b) Identify gaps in the knowledge base on the STEM and ICT workforce and propose areas of research to address key issues;

- c) Describe the research design to be employed, and make a case that the methodology to be employed is suitably appropriate to the particular questions being pursued. Describe any instruments or measures that will be used or developed, the data to be gathered, and plans for analysis;
- d) Indicate plans for publication and dissemination, including interaction with implementation communities that are positioned to provide programs for teachers and students that will increase STEM and ICT participation as well as for interaction with policy makers who can use research results as a basis for improving the STEM workforce of the future;
- e) Describe the nature of expertise needed to conduct the research and how the research team has that expertise.

Eligibility: All U.S. organizations with an educational mission are eligible for ITEST. All ITEST projects must demonstrate evidence of partnerships and collaboration in the formulation, implementation, and/or interpretation and dissemination of the project. Eligibility for Innovation through Institutional Integration (I3) is limited to institutions of higher education (including two and four-year colleges) located and accredited in the U.S., acting on behalf of their faculty members.

Award Information: Duration and Funding Level are all pending availability of funds for FY 2011: Scale-up projects will range from three to five years in duration, with award sizes at most \$2 million. Strategies projects will be for up to three years in duration, with award sizes at most \$1.2 million. Research projects will be for up to three years in duration, with award sizes up to \$900,000. The requests should be appropriate to the duration and scope of the Scale-up, Strategies, or Research project. Projects that include design, implementation, and study of robotics competitions may increase their total Strategies budget by an amount up to \$150,000. Inclusion of voluntary committed cost sharing is prohibited.

Deadline Description: Letters of Intent must be submitted via the NSF FastLane system, using the Letter of Intent module in FastLane, for ITEST Scale-up, Strategies, and Research projects. Letters of intent are due by March 11, 2011 by 5:00 p.m. proposer’s local time. Proposers may opt to submit proposals in response to this Program Solicitation via Grants.gov or via the NSF FastLane system. Full proposals are due by May 13, 2011 by 5:00 p.m. proposer’s local time. The deadline is anticipated to be similar in 2012.

Additional Information: Since ITEST projects are to prepare students for the STEM workforce, collaboration with business and industry is strongly encouraged to expand and deepen the impact of NSF-funded projects and enhance their sustainability. This may provide additional avenues to broaden participation through the sharing of resources and models in an effort to further project development and implementation. From a research perspective, collaborations might promote innovative programming, policies, and practices to encourage the integration of STEM research and education while encouraging STEM educational or related research in domains that hold promise for promoting intra- or inter-institutional integration and broader impacts.

Contact: ITEST Program

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Visit website for program guidance:
<http://www.nsf.gov/pubs/2011/nsf11525/nsf11525.htm#summary>

YouthBuild Grants

CFDA Number(s): 17.274

Authority: U.S. Department of Labor (DOL), Employment and Training Administration (ETA)

Summary: Funds made available through the YouthBuild grants will be used to carry out a YouthBuild program with the following core objectives:

1. To enable disadvantaged youth to obtain the education and employment skills necessary to achieve economic self-sufficiency in occupations in demand and post-secondary education and training opportunities;
2. To provide disadvantaged youth with opportunities for meaningful work and service to their communities;
3. To foster the development of employment and leadership skills and commitment to community development among youth in low income communities;
4. To expand the supply of permanent affordable housing for homeless individuals and low-income families by utilizing the energies and talents of disadvantaged youth.

Allowable uses of grant funds may include:

1. Education and Workforce Activities, such as:
 - a) Basic skills instruction and remedial education;
 - b) Language instruction educational programs for individuals with limited English proficiency;
 - c) Secondary education services and activities, including tutoring, study skills training, and dropout prevention activities, designed to lead to the attainment of a secondary school diploma, GED credential, or other State recognized equivalent (including recognized alternative standards for individuals with disabilities);
 - d) Counseling and assistance in obtaining post-secondary education and required financial aid;
 - e) Alternative secondary school services;

- f) Work experience and skills training (coordinated, to the maximum extent feasible, with the YouthBuild Trainee Apprenticeship Preparation program (YB-TAP), one pre-apprenticeship and registered apprenticeship programs) in housing rehabilitation and construction activities;
 - g) Occupational skills training;
 - h) Other paid and unpaid work experiences, including internships and job shadowing.
2. Case management, counseling services and related activities, such as comprehensive guidance and counseling on drug and alcohol abuse and referral;
 3. Youth development activities, such as community service and peer-centered activities encouraging responsibility and other positive social behaviors and leadership development activities including youth policy committees that allow YouthBuild participants to engage in local policy and decision-making related to the program;
 4. Supportive services and provision of needs-based payments necessary to enable individuals to participate in the program;
 5. Supportive services to assist individuals, for a period not to exceed 12 months after the completion of training, in obtaining or retaining employment, or applying for and transitioning to post-secondary education;
 6. Supervision and training for participants in the rehabilitation or construction of housing, including residential housing for homeless individuals or low-income families, or transitional housing for homeless individuals;
 7. Supervision and training for participants in the rehabilitation or construction of community and other public facilities;
 8. Payment of a portion of the administrative costs of the grantee;
 9. Mentoring (one-on-one, group or team) of participants by adults who have been appropriately screened and matched to work with youth;

10. Provision of wages, stipends, or other benefits and incentives to participants in the program;
11. Ongoing training and technical assistance for staff that are related to developing and carrying out the program;
12. Activities related to follow-up and tracking of participant performance;
13. Equipment and/or supplies related to the YouthBuild activities funded through this grant. The purchase of construction materials to be used as part of the direct training for YouthBuild participants would be an allowable use of grant funds.

Eligibility: An organization is an eligible applicant for these grants if it is a public or private nonprofit agency or organization (including a consortium of such agencies or organizations with a designated lead applicant), such as a community or faith-based organization, community action agency, Indian tribe or organization, community development corporation, a state or local youth conservation corps, or any other relevant public or private nonprofit entity that provides education or employment training and can meet the required elements of the grant program.

Award Information: Under this program, ETA intends to fund approximately 28 grants ranging from \$700,000 to \$1.1 million from the \$30 million in FY 2010 funds and approximately 100 grants in the same range of amounts from the FY 2011 appropriation (pending availability of funding); however, this does not preclude DOL from funding grants at either a lower or higher amount, or funding a smaller or larger number of projects, based on the type and the number of quality submissions.

Applicants are encouraged to submit budgets for quality projects at whatever funding level within this range is appropriate to their project. Applications requesting more than \$1.1 million will be considered nonresponsive. The average annual cost per participant should be between \$15,000 and \$18,000. In the event that additional funds become available, ETA reserves the right to use such funds to select additional grantees from applications submitted in response to this program. Grants will be awarded for a three-year period of performance.

This includes two years of core program operations (education, occupational skills training, and youth leadership development activities) for one or more cohorts of youth, plus an additional nine to 12 months of follow-up support services and tracking of participant outcomes for each cohort of youth. Further, applicants should plan to fully expend grant funds during the period of performance, while ensuring full transparency and accountability for all expenditures.

Therefore, applicants are encouraged to carefully consider their ability to spend the level of funding requested. Aligning resources and leveraging funding are key components of success under the YouthBuild grant program. Therefore, applicants must provide cash or in-kind resources equivalent to 25 percent of the grant award amount as matching funds. Please note that neither prior investments nor Federal resources may be counted towards the matching funds threshold. Construction materials that are acquired without grant funds and are used for approved projects as part of the training for YouthBuild participants may be used in fulfilling the 25 percent match requirement.

Deadline Description: The closing date for receipt of applications is December 3, 2010. Applications must be successfully submitted at (<http://www.grants.gov>) no later than 11:59:59 p.m. (Eastern Time) and then subsequently validated by Grants.gov. The deadline is anticipated to be similar in late 2011.

Additional Information: An individual may participate in a YouthBuild program only if such individual is between the ages of 16 and 24 on the date of enrollment, is a member of a disadvantaged youth population, and has dropped out of school. Up to 25 percent of the population served may not meet all of these requirements, with some restrictions. Refer to the guidance for more detailed information concerning participant eligibility. The distinct requirements of this funding opportunity necessitate a thorough review of the official program guidance referenced at the URL provided in the contact section of this summary.

Contact: Ariam Ferro
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Division of Federal Assistance – U.S. Department of Labor

Reference SGA/DFA PY 10-02

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Visit website for program guidance:
http://www.doleta.gov/grants/find_grants.cfm

**Title IV, Part B: 21st Century Community Learning Centers
(21st CCLC) (Pennsylvania)**
CFDA Number(s): 84.287

Authority: Pennsylvania Department of Education

Summary: Pennsylvania’s primary goal for its 21st Century Community Learning Centers is to assist youth to meet state standards for core academic subjects by providing students with academic enrichment opportunities. In addition to academics, Centers are encouraged to offer participants a broad array of resiliency-building services and activities, such as character education, service learning, drug and violence prevention programming, career and technology education, international education, as well as cultural and recreational endeavors.

Programs are encouraged to address the six components of the wellness/resiliency model: high expectations, meaningful student engagement, connectiveness and bonding, skills for life, clear and consistent boundaries and unconditional support. These opportunities may take place before school, after school and/or during holidays and/or summer recess. Educational services for families of participating students, such as literacy instruction, introductory computer training and/or parenting skills may also be offered.

Eligibility: Federal law mandates that any public or private organization may apply for 21st CCLC funding if it proposes to serve:

1. Students who primarily attend:
 - a) Schools eligible for schoolwide programs under (Title I) Section 1114, or,
 - b) Schools that serve a high percentage of students (at least 40 percent) from low-income families.
2. The families of those students described above.

Award Information: Approximately \$19 million is available in this round of funding. The minimum award is \$50,000. The maximum award is \$500,000 per year for three years.

Deadline Description: Eligible entities may apply for funding on behalf of one or more public schools within the applicant's district through a single eGrant application process.

1. Notify PDE via email or fax of the grantees intent to submit an application. Include the legal name of entity, and either the AUN (school districts/charter schools/IUs) or EIN# (all other organizations) for the lead organization. The due date for the letter of intent is Oct. 28, 2011.
2. Complete and submit the online application prior to 5 p.m. on Nov. 8, 2011.

History of Funding: The 21st CCLC Profile and Performance Information Collection System Database is available at (<http://ppics.learningpt.org/ppics/public.asp>). The database provides information about competitions held by states to award new 21st CCLC grants and programs being run by active 21st CCLC grantees. State budget tables for this and other Department of Education formula grants are available for FY 2008, the Recovery Act, FY 2009, and FY 2010 President's Budget at (<http://www.ed.gov/about/overview/budget/statetables/index.html>). A list of currently funded centers is available at (<http://doe.sd.gov/oess/21cent/1stRound.asp>).

Additional Information: Consistent with this definition of eligible entities, faith-based organizations are eligible to participate in the 21st Century Community Learning Centers program. Regulations are available governing the participation of faith-based organizations in Federal programs for which they are eligible (<http://www.ed.gov/policy/fund/reg/fbci-reg.html>).

Contact: Susan D'Annunzio

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Department of Education

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Visit website for program guidance:

http://www.education.state.pa.us/portal/server.pt/community/21st_century_community_learning_centers/7414

Misc: http://www.portal.state.pa.us;80/portal/server.pt/gateway/PTARGS_0_123531_1202845_0_0_18/21st%20CCLC%202011-12%20Request%20for%20Proposal.pdf

Striving Readers Comprehensive Literacy Grant Program
CFDA Number(s): 84.371c

Authority: U.S. Department of Education, Office of Elementary and Secondary Education

Summary: 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.

This program has two absolute priorities in FY11. They are:

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;
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, to improve instructional practices, policies, and student outcomes in early learning settings and in elementary and secondary schools.

In FY11, this program also has one competitive preference priority. That priority is the Effective Use of Technology. To meet this priority, an applicant must propose to use technology – which may include technology to support principles of universal design for learning – to address student learning challenges and provide, in its application, an evidence-based rationale that its proposed technology program, practice, or strategy will increase student engagement and achievement or increase teacher effectiveness.

Eligibility: SEAs are the only eligible applicant for this program.

Award Information: The estimated total program funding is \$178,000,000. Awards will range from \$3,000,000 to \$70,000,000. Up to 18 awards are anticipated. Cost sharing is not required.

Deadline Description: The deadline to submit a letter of intent was April 1, 2011. The deadline to submit an application was May 9, 2011. The deadline is anticipated to be similar in 2012.

History of Funding: None is available.

Additional Information: For the FY 2011 competition and any subsequent year in which the Department makes awards from the list of unfunded applicants from this program, 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.

Contact: Marcia J. Kingman

Academic Improvement and Teacher Quality Programs – U.S.
Department of Education, OESE

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Visit website for program guidance:
<http://www2.ed.gov/programs/strivingreaders/index.html>

Misc: <http://www.gpo.gov/fdsys/pkg/FR-2011-03-10/pdf/2011-5545.pdf>

Environmental Literacy Grants for Formal K-12 Education
CFDA Number(s): 11.008

Authority: U.S. Department of Commerce, National
Oceanic and Atmospheric Administration (NOAA)

Summary: The goal of this funding opportunity is to support K-12 education projects that advance inquiry-based Earth System Science learning and stewardship directly tied to the school curriculum, with a particular interest in increasing climate literacy. To address this goal, this program will support service-learning and professional development projects related to NOAA's mission in the areas of ocean, coastal, Great Lakes, weather and climate sciences and stewardship.

A successful project will catalyze change in K-12 education at the state, regional and national level through development of new programs and/or revision of existing programs to improve the environmental literacy of K-12 teachers and their students. A successful project will also leverage NOAA assets, although use of non-NOAA assets is also encouraged. The target audiences for this funding opportunity are K-12 students, pre- and in-service teachers, and providers of pre-service teacher education and in-service teacher professional development. There is a special interest in projects that address reaching groups traditionally under-served and/or under-represented in Earth System science.

One group that has been identified as underserved is elementary level teachers and students. This funding opportunity has two priorities, which are equal in their importance for funding. Priority 1 awards are intended to provide innovative, catalytic start-up or proof-of-concept funding that will enable projects to reach a level of maturity that, if shown to be effective, will allow them to compete for longer-term funding from other sources or future Environmental Literacy Grants, or become self-sustaining. Examples include: a focused planning effort which produces a large complex collaboration (especially where the collaborators may be from different professional communities), front-end evaluation of a specific audience where there is a significant gap in the literature, and demonstration of a new use of technology in K-12 education.

Priority 2 awards are intended to support full-scale implementation of educational projects, where there has been a needs assessment and a pilot test or other demonstration of feasibility for the implementation of the idea. Partnerships among multiple organizations or networks of organizations are typically a component of full-scale implementation. These types of projects may expand an existing program into new regions or adapt it in order to broaden participation of new audiences.

Eligibility: Eligible applicants are institutions of higher education, other nonprofits, K-12 public and independent schools and school systems, and state, local and Indian tribal governments in the United States. U.S. federal agencies, for-profit organizations, foreign organizations and foreign government agencies are not eligible to apply as the lead institution. The following types of organizations may be partners on an application submitted by an eligible applicant: NOAA programs and offices, other Federal Agencies, Federally Funded Research and Development Centers, for-profit companies, non-U.S. organizations and institutions.

NOAA will consider applications that request a portion of the funding be used to support these types of partners. Please note: although NOAA programs and offices can receive a small portion of funds associated with a project, the principal benefit of the project cannot be to support NOAA. Home-school organizations are eligible to apply. However, individuals are not eligible to apply.

Award Information: NOAA anticipates the availability of approximately \$8,000,000 of total Federal financial assistance in FY 2011 for this solicitation. Approximately five to ten awards total among both priorities in the form of grants or cooperative agreements will be made. Priority 1 is for innovative proof-of-concept projects that are one to two years in duration, for a total minimum request of \$200,000 and a total maximum request of \$500,000. Priority 2 is for full-scale implementation of educational projects that are three to five years in duration, for a total minimum request of \$500,001 and a total maximum request of \$1,500,000. There is no cost share requirement.

Deadline Description: The deadline for pre-proposals is 5:00 p.m. EDT September 8, 2010. The deadline for full applications is 5:00 p.m. EST on January 12, 2011.

History of Funding: A list of previously funded projects is available at (http://www.oesd.noaa.gov/elg_projects.html).

Additional Information: An informational teleconference/webinar with the program officers will occur on July 28, 2010, 3:00 to 5:00 p.m. EDT. Interested applicants should register by contacting oed.grants@noaa.gov and include in the Subject line of the email: "Interested in FFO Teleconference – Need Details" and provide the interested parties' name, institution and telephone number in the body of the email. Whenever possible, people from the same institution should try to call in through the same phone line. Please visit the OEd website for further information at (http://www.oesd.noaa.gov/funding_opps.html).

Contact: Carrie McDougall

U.S. Dept. of Commerce – NOAA Office of Education

1401 Constitution Avenue NW
HCHB 6863
Washington, DC 20230

Phone: (202) 482-0875

Email: oed.grants@noaa.gov

Visit website for program guidance:
<http://www07.grants.gov/search/search.do;jsessionid=TZVpMGpVnWr4CQLjjGHx1q1WpTLyZHyHnmj5PCyTb0TMQLp2L6Bm!-491952003?oppId=56016andmode=VIEW>

Title: Municipal Assistance Program (Pennsylvania)

Authority: Pennsylvania Department of Community and Economic Development

Summary: The purpose of this program is to provide funding to assist local governments to plan for and efficiently implement a variety of services and improvements, and soundly manage development with an emphasis on intergovernmental approaches. Funding is available for three groups of activities:

1. Shared service activities: consolidating or regionalizing shared services among multiple counties and municipalities; boundary change studies; shared personnel; and shared equipment. New or expanded intergovernmental initiatives that promote local governmental efficiencies and effectiveness;
2. Community planning: comprehensive plans and parts thereof; land use ordinances; Transit Revitalization Investment District planning studies; and entrepreneurial/innovative plans that support community and economic development improvements with an emphasis on multi-municipal plans;
3. Floodplain management: reimbursement for costs of preparation, enactment, administration, and enforcement of floodplain management regulations pursuant to the Flood Plain Management Act.

Eligibility: Counties and municipalities may apply. Shared service activities require two or more participating municipalities. Some projects are open to COGs and other intergovernmental organizations where duly authorized by participating municipality(ies).

Award Information: Award amounts vary. Grants of up to 50 percent of eligible costs.

History of Funding: None is available.

Deadline Description: Guidelines are currently being developed. No deadlines are yet available.

Additional Information: Please visit the program website for updated information.

Contact: Pennsylvania Department of Community and Economic Development

400 North St # 4
Harrisburg, PA 17120-0081

Phone: (717) 783-3840

Visit website for program guidance:
<http://www.newpa.com/find-and-apply-for-funding/funding-and-program-finder/municipal-assistance-program>

Title: Community Development Block Grants (CDBG) (Entitlement)

CFDA Number(s): 14.218

Authority: Assistant Secretary For Community Planning and Development, U.S. Department of Housing and Urban Development (HUD)

Summary: This Federal funding assists entitled metropolitan cities and urban counties meet their housing and community development needs. HUD provides annual grants on a formula basis to entitled communities to carry out a wide range of community development activities directed toward neighborhood revitalization, economic development, and improved community facilities and services. Entitlement communities develop their own programs and funding priorities and consult with local residents before making final decisions.

All CDBG activities must meet one of the following national objectives:

1. Benefit low- and moderate-income persons;
2. Aid in the prevention or elimination of slums and blight;
3. Meet certain urgent community development needs

Some of the activities that can be carried out with community development block grant funds include:

1. The acquisition of real property;
2. Rehabilitation of residential and nonresidential properties;
3. Construction of public facilities and improvements such as water and sewer facilities, streets, neighborhood centers, and the conversion of school buildings for eligible purposes;
4. Public services;
5. Energy conservation and renewable energy resources;
6. Homeownership assistance;
7. Provision of assistance to profit-motivated businesses to carry out economic development and job creation/retention activities.

No less than 70 percent of the funds expended over a period specified by the grantee, not to exceed three years, must be used for activities that benefit low- and moderate-income persons. Generally, the following types of activities are ineligible: acquisition, construction, or reconstruction of buildings for the general conduct of government; political activities; certain income payments; and construction of new housing by units of general local government.

Eligibility: Metropolitan cities and urban counties are entitled to receive annual grants. Metropolitan cities are principal cities of Metropolitan Areas (MAs) or other cities within MAs that have populations of at least 50,000. Urban counties are within MAs and have a population of 200,000 or more (excluding the population of metropolitan cities within their boundaries). Local agencies interested in participating in their local CDBG should contact the appropriate local CDBG representative as listed at (<http://www.hud.gov/offices/cpd/communitydevelopment/programs/contacts>).

Award Information: From each year's CDBG appropriation, excluding the amounts specified for other grants, 70 percent is allocated to metropolitan cities and urban counties. The amount of each entitlement grant is determined by statutory formula, which uses several objective measures of community need, including poverty, population, housing overcrowding, age of housing, and growth lag. In FY 2011 the City of Philadelphia was allocated an amount of \$46,186,638.

Deadline Description: To receive a CDBG grant, a grantee must develop and submit to HUD its Consolidated Plan. The Plan is a jurisdiction's comprehensive planning document and application for funding under the following Community Planning and Development formula grant programs: CDBG, HOME Investment Partnerships, Housing Opportunities for Persons with AIDS (HOPWA), and Emergency Shelter Grants (ESG). Each state and locality chooses its own program year start date (for all Community and Development Programs: CDBG, HOME, ESG and HOPWA) and plans are due 45 days before that date. Plans must be submitted between November 15 and August 16 annually (e.g. if a grantee has a July 1 start date for 2009, it will submit its plan by May 15).

History of Funding: A list of previous fiscal year Community Planning and Development Program Formula Allocations are available at (<http://www.hud.gov/offices/cpd/communitydevelopment/budget>). The program is authorized under Title 1 of the Housing and Community Development Act of 1974, Public Law 93-383, as amended; 42 U.S.C.-5301 et seq.

Additional Information: The Consolidated Plan must include several required certifications, including that not less than 70 percent of the CDBG funds received, over a one, two or three year period specified by the grantee, will be used for activities that benefit low and moderate-income persons, and that the grantee will affirmatively further fair housing. Income Limit data for any area of the country can be accessed at (<http://www.huduser.org/datasets/il.html>).

Contact: Steve Johnson

U.S. Department of Housing and Urban Development –
Entitlement Communities Division

451 7th Street SW
Room 7282
Washington, DC 20410

Phone: (202) 708-1577

Email: steve_johnson@hud.gov

Visit website for program guidance:

<http://www.hud.gov/offices/cpd/communitydevelopment/programs/entitlement/index.cfm>

Misc: Local agencies interested in participating in their local CDBG should contact the appropriate representative as listed at <http://www.hud.gov/offices/cpd/communitydevelopment/programs/contacts>

Contact: Ms. Deborah McColloch, Director

Office of Housing and Community Development

1234 Market Street, 17th Floor
Philadelphia, PA 19107

Phone: (215) 686-9750

Fax: (215) 686-9801

Email: deborah.mccolloch@phila.gov

<http://www.phila.gov/ohcd>

Title: Choice Neighborhoods Initiative Planning Grant
CFDA Number(s): 14.889

Authority: Department of Housing and Urban Development

Summary: Many neighborhoods of concentrated poverty contain distressed public and/or HUD-assisted housing in need of repair or replacement. Prior to the creation of Choice Neighborhoods, HOPE VI was HUD's primary source of revitalization funding available to these areas. However, this funding was only available to the public housing stock, and HOPE VI could not support redevelopment of nearby distressed HUD assisted multi-family housing or vacant private housing. Choice Neighborhoods expands the reach of HOPE VI-style investments to include HUD-assisted multifamily units. By investing in people and neighborhood assets, HUD can help local communities to transform neighborhoods of distress into revitalized mixed-income neighborhoods.

Choice Neighborhoods employs a comprehensive approach to neighborhood transformation. The program will support organizations working to transform neighborhoods by revitalizing severely distressed public and/or assisted housing and investing and leveraging investments in well-functioning services, high quality public schools and education programs, high quality early learning programs and services, public assets, public transportation, and improved access to jobs. Successful applicants must ensure that current residents will be able to benefit from this transformation, by preserving affordable housing or providing residents with the choice to move to affordable and accessible housing in another existing neighborhood of opportunity.

Choice Neighborhoods is focused on three core goals:

1. **Housing** – Transform distressed public and assisted housing into energy efficient, mixed-income housing that is physically and financially viable over the long-term;

2. **People** – Support positive outcomes for families who live in the target development(s) and the surrounding neighborhood, particularly outcomes related to residents' health, safety, employment, mobility, and education;
3. **Neighborhood** – Transform distressed, high-poverty neighborhoods into viable, mixed-income neighborhoods with access to well-functioning services, high-quality public schools and education programs, high-quality early learning programs and services, public assets, public transportation, and improved access to jobs.

Eligibility: Choice Neighborhoods eligible applicants are Public Housing Authorities (PHAs), local governments, nonprofits, and for-profit developers that apply jointly with a public entity. Tribal housing agencies, tribally designated housing entities, and private citizens are not eligible to apply. Eligible applicants for Choice Neighborhoods grant need not be the owners of the distressed public or assisted housing that is the subject of the grant activities.

Award Information: HUD is making available approximately \$3.6 million in assistance through the FY 2011 Choice Neighborhoods Initiative for Planning Grants. For FY 2011, HUD will award two types of grants for the Choice Neighborhoods Initiative: Planning Grants and Implementation Grants. For FY 2011, HUD will award two types of grants for the Choice Neighborhoods Initiative: Planning Grants and Implementation Grants.

History of Funding: Round 2 NOFA for Implementation Grant Finalists: (http://portal.hud.gov/hudportal/HUD?src=/program_offices/public_indian_housing/programs/ph/cn/fy10funding).

Deadline Description: The application deadline date was August 8, 2011. Applications must be received by Grants.gov no later than 11:59 p.m. Eastern time on the application deadline date. The deadline is anticipated to be similar annually.

Additional Information: A webcast was held June 3, 2011 discussing the appropriation and provide information on our FY 2011 Planning Grant Competition during an upcoming webcast hosted by Sandra Henriquez, Assistant Secretary for Public and Indian Housing, and Carol Galante, Deputy Assistant Secretary for Multifamily Housing (<http://portal.hud.gov/hudportal/HUD?src=/press/multimedia/videos>).

Contact: Department of Housing and Urban Development

451 Seventh Street, SW, Room 4130
Washington, DC 20410

Phone: (202) 401-8812

Fax: (202) 401-2370

Email: choiceneighborhoods@hud.gov

Visit website for program guidance:
http://portal.hud.gov/hudportal/HUD?src=/program_offices/public_indian_housing/programs/ph/cn

Title: Community Challenge Planning Grant Program
CFDA Number(s): 14.704

Authority: U.S. Department of Housing and Urban Development, Office of Sustainable Housing and Communities

Summary: The Department of Housing and Urban Development's Community Challenge Planning Grant Program fosters reform and reduces barriers to achieving affordable, economically vital, and sustainable communities. Such efforts may include amending or replacing local master plans, zoning codes, and building codes, either on a jurisdiction-wide basis or in a specific neighborhood, district, corridor, or sector to promote mixed-use development, affordable housing, the reuse of older buildings and structures for new purposes, and similar activities with the goal of promoting sustainability at the local or neighborhood level.

This Program also supports the development of affordable housing through the development and adoption of inclusionary zoning ordinances and other activities to support plan implementation. The specific goals of the program are:

1. To better align Federal programs to support the building of projects that further the six Livability Principles
2. To remove artificial or bureaucratic barriers among Federal, State, and local programs and create more coordinated points of contact for State and local governments building innovative projects that coordinate housing, economic development, transportation, and environmental policies and goals.

Eligibility: State and local governments, including U.S. territories, tribal governments, political subdivisions of State or local governments, and multi-State or multijurisdictional groupings may apply.

Award Information: Approximately \$28.6 million is available, of which not less than \$3 million shall be awarded to jurisdictions with a population of less than 50,000. The minimum award size is \$100,000, and the maximum award size is \$3 million. Applicants must provide 20 percent of the requested funding amount in match in the form of cash and/or verified in-kind contributions or a combination of these sources. In-kind contributions may be in the form of staff time, donated materials, or services.

Deadline Description: The application deadline date was September 9, 2011. Applications submitted through (<http://www.grants.gov>), must be received by Grants.gov no later than 11:59:59 p.m. Eastern time on the application deadline date. The deadline is anticipated to be similar in 2012.

Additional Information: In FY 2010, this program was announced jointly with the DOT's TIGER II Planning Grant program. Because the DOT TIGER Planning Grant program did not receive an appropriation for FY 2011, this FY 2011 program announcement is limited to the HUD Community Challenge Grant Program and does not include any DOT funds.

Contact: Sunarr K. Marshall

Department of Housing and Urban Development –
Office of Sustainable Housing and Communities

451 7th Street, SW, Room 10180
Washington, DC 20410

Phone: (202) 402-6011

Email: sustainablecommunities@hud.gov

Visit website for program guidance:

<http://www.grants.gov/search/synopsis.do;jsessionid=0TvfT30QRINPLfwq15rIVv1Y8CkbSZ0T86TvMfvdLqS0D2CnXd8!-1176040633>

Sustainable Communities Regional Planning Grant Program
CFDA Number(s): 14.703

Authority: U.S. Department of Housing and Urban Development, (HUD). Office of Sustainable Housing and Communities

Summary: The Sustainable Communities Regional Planning Grant Program (Program) supports metropolitan and multijurisdictional planning efforts that integrate housing, land use, economic and workforce development, transportation, and infrastructure investments in a manner that empowers jurisdictions to consider the interdependent challenges of:

1. Economic competitiveness and revitalization;
2. Social equity, inclusion, and access to opportunity;
3. Energy use and climate change;
4. Public health and environmental impact.

The Program places a priority on investing in partnerships, including nontraditional partnerships (e.g. arts and culture, recreation, public health, food systems, regional planning agencies and public education entities) that translate the Livability Principles into strategies that direct long-term development and reinvestment, demonstrate a commitment to addressing issues of regional significance, use data to set and monitor progress toward performance goals, and engage stakeholders and residents in meaningful decision-making roles.

In FY 2011, HUD is encouraging applicants to undertake programs and projects that align with HUD's Strategic Plan (See Section I.C) and the following cross-cutting departmental Policy Priorities. Applicants that propose to undertake activities that result in the achievement of the specific Policy Priorities are eligible to receive policy priority points in the rating of their application. Each NOFA shall have a minimum of two Policy Priorities applicable to the program in the NOFA for which points can be obtained. The total number of points available for policy priorities is a maximum of five points per NOFA. Each program NOFA shall specify the applicable Policy Priorities and the number of points allocated to each policy priority and specific criteria that must be addressed to earn the points.

Eligibility: In this program, an eligible applicant is a multi-jurisdictional and multi-sector partnership consisting of a consortium of government entities and nonprofit partners. FY 2010 Lead applicant recipients of the Sustainable Communities Regional Planning Grant Program are not eligible for awards under the FY 2011 program.

Award Information: Of the \$70 million available for the Regional Planning Grants program, \$2 million has been reserved for capacity support grants distributed separately. This notice announces the availability of approximately \$67 million for Sustainable Community Regional Planning Grants, of which not less than \$17.5 million shall be awarded to regions with populations of less than 500,000.

History of Funding: Grantees: <http://portal.hud.gov/hudportal/documents/huddoc?id=OSHCIFY10RegAppllist.pdf>

Deadline Description: This is the second part of a two-step application process. Only entities who have received a direct communication from HUD's Office of Sustainable Housing and Communities are eligible to participate in the full competition. The application deadline was October 6, 2011 at 11:59 p.m. Eastern time.

Additional Information: In order to ensure that the population data used to determine the population of a region is the most current available, HUD will provide such data on its website at www.hud.gov/sustainability. Each applicant should use this data to determine the population of its region. Applicants must provide a map that clearly delineates the geography of the targeted region. HUD is providing a web-based application to draw the project boundaries, available at (<http://www.hud.gov/sustainability>).

Contact: Zuleika K. Morales-Romero

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Visit website for program guidance:

http://portal.hud.gov/hudportal/HUD?src=/program_offices/sustainable_housing_communities/sustainable_communities_regional_planning_grants

Misc: <http://www.grants.gov/search/search.do;jsessionid=GGJkTn7fH8hdSn0yV8SqLQnwxBKY9CJxjP22JqBPDvphcXYTn1rJ!-593416277?oppId=120554andmode=VIEW>

Promise Neighborhoods Program: Planning and Implementation Grants

CFDA Number(s): 84.215N, 84.215P

Authority: U.S. Department of Education, Office of Innovation and Improvement

Summary: The purpose of Promise Neighborhoods is to improve significantly the educational and developmental outcomes of children in our most distressed communities, and to transform those communities by:

1. Identifying and increasing the capacity of eligible organizations (as defined in this notice) that are focused on achieving results for children and youth throughout an entire neighborhood;
2. Building a complete continuum of cradle-through-college-to-career solutions (continuum of solutions) (as defined in this notice) of both educational programs and family and community supports (both as defined in this notice), with great schools at the center. All solutions in the continuum of solutions must be accessible to children with disabilities (CWD) (as defined in this notice) and English learners (ELs);
3. Integrating programs and breaking down agency “silos” so that solutions are implemented effectively and efficiently across agencies;
4. Developing the local infrastructure of systems and resources needed to sustain and scale up proven, effective solutions across the broader region beyond the initial neighborhood;
5. Learning about the overall impact of the Promise Neighborhoods program and about the relationship between particular strategies in Promise Neighborhoods and student outcomes, including through a rigorous evaluation of the program.

There are two separate grant programs:

1. Planning grants will support eligible organizations that need to develop feasible plans to create a continuum of solutions with the potential to significantly improve the educational and developmental outcomes of children and youth in a neighborhood. These grants will support eligible organizations that demonstrate the need for creating a Promise Neighborhood in the geographic areas they are targeting, a sound strategy for developing a feasible plan to create a continuum of solutions, and the capacity to develop the plan.
2. Implementation grants will support eligible organizations in carrying out their plans to create a continuum of solutions that will significantly improve the educational and developmental outcomes of children and youth in the target neighborhood. These grants will aid eligible organizations that have developed a plan that demonstrates the need for the creation of a Promise Neighborhood in the geographic area they are targeting, a sound strategy for implementing a plan for creating a continuum of solutions, and the capacity to implement the plan. More specifically, grantees will use implementation grant funds to develop the administrative capacity necessary to successfully implement a continuum of solutions, such as managing partnerships, integrating multiple funding sources, and supporting the grantee’s longitudinal data system.

Eligibility: Eligible organizations include: Nonprofit organizations that meet the definition of a nonprofit under 34 CFR 77.1(c), which may include a faith-based nonprofit organization; Institutions of higher education as defined by section 101(a) of the Higher Education Act of 1965, as amended; and Indian tribes. Eligibility for purposes of Absolute Priority 3 (Promise Neighborhoods in Tribal Communities): An eligible applicant is an eligible organization that partners with an Indian Tribe, or is an Indian Tribe that meets the definition of an eligible organization.

Award Information: Planning Grants: The estimated amount available is \$5,000,000. The estimated Range of Awards: is up to \$500,000. The estimated average size of awards is \$500,000. Implementation Grants: The estimated amount available is \$23,450,000. The estimated range of awards is \$4,000,000 to \$6,000,000. The estimated average size of awards is \$5,000,000 with a maximum of \$6,000,000. An applicant for an implementation grant must obtain matching funds or in-kind donations equal to at least 100 percent of its grant award, except that an applicant proposing a project that meets Absolute Priority 2: Promise Neighborhoods in Rural Communities or Absolute Priority 3: Promise Neighborhoods in Tribal Communities must obtain matching funds or in-kind donations equal to at least 50 percent of the grant award. To be eligible for a planning grant under this competition, an applicant must demonstrate that it has established a commitment from one or more entities in the public or private sector, which may include Federal, State, and local public agencies, philanthropic organizations, private businesses, or individuals, to provide matching funds for the planning process. An applicant for a planning grant must obtain matching funds or in-kind donations for the planning process equal to at least 50 percent of its grant award, except that an applicant proposing a project that meets Absolute Priority 2: Promise Neighborhoods in Rural Communities or Absolute Priority 3: Promise Neighborhoods in Tribal Communities must obtain matching funds or in-kind donations equal to at least 25 percent of the grant award.

History of Funding: None is available.

Deadline Description: The Department is not requiring but is strongly encouraging applicants to submit a letter of intent to apply. The letter of intent was due by July 22, 2011. Full applications were to be submitted by September 6, 2011. Due to the impact of Hurricane Irene, the Department plans to extend the Promise Neighborhoods application deadline (for both planning and implementation grants) until 4:30 p.m. EST on Tuesday, September 13, 2011. Applications for grants under this program must be submitted electronically using the Electronic Grant Application System (e-Application) accessible through the Department's e-Grants site. The deadline is anticipated to be similar in 2012.

Additional Information: To be eligible for an award, an applicant must demonstrate that it has established a commitment from one or more entities in the public or private sector, which may include philanthropic organizations, to provide financial assistance, and that the entities will provide matching funds for the planning process.

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U.S. Department of Education

400 Maryland Avenue, SW., Room 4W338
Washington, DC 20202-5970

Phone: (202) 453-6615

Email: promiseneighborhoods@ed.gov

Visit website for program guidance:

<http://www2.ed.gov/programs/promiseneighborhoods/index.html>

Misc: <http://www.gpo.gov/fdsys/pkg/FR-2011-07-06/pdf/2011-16759.pdf>

Planning: <http://www.gpo.gov/fdsys/pkg/FR-2011-07-06/pdf/2011-16760.pdf>

Economic Development Assistance Programs – Public Works, Economic Adjustment Assistance, and Global Climate Change Mitigation Incentive Fund Economic Development Assistance Programs
CFDA Number(s): 11.300, 11.307

Authority: Department of Commerce, Economic Development Administration (EDA)

Summary: EDA's Economic Development Assistance Programs are designed to provide distressed communities and regions with comprehensive and flexible solutions to a wide variety of economic impacts. Under EDA's Economic Development Assistance Programs there are eight sub-programs. They are:

1. Public Works and Economic Development Facilities Program;
2. Economic Adjustment Assistance Program;
3. Global Climate Change Mitigation Incentive Fund Program (GCCMIF);
4. Planning;
5. Partnership Planning;
6. Local Technical Assistance;
7. University Center;
8. Research and National Technical Assistance.

This summary, and its corresponding guidance describe sub-program areas 1, 2, and 3. Another guidance will be released describing program details for sub-programs 4, 5, 6, 7, and 8. The programs are designed to support local and regional economic development efforts to establish a foundation for durable regional economies throughout the United States.

1. **Public Works and Economic Development Facilities Program** – EDA will provide strategic Public Works investments to support the construction or rehabilitation of essential public infrastructure and facilities to help communities and regions leverage their resources and strengths to create new and better jobs, drive innovation, become centers of competition in the global economy, and ensure resilient economies. For example, EDA may provide funding to a consortium of District Organizations to support the construction of a technology center that provides laboratory, office, and manufacturing space and leverages the resources of local universities, entrepreneurial networks, and the District Organizations themselves to provide comprehensive assistance to technology-oriented businesses with significant growth potential. As another example, EDA may provide funding to a State-established nonprofit to expand a rural economic development center, allowing the center to increase its capacity to provide services to the State's most underserved and vulnerable communities and small businesses.
2. **Economic Adjustment Assistance Program** – Through the Economic Adjustment Assistance Program, EDA provides a wide range of construction and non-construction assistance, including public works, technical assistance, strategies, and revolving loan fund (RLF) projects, in regions experiencing severe economic dislocations that may occur suddenly or over time. This program is designed to respond flexibly to pressing economic recovery issues and is well suited to help address challenges faced by U.S. communities and regions.

For example, EDA might provide funding to a university or community college to launch a Regional Innovation Cluster (RIC) strategy that supports or provides technical assistance to smaller manufacturers to promote the growth of varied industrial clusters, stem job losses in manufacturing businesses as a result of foreign competition, accelerate the commercialization of research, support high-growth entrepreneurship, and promote the successful diversification of the region's economy.

As another example, EDA might provide funding to a city for the construction of a multi-tenant business and industrial facility to house early-stage businesses that successfully graduate from a business incubator that EDA also funded. EDA will continue to consider applications from communities experiencing adverse economic changes due to base realignment and closures (BRAC) and Federally declared disasters when awarding assistance from FY 2011 Economic Adjustment Assistance Program funds.

EDA will help American workers, businesses, and communities affected by military base closures or realignments, defense contractor reductions in force, defense-related funding reductions, Federally declared disasters or economic deterioration due to other disasters, by providing assistance for planning, coordinating the use of Federal resources available to support economic development recovery, and developing regionally focused economic recovery and growth strategies.

- 3. Global Climate Change Mitigation Incentive Fund –** From amounts otherwise made available for the Economic Development Assistance Programs authorized by PWEDA, EDA generally allocates funds for the GCCMIF to support projects that foster economic competitiveness while enhancing environmental quality. EDA anticipates that these funds will be used to advance the green economy by supporting projects that create jobs through and increase private capital investment in initiatives to limit the nation's dependence on fossil fuels, enhance energy efficiency, curb greenhouse gas emissions, and protect natural systems.

GCCMIF assistance is available to finance a variety of sustainability focused projects, including renewable energy end-products, the greening of existing manufacturing functions or processes, and the creation of certified green facilities. For example, EDA might provide funding to a nonprofit working in cooperation with a county to construct a technology-focused business incubator that achieves platinum status under the U.S. Green Building Council's Leadership in Energy and Environmental Design (LEED) rating system and to expand job training opportunities in industrial and green technologies. EDA might also support a community college in establishing a commercialization center to accelerate the marketability of clean-tech innovations.

As another example, EDA might provide funding to a regional council of governments to study the feasibility of establishing a renewable energy manufacturing cluster and a program to transition existing manufacturing firms to support the cluster. An applicant seeking funding for an eligible project that will be funded exclusively or mostly from the GCCMIF should apply in the same manner that it would apply for Economic Adjustment Assistance Program funding. The applicant must include in the project narrative a detailed explanation of how the proposed project will help advance the goals of the GCCMIF.

Eligibility: Eligible applicants for and eligible recipients of EDA investment assistance include a(n):

- District Organization;
- Indian Tribe or a consortium of Indian Tribes;
- State, city, or other political subdivision of a State, including a special purpose unit of a State or local government engaged in economic or infrastructure development activities, or a consortium of political subdivisions;
- Institution of higher education or a consortium of institutions of higher education;
- Public or private nonprofit organization or association acting in cooperation with officials of a political subdivision of a State.

Award Information: EDA expects funding levels for FY 2011 to be similar to that in FY 2010, however the final amounts will not be known until Congress passes the FY 2011 appropriations. EDA may award grants or enter into cooperative agreements with an eligible applicant in order to provide funding for eligible investment activities.

Project periods are dependent on the nature of the project and the EDA program under which the grant or cooperative agreement for the project is awarded. The project period generally depends upon the project scope of work. Generally, the amount of the EDA grant may not exceed 50 percent of the total cost of the project. Projects may receive an additional amount that shall not exceed 30 percent, based on the relative needs of the region in which the project will be located, as determined by EDA.

History of Funding: In FY10, approximately \$240,000,000 was appropriated for this program. Of that amount, \$196,972,592 was available for the Public Works and Economic Development Facilities Program, Planning Program, Local Technical Assistance Program, and the Economic Adjustment Assistance Program.

Deadline Description: For increased transparency and to enhance the competitive process, beginning in FY 2011, EDA will review applications in accordance with four funding cycles and will have deadlines for the submission of applications, which are:

- December 15 for funding cycle 1;
- March 10 for funding cycle 2;
- June 10 for funding cycle 3;
- September 15 for funding cycle 1 of FY 2012.

Additional Information: EDA encourages the submission of only those applications that will significantly benefit regions with economically distressed economies. Such distress may exist in a variety of forms, including high levels of unemployment, low income levels, large concentrations of low-income families, significant declines in per capita income, large numbers (or high rates) of business failures, sudden major layoffs or plant closures, trade impacts, military base closures or realignments, defense contractor reductions-in-force, natural or other major disasters, depletion of natural resources, reduced tax bases, or substantial loss of population because of the lack of employment opportunities.

To the extent practicable, and dependent upon the project type and in consideration of the financial resources available, EDA expects recipients to use the best available strategies, technologies, and construction practices in order to minimize energy use and environmental impacts. Applicants are encouraged to ensure the project's consistency with the Climate Action Plan of the State in which the proposed project will be located, if applicable, and any applicable Federal, State, or local government's coastal climate change plan.

The U.S. Environmental Protection Agency's (EPA) website contains more information on State Climate Action Plans and can help determine if a particular State has one. See the EPA's website at (<http://www.epa.gov/statelocalclimate/index.html>). EDA also encourages projects that advance the innovation economy and support the development of regional innovation clusters (RICs), which are broadly defined as geographic concentrations of firms and industries that do business with each other and have common needs for talent, technology, and infrastructure. The White House's National Economic Council's website has more information on the innovation economy at (<http://www.whitehouse.gov/administration/eop/nec/StrategyforAmericanInnovation>).

More information on RICs may be found on EDA's website at (<http://www.eda.gov/AboutEDA/RIC>) Applicants are responsible for demonstrating to EDA the nature and level of economic distress in the region impacted by the proposed project. Applicants are also responsible for defining the region that the project will assist and must provide supporting statistics and other information, as appropriate.

Contact: H. Philip Paradice, Jr
Regional Director

Economic Development Administration – Atlanta
Regional Office

401 West Peachtree Street, NW
Suite 1820
Atlanta, GA 30308-3510

Phone: (404) 730-3002

Fax: (404) 730-3025

Email: pparadice@eda.doc.gov

Visit website for program guidance:
<http://www.eda.gov/AboutEDA/Programs.xml>

Misc: FY11 guidance: <http://www.eda.gov/PDF/FY%202011%20EDAP%20FFO-FINAL.pdf>

Community Economic Development (CED) Projects

CFDA Number(s): 93.570

Authority: Administration For Children and Families (ACF),
Office of Community Services (OCS)

Summary: For Fiscal Year (FY) 2011, the Community and Economic Development (CED) program, administered by the Office of Community Services (OCS) at the Administration for Children and Families (ACF) in the Department of Health and Human Services (HHS), will provide funding to Community Development Corporations (CDCs) for projects designed to address the economic needs of low-income individuals and families through the creation of employment and business opportunities.

The CED program provides funding for projects aimed at business development opportunities and creating employment for low-income individuals located in geographic areas with a demonstrated need for the proposed project. To accomplish this, the program requires that all businesses and positions created support a service area with unemployment and poverty rates that are at or above the State or national levels. The CED program also seeks to fund projects that address the personal and community barriers that must be overcome to help low-income individuals become self-sufficient. CED-funded projects can be non-construction or construction projects. The grant period for non-construction projects is three years; for construction projects, the grant period is five years.

The CED Program permits facility construction as needed to support business creation, business expansion, and/or job creation. However, it is important to note that short-term construction jobs associated with preparing for business start-up or expansion are not counted when determining the number of jobs created under the CED program as they are designed to be temporary in nature. The CED program also allows for the use of funds for business start-up or business expansion activities, as consistent with the cost principles in the Office of Management and Budget (OMB) Circular A-122, as implemented in 2 C.F.R. Section 230, and other applicable rules, provided that the expenditures result in the creation of positions that can be filled with low-income individuals.

The CED program's objective is to support businesses that develop new products, services, and other commercial activities that result in the creation of new positions for low-income individuals within a low-income service area. For FY 2011, OCS will not support micro-enterprise Business Training and Technical Assistance Centers with CED funds. Incubator development is allowable as long as the focus of the incubator is on substantial job creation for low-income individuals. CED funds cannot be used exclusively to support training and technical assistance centers as a means to create jobs.

Eligibility: To be eligible for the CED program, an applicant must meet three conditions:

1. Applicant must be a private, nonprofit CDC with 501(c)(3) or non-501(c)(3) status;
2. Applicant must have articles of incorporation, bylaws, or other official documents demonstrating that the CDC has a principal purpose of planning, developing, or managing low-income housing or community development activities;
3. The Board of Directors must have representation from community residents, business leaders, and civic leaders.

Award Information: In FY11, the estimated funding available is \$16 million. Twenty awards are anticipated, in the amount of \$800,000. Awards will be fully funded. Non-construction projects will have one 36-month project and budget period. Projects that involve construction will have one 60-month project and budget period. Cost sharing/matching funds are not required.

History of Funding: In FY10, approximately \$32,500,000 was made available to fund 41 projects.

Deadline Description: The deadline to submit an application was July 11, 2011. Applications must be submitted by 4:30 p.m. Eastern Standard Time (EST). Applications may be submitted electronically through (<http://www.grants.gov>). A similar deadline is anticipated annually.

Additional Information: For FY 2011, the CED program will provide up to \$10 million of CED funding to CDCs for projects located in food deserts and designed to improve access to healthy affordable foods by developing grocery stores, small retailers, corner stores, and farmers markets that will make available nutritious food in these areas. Under the Obama Administration's Healthy Food Financing Initiative (HFFI) and within the framework of the CED program, OCS seeks to fund projects that will implement innovative strategies for revitalizing communities and eliminating food deserts, as well as achieving sustainable employment and business opportunities for low-income individuals.

The HFFI represents the Federal government's first coordinated step to eliminate food deserts in urban and rural areas in the United States with limited access to affordable and nutritious food, particularly areas composed of predominantly lower income neighborhoods and communities by promoting a wide range of interventions that expand the supply of and demand for nutritious foods, including increasing the distribution of agricultural products, and developing and equipping grocery stores and strengthening the producer-to-consumer relationship. Importantly, the HFFI also seeks to support the elimination of food deserts in the context of the broader neighborhood revitalization efforts of a community.

More specifically, HFFI aims to achieve the following:

1. Bring healthy food choices to communities that are in food deserts through the establishment of new healthy food retail outlets or by supporting the offering of a significant number of healthy food choices at an existing retail outlet that lack such choices;
2. Develop and enhance distribution systems to increase the amount of healthy food going to healthy food retail outlets in food deserts;
3. Develop strategies that promote or encourage the purchase of healthy foods, including outreach and education to consumers in food deserts about healthy food choices and how they can be integrated into their diets.

Contact: Katrina Morgan
Grants Management Officer

Administration for Children and Families – Office of
Community Services Operations Center

1515 Wilson Boulevard, Suite 100
Arlington, VA 22209

Phone: (800) 281-9519

Email: OCSGRANTS@acf.hhs.gov

Visit website for program guidance:
<http://www.acf.hhs.gov/grants/open/foa/view/HHS-2011-ACF-OCS-EE-0178>

The Philadelphia Foundation (Pennsylvania)

Authority: The Philadelphia Foundation

Summary: The Philadelphia Foundation to support projects and programs that benefit the people of Bucks, Chester, Delaware, Montgomery, and Philadelphia counties. The Foundation gives priority to nonprofit organizations with operating budgets less than \$5 million dollars. The Foundation provides funding for the following areas:

1. **Organizational Effectiveness** – these grants are designed to strengthen and improve the business and operational practices of nonprofit organizations. Under this funding area, priority will be given to organizations able to demonstrate that at least 33 percent of those they serve or represent are low-income;
2. **General Operating Support** – these grants are unrestricted for use by high-performing nonprofit organizations. These funds may be used for all mission-related activities, including contributions to capital campaigns and endowments.

Eligibility: Nonprofit organizations in Bucks, Chester, Delaware, Montgomery, and Philadelphia counties are eligible to apply. To determine which of the grantmaking areas your organization may qualify for, please visit (<https://www.philafound.org/ForNonprofits/HowDoIStart/tabid/236/Default.aspx>).

Award Information: For General Operating Support, up to 6 percent of the organization's budget, no more than \$30,000 will be supported. For Organizational Effectiveness Grants, the Foundation will award up to \$30,000.

History of Funding: None is available.

Deadline Description: The Philadelphia Foundation accepted new applications for Organizational Effectiveness and General Operating Support on a rolling basis until the end of business on October 14, 2011. After this date, new applications for General Operating Support or Organizational Effectiveness cannot be accepted until January 1, 2012. After January 1, 2012, applications will again be accepted on a rolling basis.

Additional Information: Organizational Effectiveness Grant requests can be submitted at the following email address: OEapplications@philafound.org. General Operating Support Grant requests can be submitted at the following email address: GOSapplications@philafound.org.

Contact: The Philadelphia Foundation

Suite 1800 – 1234 Market Street
Philadelphia, PA 19107

Phone: (215) 563-6417

Visit website for program guidance:
<https://www.philafound.org/ForNonprofits/DiscretionaryGrantmaking/tabid/237/Default.aspx>

Fourjay Foundation (Philadelphia County, Pennsylvania)

Authority: The Fourjay Foundation

Summary: The Fourjay Foundation provides funding to initiatives operating in the fields of education, health care, and human services. Their services areas include Philadelphia, Montgomery, and Bucks Counties, Pennsylvania. Programs that receive priority consideration for grants are:

1. Local, accredited college and universities for student scholarships;
2. Programs to address poverty, hunger, and illiteracy;
3. Health services for the blind, mentally ill, or physically infirm;
4. Community outreach programs such as drug education and social services;
5. Services that protect children from abuse, neglect, or social disadvantage;
6. Local grassroots organizations that operate within tight margins and small budgets.

Overall, the purpose of any grant made by the Foundation should be to further programs to improve health and education in the community. The purpose and objectives of this program are very specific in nature. The distinct subject matter of this funding opportunity necessitates a thorough review of the official program guidance referenced at the URL provided in the contact section of this summary.

Eligibility: Foundation giving is limited to 501(c)(3) organization operating in Philadelphia, Montgomery, or Bucks County, PA.

Award Information: Award amounts vary. Grants usually range from \$1,000 to \$10,000. Please refer to the official guidance for more detail. The guidance is available at the URL contained in the contact section of this posting.

Deadline Description: Deadlines are March 1, June 1, September 1, and December 1. There is no specific application form. Interested organizations should submit a proposal containing the following information: description of the organization, financial information including most recently completed audit, requested amount, clear statement of purpose for the grant, list of members of governing board, contact person, and proof of 501(c)(3) status from the IRS. Proposals should include seven copies of a cover letter. Official guidelines available at (<http://www.fourjay.org/grantGuidelines.pdf>).

History of Funding: A list of previous grant recipients is available online at (<http://www.fourjay.org/grantRecipients.asp>).

Additional Information: The Foundation does not consider funding for organizations outside the specified counties, individuals, elementary or secondary schools, historical or cultural organizations, religious or political organizations, athletic organizations, libraries, public radio or television, United Way or YMCA, civic organizations, or organizations funded by the Foundation within the previous 12 months. Please refer to the Foundation's website for complete detail.

Contact: Fourjay Foundation

Building G, Suite One
2300 Computer Avenue
Willow Grove, PA 19090-1753

Email: info@fourjay.org

Visit website for program guidance: <http://www.fourjay.org>

1675 Foundation (Chester and Philadelphia counties, Pennsylvania)

Authority: 1675 Foundation

Summary: The 1675 Foundation supports nonprofit organizations that serve Chester County, Pennsylvania. The Foundation focuses their funding on the following areas:

1. Health – this includes:
 - a) Access to health care for uninsured and under-insured;
 - b) Behavioral and mental health;
 - c) Reproductive rights;
 - d) Health research.
2. Human Services – this includes the following areas:
 - a) Food security;
 - b) Protection of children and the elderly;
 - c) Violence prevention and amelioration;
3. Education – including:
 - a) Opportunities for educational enrichment for under-served children;
 - b) Early childhood education;
 - c) After-school programs.
4. Environment, including:
 - a) Land and water conservation and preservation.
5. The Arts, including:
 - a) Arts institutions;
 - b) Programs that provide access to and awareness of the Arts.

Eligibility: The 1675 Foundation makes grants to organizations that are tax exempt under the IRS Code 501 (c)(3) as well as public charities under IRS Code 509(a).

Award Information: Award amounts vary. Grants range from \$2,000 to \$50,000 and are made twice a year at the discretion of the Trustees. Grants are made on an annual basis: organizations may apply only once within a 12-month period. Multi-year grants are awarded occasionally.

Deadline Description: Applications must be postmarked by October 1 for consideration at the December distribution meeting or by March 1 for consideration at the May distribution meeting. If the first of October or March falls on a weekend or holiday, applications may be postmarked by the next business day. No exceptions will be made. Late proposals will be held for the next deadline and distribution meeting. NOTE: 1675 Foundation will also accept the Delaware Valley Grantmakers Common Grant Application, available for download at www.dvg.org. Applicants must attach a 1675 Foundation Application Cover Sheet.

History of Funding: None is available.

Additional Information: Priority is given to organizations and programs that serve Chester and Philadelphia counties in Pennsylvania. Other geographic areas may be considered only at the invitation of a Foundation Trustee.

Contact: Daphne Rowe
Executive Director

Pembroke Philanthropy Advisors – 1675 Foundation

16 E. Lancaster Avenue, Suite 102
Ardmore, PA 19003
Phone: (610) 896-3868

Visit website for program guidance:
<http://www.1675foundation.org/guidelines.htm>

The Barra Foundation (Philadelphia, Bucks, Chester, Delaware and Montgomery Counties, Pennsylvania)

Authority: The Barra Foundation

Summary: The Barra Foundation funds organizations and projects that enable the Foundation to achieve greater social impact in the Philadelphia five-county region through strategic grant-making in the areas of:

1. **Arts and Culture** – The Barra Foundation seeks to promote the sustainability of a vibrant arts and culture sector and thus expand and deepen its role in the lives of individuals, communities, and the region;
2. **Education** – The Barra Foundation supports organizations that create and deliver effective educational approaches to students in Pre-K to 12th grade;
3. **Health** – The Barra Foundation supports organizations dedicated to improving the quality of life through initiatives in the field of health;
4. **Human Services** – The Foundation’s priority is to address the unmet needs of under-served individuals and the communities in which they live.

The main goals of the Foundation are:

1. To advance the health, education, well-being, achievement, and life prospects of low-income, under-served individuals and communities;
2. To enrich the quality of life for all by promoting the sustainability of a vibrant arts and cultural community.

The Barra Foundation offers three different types of grants within each of its funding areas. They are:

1. Project Grants are one-time and multi-year grants to achieve specific goals within the four funding areas;
2. Planning Grants are one-time grants designed to assist nonprofit organizations facing a critical juncture due to significant challenges or opportunities;
3. Community Fund Grants are smaller, unrestricted annual grants between \$2,000 and \$15,000 per year.

Eligibility: Nonprofit organizations in the five-county Philadelphia, Pennsylvania area are eligible to apply.

Award Information: For Project Grants and Planning Grants award amounts vary based on proposals. Community Fund Grants range from \$2,000 to \$15,000.

History of Funding: None is available.

Deadline Description: Initial requests for Project Grants should be made by completing the online Letter of Inquiry (LOI). Project Grant LOIs may be submitted at any time of the year. Initial requests for Planning Grants should be made by completing the online Letter of Inquiry (LOI). Project Grant LOIs may be submitted at any time of the year. Community Fund Grants application deadlines for each program area are:

1. **Human Services:** Applications – January 1 to March 1
2. **Arts and Culture:** Applications – April 1 to June 1
3. **Health:** Applications – July 1 to September 1
4. **Education:** Applications – July 1 to September 1.

Additional Information: The online application is available at (<https://www.grantinterface.com/barra/Common/LogOn.aspx>).

Contact: The Barra Foundation

200 W. Lancaster Avenue
Suite 202
Wayne, PA 190870-4046

Phone: (610) 964-7601

Fax: (610) 964-0155

Email: application@barrafoundation.org

Visit website for program guidance:

http://www.barrafoundation.org/index.php?option=com_content&view=frontpage&Itemid=1

Connelly Foundation (Philadelphia, Pennsylvania)

Authority: Connelly Foundation

Summary: The Connelly Foundation was established in 1955 as the result of a \$10,000 gift from John Francis Connelly, President of Connelly Containers in order to promote the public welfare, operate exclusively for religious, charitable, scientific, literary, or educational purposes, and have perpetual existence. Today, the Foundation continues his vision as it seeks to foster learning and improve the quality of life in the Greater Philadelphia, Pennsylvania region. The Foundation funds projects in the areas of Education, Health and Human Services, and Arts and Culture and Civic Enterprise. Grants may be used for program costs, direct services, general operations, and capital projects.

Through its Focus on Learning, the Foundation seeks creative ideas for teaching and learning in traditional academic institutions and also other places where learning occurs, including community health clinics, daycare centers for elders, museums, or concert halls. Examples of fundable organizations or projects include:

1. Educational institutions from preschool to graduate level;
2. Gifted or challenged student learning programs;
3. After-school activities;
4. Adult and senior learning opportunities;
5. Health and social services education and training;
6. Cultural organizations that teach appreciation for the arts.

In working to Improve the Quality of Life, the Foundation has adopted a dual approach to grant making as it seeks initiatives to address the needs of and issues surrounding disadvantaged individuals and populations and enrich community life through cultural engagement and civic enterprise. Examples of fundable projects include:

1. Organizations that provide basic needs and services;
2. Access to primary health care for the uninsured;
3. Services for the disabled;
4. Efforts to cultivate an appreciation of the diverse qualities, ethnic and otherwise, of the community;
5. Programs that encourage civility and the belief in the dignity of each individual.

Eligibility: The Foundation directs its philanthropy toward 501(c)(3) organizations and institutions based in and serving Philadelphia and the counties of Bucks, Chester, Delaware, Montgomery and the City of Camden, New Jersey.

Award Information: Award amounts vary by proposal.

History of Funding: To search previous grant recipients, please visit (<http://www.connellyfdn.org/searchgrants.aspx>).

Deadline Description: There are no specific annual deadlines. Proposals are accepted and reviewed throughout the year. Details of what to include in the proposal can be found online (<http://www.connellyfdn.org/GeneralProposalGuidelines.aspx>).

Additional Information: Connelly Foundation does not award grants to individuals, political or national organizations nor does it respond to annual appeals or general letters of solicitation. As a general practice it does not fund advocacy, annual appeals, charter schools, conferences, environmental programs, feasibility or planning studies, general solicitations, historic preservation projects, national organizations, organizations focused on a single disease, public schools or research.

Contact: Connelly Foundation

One Tower Bridge, Suite 1450
West Conshohocken, PA 19428

Phone: 610-834-3222

Fax: 610-834-0866

Email: info@connellyfdn.org

Visit website for program guidance:
<http://www.connellyfdn.org>

American Express Foundation Grants (Philadelphia, Pennsylvania)

Authority: American Express Foundation

Summary: At American Express we believe that serving our communities is not only integral to running a business successfully, it is part of our individual responsibilities as citizens of the world. The mission of our program is to bring to life the American Express value of good corporate citizenship by supporting diverse communities in ways that enhance the company's reputation with employees, customers, business partners and other stakeholders.

We do this by supporting visionary not-for-profit organizations that are:

1. Preserving and enriching our diverse cultural heritage
2. Developing new leaders for tomorrow
3. Encouraging community service where our employees and customers live and work.

As a global company, American Express Philanthropy touches many local communities within the United States and around the world. When working with local organizations to support our giving themes, priority is given to projects in the locations: Atlanta, Boston, Chicago, Dallas, South Florida, Greensboro, Houston, Los Angeles, New York City, Philadelphia, Greater Phoenix, Salt Lake City, San Francisco, and Washington, D.C.

Eligibility: Organizations must have certified tax-exempt status under Section 501(c)(3) and 509(a)(1), (2) or (3) of the U.S. Internal Revenue Code. Organizations outside the U.S. must be able to document nonprofit status. Eligibility differs based on grant funding area. For grant specific eligibility visit: (<http://home3.americanexpress.com/corp/gb/themes.asp>).

Award Information: Varies based on proposal.

History of Funding: In 2008, contributions totaled \$30.5 million.

Deadline Description: Inquiries for funding are accepted and reviewed on an ongoing basis throughout the year. While we welcome innovative ideas and approaches, we seldom support unsolicited requests. Given the large volume of requests that we receive each year, please understand that we are unable to respond personally to all inquiries. For more information on sending your letter of inquiry, please visit: (<http://home3.americanexpress.com/corp/gb/submit.asp>).

Contact: American Express Philanthropy

3 World Financial Center
Mail code 01-48-04
New York, NY 10285

Phone: (212) 640-5661

Visit website for program guidance:
<http://home3.americanexpress.com/corp/csr.asp>

The Longwood Foundation, Inc. (Delaware, and Chester County, Pennsylvania)

Authority: The Longwood Foundation, Inc.

Summary: The Foundation accepts grant proposals for projects that benefit the residents, environment, or culture of Delaware and Southern Chester County in Pennsylvania. The Foundation will fund capital needs as well as some operating requests. The Foundation does not generally provide ongoing program support, funding for routine operating expenses, or funding for events.

Eligibility: Nonprofit organizations in Delaware and southern Chester County in the State of Pennsylvania are eligible to apply.

Award Information: Award amounts vary.

History of Funding: The Foundation was formed in 1937 by Pierre S. du Pont and has made grants to nonprofits of over \$2 billion since.

Deadline Description: The annual deadlines to submit a proposal is March 15, and September 15. Applicants are encouraged to submit their proposal earlier than the deadline date.

Additional Information: The Foundation does not support endowments, religious organizations or individuals.

Contact: The Longwood Foundation, Inc.

100 West 10th Street, Suite 1109
Wilmington, DE 19801

Phone: (302) 654-2477

Visit website for program guidance:
<http://www.longwoodfoundation.com/about.html>

The William Penn Foundation (Pennsylvania)

Authority: The William Penn Foundation

Summary: The William Penn Foundation is dedicated to improving the quality of life in the Greater Philadelphia region through efforts that foster rich cultural expression, strengthen children’s futures, and deepen connections to nature and community. Funding through this Foundation is focused on the following areas:

1. **Children, Youth and Families** – Grant making in this area focuses largely on critical transitions in the lives of children as they progress from birth, through early childhood, and into young adulthood. Funding priorities in this area are:
 - a) School readiness;
 - b) Public education;
 - c) Youth development.
2. **Environment and Communities** – The Environment and Communities program uses an integrated grant making approach to enhance the sustainability of Greater Philadelphia’s ecosystems and older communities. The program seeks to foster greater cross-sector collaborations that build on the assets of our region through revitalization of its urban core and protection and restoration of the region’s natural assets, which we define as key landscapes and waterways;
3. **Arts and Culture** – Through the Arts and Culture program, the Foundation provides various types of core operating support for arts groups and cultural institutions, enabling them to pursue their creative missions with confidence in their organization’s future.

Eligibility: Nonprofit organizations in the six-county Greater Philadelphia Region (Bucks County, Camden County, Chester County, Delaware County, Montgomery County, and Philadelphia County) are eligible to apply.

Award Information: Award amounts vary.

History of Funding: None is available.

Deadline Description: Applications are accepted at any time. Prospective applicants should submit a Letter of Inquiry (<http://www.williampennfoundation.org/cyfLetterofInquiry.aspx>).

Additional Information: If you have any questions, please email: grants@williampennfoundation.org.

Contact: Kathryn J. Engebretson Ph.D.
President

The William Penn Foundation

2 Logan Square, 11th Floor
100 North 18th Street
Philadelphia, PA 19103

Phone: (215) 988-1830

Fax: (215) 988-1823

Email: grants@williampennfoundation.org

Visit website for program guidance:
<http://www.williampennfoundation.org>

Price Chopper's Golub Foundation (Pennsylvania)

Authority: Price Chopper Supermarkets

Summary: For over 70 years, the Golub Corporation, parent company of Price Chopper Supermarkets, has believed in and practiced good corporate citizenship. To that end, Price Chopper's Golub Foundation was established in 1981 in an effort to enhance and improve the quality of life within Price Chopper communities. Contributions are made through planned, continued giving programs in the areas of health and human services, arts, culture, education, and youth activities, within Price Chopper marketing areas. Some of the organizations funded through Price Chopper's Golub Foundation are hospitals, ambulance services, YMCAs, YWCAs, libraries, universities, museums, and community centers. The Foundation supports organizations and programs that have the potential of providing ongoing services for a large segment of the customer base.

Eligibility: Price Chopper's Golub Foundation provides financial support to eligible charitable organizations with a current 501(c)(3) tax exempt status within the Price Chopper marketing areas. The six state marketing area includes a specific mile radius around the stores in New York, Massachusetts, Vermont, Pennsylvania, Connecticut and New Hampshire. A store locator can be found at (http://www.pricechopper.com/StoreLocator/Store_S.las?-token.S=AD5T9R4140307e8P7fe1602ArxUN6L5391B187%7C203%7C1003250901%7C%7C%7C).

Award Information: In an effort to support as many organizations as possible, funding amounts are limited and vary based on proposal. The larger grants are usually reserved for capital drives for organizations that have the potential to support a broad spectrum of the customer base, such as hospitals and universities.

History of Funding: The Foundation granted over \$1 million in 2008.

Deadline Description: To be considered for funding, mail a written request, on letterhead for the organization seeking the donation, six to eight weeks prior to needed support or response deadlines. The Foundation reviews capital campaign requests quarterly, so please allow three to four months for a response.

Additional Information: The Foundation asks that each group make only one request per year. Letters of Intent should include the name, address, daytime phone number, and contact person of the organization. Also include the amount being requested, the population and geographic area served by the organization, and a copy of your 501(c)(3) tax-exempt status letter. Give a brief description of the specific project or event to be supported and what recognition Price Chopper would receive. The Foundation Gifts Committee reviews all requests and customers are contacted with the decision.

Contact: Price Chopper

Price Chopper's Golub Foundation

P.O. Box 1074
Schenectady, NY 12301

http://www.pricechopper.com/GolubFoundation/GolubFoundation_S.las?-token.S=0C2T9R7F62211b8P73922412RLWN6L5J64CA5D%7C24634%7C0507251403%7C%7C%7C

TD Banknorth Charitable Foundation (Pennsylvania)

Authority: TD Banknorth, Inc.

Summary: TD Banknorth founded the TD Charitable Foundation in 2002 to give back to the communities in which they operate in order to help their neighbors, employees, and customers. Through the TD Charitable Foundation and the financial grants it makes, TD Banknorth partners with area nonprofit and public institutions to create meaningful change and improvement in the communities where it operates. Coupled with the commitment of its employees and the thousands of volunteer hours they donate each year, this makes a significant impact in these communities.

The Foundation focuses on the following two area of giving: (1) Affordable Housing: support for community revitalization and the preservation and development of affordable housing; and (2) Education and Financial Literacy: support for programs that address reading, writing, math and financial literacy for all ages, pre- and after-school programs that reinforce basic learning skills, English as a second language, tutoring and mentorship, and education-focused youth development programs and initiatives. Organizations can apply as many times as you would like throughout the year, but only one grant will be awarded to an organization per calendar year.

Eligibility: The TD Charitable Foundation funds only charitable, nonprofit organizations as defined by section 501(c)(3) of the IRS tax code, public schools and other qualified state or local governmental entities. Applicants must serve communities where TD Bank operates in CT, MA, ME, NH, NJ, NY, PA, and VT.

Award Information: Award amounts vary.

Deadline Description: The TD Charitable Foundation grants committee meets on a quarterly basis to consider grant application requests. Timing of these meetings is based on county/state. Generally these meetings occur during the third week of the month. Prior to these meetings, community relations managers meet with local market teams to determine recommendations to the grants committee. A notification letter is sent to all applicants no later than two weeks following the grants committee meeting. To view specific dates for your area, please refer to (http://www.tdbanknorth.com/community/charitable_foundation_grant.html).

History of Funding: Through the TD Charitable Foundation, \$11.5 million was contributed to local community initiatives in 2008. The TD Charitable Foundation has donated more than \$40 million to charitable organizations in the U.S. since its inception in 2002.

Additional Information: Geographic eligibility can be determined and the application process started at (<http://www.tdbanknorth.com/net/selectstate.aspx?id=27>).

Official grant guidelines are available at (http://www.tdbanknorth.com/community/charitable_foundation_grant.html).

Contact: To contact your local community relations manager, please refer to (http://www.tdbanknorth.com/community/community_contacts.html).

Wal-Mart and SAM'S CLUB Foundation

Authority: Wal-Mart and SAM'S CLUB Foundation

Summary: The purpose of this program is to improve the communities in which Wal-Mart associates and customers live. Although the Foundation supports various organizations and national causes, the Foundation is primarily interested in projects that will enhance the quality of life and result in positive differences in local communities. The Wal-Mart Foundation strives to provide opportunities that improve the lives of individuals in our communities including our customers and associates.

Through financial contributions, in-kind donations and volunteerism, the Wal-Mart Foundation supports initiatives focused on enhancing opportunities in our four main focus areas:

1. **Education** – Addresses the educational needs of underserved young people ages 12-25. Examples include programs focused on high school success, access and retention of first-generation college students and adolescent literacy.
2. **Workforce Development/Economic Opportunity** – Provides job skill training, counseling and support services for unemployed, under-employed and displaced workers. Examples include career counseling services, financial literacy initiatives and job readiness programs.
3. **Environmental Sustainability** – Assists in the development or expansion of environmental auditing education programs, green job training and retrofitting/green building initiatives.
4. **Health and Wellness** – Improves access to health care, reduces health care disparities and promotes healthy lifestyles. Examples include food distribution programs, immunization clinics, health education organizations and personal health record technology.

The Wal-Mart Foundation has a particular interest in supporting the following populations: veterans and military families, traditionally underserved groups, individuals with disabilities and people impacted by natural disasters. The Wal-Mart Foundation does not accept unsolicited proposals or promotional materials from perspective grantees. The Wal-Mart Foundation does, however, accept Letters of Inquiry (LOIs) regarding the National Grant Program provided that the perspective grantee fits within the guidelines for the National Grant Program. The purpose and objectives of this program are very specific in nature. The distinct subject matter of this funding opportunity necessitates a thorough review of the official program guidance referenced at the URL provided in the contact section of this summary.

Eligibility: Eligible applicants must be recognized by the Internal Revenue Service as a “public charity” within the meaning of either Section 509(a) (1) or 509(a) (2) of the Internal Revenue Code, and must operate on a national scope through the existence of chapters or affiliates in a large number of states around the country; or possess a regional/local focus, but seek funding to replicate program activities nationally. In the case of proposals seeking funding for replication, organizations must demonstrate the capacity to support national expansion. Please refer to the official program guidance for additional information and restrictions.

Award Information: Award amounts vary. Please refer to the official guidance for more detail. The guidance is available at the URL contained in the contact section of this posting.

History of Funding: Wal-Mart Foundation has funded programs with \$378,002,185. For specific information please refer to (<http://walmartstores.com/CommunityGiving/204.aspx>).

Deadline Description: Applications are accepted on a rolling basis.

Additional Information: Submit email at (<http://walmartstores.com/P/EmailContent.aspx?title=Wal-Mart+Stores%2C+Inc.++The+Wal-Mart+Foundation&url=http%3A%2F%2Fwalmartstores.com%2FCommunityGiving%2F203.aspx>).

Contact: National Giving Program

The Wal-Mart Foundation

702 Southwest 8th Street
Bentonville, AZ 72716-0150

<http://walmartstores.com/CommunityGiving>

Applications can be found here: Application process starts at this site: <http://walmartstores.com/CommunityGiving/8168.aspx?p=8979>

John S. and James L. Knight Foundation: Community Grants Program

Authority: John S. and James L. Knight Foundation

Summary: The Communities Program funds projects that provide direct and measurable benefits to residents in our communities, and are at the highest levels of quality and innovation. Letters of Inquiry must respond to specific opportunities identified within a community and should be developed only after extended conversations with Foundation staff. The Communities Program aims to improve the quality of life in 26 U.S. communities where the Knight brothers owned newspapers.

In every community, Knight Foundation's program directors look to local advisory committees to provide critical insight and help identify big ideas and transformational opportunities. Funding is provided for the following purposes:

1. **Well-being of Children and Families** – To provide all children and youth with opportunities for positive growth and development and to give all parents resources they need to strengthen their families;
2. **Economic Development** – To help all adults gain access to jobs and to build alliances among government, business and nonprofit sectors to create economic opportunities for residents;
3. **Housing and Community Development** – To provide all residents with access to affordable and decent housing in safe, drug-free neighborhoods; and to provide a continuum that includes everything from services for the homeless to affordable opportunities for home ownership;
4. **Education** – To help all residents gain the knowledge and skills necessary to reach economic self-sufficiency, remain active learners; to be good parents and effective citizens in a democracy; and to provide an environment in which talented individuals refine and develop their abilities;
5. **Civic Engagement and Positive Human Relations** – To encourage and enable all residents to participate effectively in the democratic process, form ties to local institutions and strengthen relationships with one another;

6. **Vitality of Cultural Life:** To provide all residents access to a wide variety of artistic and cultural pursuits, to nourish creativity in children, youth and adults.

The trustees prefer not to fund: requests for support of fundraising events; requests to cover operating deficits; charities operated by service clubs; activities that are normally the responsibility of government (the Foundation will, in selective cases, join with units of government in supporting special projects); medical research; organizations or projects whose mission is to prevent, eradicate and/or alleviate the effects of a specific disease; requests from hospitals (unless they are for community-wide capital campaigns with a stated goal and beginning and ending dates, or for specific projects that meet Foundation goals); activities to propagate a religious faith or restricted to one religion or denomination; support of political candidates; memorials; international programs and organizations, except U.S.-based organizations supporting a free press around the world; a second request for a capital campaign for which the Foundation previously approved a grant; or conferences, group travel, or honoraria for distinguished guests, except in initiatives of the Foundation in all three cases. The trustees emphasize that the above is a public list of preferences, not strict prohibitions.

Eligibility: To be eligible for consideration, funding requests must benefit one or more of the Foundation's 26 communities of interest as defined in the application guidelines, although the organization submitting the request may be located outside the project area. The Foundation also encourages proposals that address these communities' opportunities on a regional level. Requests for support of local projects outside the geographic areas listed will not be considered. The foundation provides an online eligibility quiz at (<http://www2.knightfoundation.org/apply/apply1.html>).

Award Information: Award amounts vary by proposal. Funded projects can receive \$10,000 to more than \$1,000,000. 107 community grants were awarded in 2007. Most of these were for more than \$100,000.

History of Funding: In 2007, the Foundation provided more than \$121 million in grant funding. 107 of the grants provided were community grants; information about these grants, including their amounts, is provided at (http://www.knightfoundation.org/grants/grant_results.dot?program_area=Communities%20Programandyear=2007).

Deadline Description: The first step is to complete the Foundation's online inquiry. There are no deadlines to submit an inquiry. Please do not submit an application until you have been invited to do so by the Grants Administrator or a Program Officer. Application form required.

Additional Information: Please consult the Foundation's website for examples of funded projects before applying. A list of recently funded projects, including links to details about these projects, is available at (http://www.knightfoundation.org/grants/grant_results.dot?program_area=Communities%20Programandyear=2007).

Contact: John S. and James L. Knight Foundation

Attn: Grant Request
(formerly Knight Foundation)

Wachovia Financial Ctr., Ste. 3300
200 S. Biscayne Blvd.
Miami, FL 33131-2349

Phone: 305-908-2600

Fax: 305-908-2698

http://www.knightfoundation.org/programs/communities/what_we_fund

Chevron Foundation

Authority: Chevron Foundation

Summary: Chevron is a multifaceted and geographically broad-based company. As it conducts its business in communities all over the world, it has multiple responsibilities as an employer, taxpayer, investor and corporate citizen. Because of its long-standing commitment to improving quality of life in the communities where it does business, it supports many nonprofit organizations that provide needed services for the common good. Chevron contributes to a broad variety of educational, environmental, health, human service, civic, cultural and international activities. The Foundation will give priority to programs that support K-12 education, economic development and jobs, health care and youth programs.

Eligibility: Eligible applicants for charitable contributions must be private, tax-exempt organizations with certified 501(c)(3) status under the Internal Revenue Code.

Award Information: Varies by proposal

Deadline Description: The Foundation will accept and review proposals on a continuing basis (processing time is usually three weeks). Requests should be in concise letter form – preferably not more than two pages – plus attachments. No phone solicitations will be accepted.

Additional Information: Generally excluded from consideration are requests for personal assistance to individuals; programs or projects that benefit a small group of people; regular operating expenses, such as consumable supplies, office rent and staff salaries; religious, labor, fraternal, athletic or political organizations; capital funds for buildings and equipment; endowment funds; foundations and organizations that raise funds for other nonprofit organizations; private schools; fundraisers for individual schools or classes; school-related bands and sports organizations and events; sports competitions.

Contact: Jim Brumfield
Community Engagement Manager

Chevron Richmond Refinery

841 Chevron Way
Richmond, CA 94802

Phone: (510) 242-5403

Fax: (510) 242-3515

Visit website for program guidance:
http://www.chevron.com/products/sitelets/richmond/pdfs/Grant_Application_Guidelines.pdf

Misc: <http://www.chevron.com/globalissues/corporateresponsibility/2009>

Office Depot Foundation

Authority: Office Depot

Summary: The Office Depot Company and the Foundation believe that each has responsibility to support nonprofit organizations around the world and to make a positive impact on many lives and communities. The independent Office Depot Foundation serves as a vehicle for the accomplishment of these objectives. The Foundation is focusing on the following five strategic priorities for a period of five years.

Known collectively as the “5 X 5 Program”, these initiatives exemplify the Foundation’s mission by:

1. **Helping children get ready for life and work** – The Foundation will seek to help 50,000 at-risk children in 50 states to get the tools and support they need to graduate high school and either get an advanced education or find a meaningful job;
2. **Helping nonprofit (civil society) organizations become more professional and productive** – The Foundation will endeavor to help 5,000 nonprofit (civil society) organizations to get tools and support to increase their capacity to fulfill their missions;
3. **Enhancing disaster relief and recovery** – The Foundation will assist local communities in the wake of hurricanes, tornadoes, wildfires, earthquakes and the like – and will continue to be involved through the rebuilding process;
4. **Strengthening local communities** – The Foundation will endeavor to enhance the quality of life and provide opportunities to deserving children and families at a local level;

5. **Promoting global development** – The Foundation will seek to promote entrepreneurship, economic and community development programs to help improve economic and social conditions around the world. Additionally, The Foundation’s funding focus includes:
 - a) **Making a Difference in Children’s Lives** – to support activities that serve, teach and inspire children, youth and families;
 - b) **Building Communities** – to support civic organizations and activities that serve the needs of our community;
 - c) **Disaster Relief** – to support disaster relief efforts of recognized national, regional and local agencies, and to provide disaster relief to Office Depot associates who have experienced catastrophic loss.

Priority is given to applicants that:

1. Submit proposals that represent collaborations between two or more organizations;
2. Participate in the Office Depot Foundation Leadership Network and/or attend the annual Weekend in Boca Civil Society Leadership Symposium;
3. Utilize the Office Depot Foundation Caring Connection to recruit volunteers or to track volunteer activities/hours.

Eligibility: The Office Depot Foundation will consider only organizations that can provide proof of qualifying nonprofit status, including a tax-exempt determination letter from the Internal Revenue Service or proof of the organization’s charitable purpose. If you are a 501(c)(3) organization, school or library, you may be eligible for a cash donation from the Office Depot Foundation.

Award Information: Grant amounts will be a minimum of \$50 and a maximum of \$3,000 (very limited). The majority of grants issued are in the vicinity of \$1,000 and are supported by in-kind donations when inventory allows.

Deadline Description: The Office Depot Foundation will accept applications for the current funding cycle through November 15, 2010. Organizations who meet the foundation's criteria are required to complete an online Eligibility Survey. If your organization completes the survey successfully, you will be asked to complete an online grant application. The Eligibility Survey is available at (http://devel.jkgroup.com/od/foundation/grant_guidelines.asp). Please note that the Office Depot Foundation will consider proposals from organizations related to disaster relief and recovery throughout the year.

Additional Information: The Foundation actively seeks to partner with other foundations, corporations, government agencies and nonprofit (civil society) organizations in creating innovative strategies for the accomplishment of these goals. To initiate a conversation, please contact the foundation by completing the form at (http://devel.jkgroup.com/od/foundation/5x5_program.asp).

Organizations that have an outstanding grant with Office Depot or the Office Depot Foundation and who have not completed all reporting or evaluation requirements as requested by the Office Depot Foundation are ineligible to apply for new funds. An organization that is awarded funding will not be considered by the Foundation for funding more than one time per calendar year.

Contact: Office Depot

Phone: 1.800.GO.DEPOT

Visit website for program guidance:
http://devel.jkgroup.com/od/foundation/contact_us.asp

Misc: Program guidelines are available at http://devel.jkgroup.com/od/foundation/grant_guidelines.asp

Starbucks Shared Planet Youth Action Grants

Authority: Starbucks Foundation

Summary: The Starbucks Foundation solicits applications from organizations that provide people a continuum of services in developing creative approaches to address pressing concerns in their communities. Potential applicants should show that their organizations proposes to do the following:

1. Deliver services to youth, ages 6 – 24;
2. Gives preference to organizations that focus on young people in the age range of 12 and older, when they are able to take independent action;
3. Provides opportunity to combine learning with action that support communities and further global citizenship;
4. Deliver services, disseminate information, provide training and/or build broad networks;
5. Provides opportunities for Starbucks partners and multiple stores to be engaged in community service.

Organizations should also exhibit the following elements, and should demonstrate these elements in their proposal:

1. Youth are active in the leadership of the organization. Examples include: youth advisors, youth on the board, and organizations created by youth;
2. Development opportunities for youth. Examples include: provide trainings within the organization, external conferences, or youth convenings;
3. Telling the stories of emerging young leaders. Examples include: newsletters, public performances and other communication outreach;
4. Demonstration of a commitment to building bridges of understanding between and among different youth communities;
5. Opportunities to reach youth who otherwise would not have the opportunity to develop leadership skills in an area unfamiliar to them;
6. Opportunities for youth to gain knowledge of and experience with people of different cultural, racial, economic, religious and ethnic backgrounds.

Organizations are encouraged to include information in their proposal about how they exhibit one or more of the following elements:

1. Youth are active in the leadership of the organization. Examples include: youth advisors, youth on the board, and organizations created by youth;
2. Development opportunities for youth. Examples include: provide trainings within the organization, external conferences, or youth convenings;
3. Telling the stories of emerging young leaders. Examples include: newsletters, public performances and other communication outreach;
4. Demonstration of a commitment to building bridges of understanding between and among different youth communities;
5. Opportunities to reach youth who otherwise would not have the opportunity to develop leadership skills in an area unfamiliar to them;
6. Opportunities for youth to gain knowledge of and experience with people of different cultural, racial, economic, religious and ethnic backgrounds.

Eligibility: Eligible applicants are 501(c)(3) nonprofit organizations. Applicants outside the United States must be charitable in purpose and identified as nongovernmental organizations (NGOs) or the equivalent of a tax-exempt nonprofit organization.

Award Information: Typical awards through the Starbucks Foundation range from \$10,000 to \$30,000. No more than 50 percent of the request can be designated for either general operating costs or staff salaries. Funds requested should not represent more than 10 percent of your organization's overall operating budget. Grants will be awarded for one year.

Deadline Description: Letters of inquiries will be accepted for the Spring 2012 grant cycle from October 1, 2011 until December 1, 2011. Similar deadlines are anticipated annually.

Additional Information: Activities not eligible for funding include the following:

- Events, tables, exhibitions, performances or sports tournaments and one time volunteer events not connected to a program curriculum;
- Capital campaigns (including use of grant funds for exclusive purchase of technology and materials);
- Trips and travel;
- Contests, festivals or parades;
- Sponsorship of fund raising or other events;
- Advertising;
- Tickets to events;
- Supply drives.

Contact: Starbucks Shared Planet Youth Action Grants

Starbucks Corporation – Starbucks Foundation

Visit website for program guidance:

<http://www.starbucksfoundation.com/index.cfm?objectid=BE688C92-1D09-317F-BBA1CDA8E271C9CB>

Misc: <http://www.starbucksfoundation.com/index.cfm?objectid=998EF1C4-1D09-317F-BBF7F71F7B681A12>

McCormick Foundation Veterans Programs

Authority: McCormick Foundation

Summary: The McCormick Foundation is a nonprofit organization interested in efforts to strengthen a free, democratic society through investments in children, community, and country. The Foundation was established in 1955 upon the death of Colonel Robert R. McCormick, editor and publisher of the Chicago Tribune. The Foundation currently totals \$1.2 billion in assets. The Foundation has six program areas: Citizenship, Communities, Education, Journalism, Special Initiatives and Veterans Programs.

The Veterans Program has the following funding priorities: Mental Health, Family Issues, Homelessness, Job and Career Development, and Legal Challenges. The purpose and objectives of this program are very specific in nature. The distinct subject matter of this funding opportunity necessitates a thorough review of the official program guidance referenced at the URL provided in the contact section of this summary.

Eligibility: Nonprofit 501(c)(3) organizations are eligible to apply. Please refer to the official program guidance for additional information and restrictions.

Award Information: Award amounts vary. Please refer to the official guidance for more detail. The guidance is available at the URL contained in the contact section of this posting.

History of Funding: None is available.

Deadline Description: Interested organizations should submit a two-page Letter of Inquiry that details the nature, purpose, and cost of the proposed program. The LOI also should include information that demonstrates the need for the program and the qualifications of the organization. If the Foundation is interested in pursuing the opportunity further, it will contact the applicant organization with more details on how to submit a full proposal. There are no specific annual deadlines for submission; grants will be made as funding becomes available.

Additional Information: More information on the Veterans Program is available online at (http://www.mccormickfoundation.org/veteransprogram/veterans_program.aspx).

Contact: McCormick Foundation

435 North Michigan Avenue
Suite 790
Chicago, IL 60611

Phone: 312-222-3512

Fax: 312-222-3523

Email: thoulihan@McCormickFoundation.org

<http://www.mccormickfoundation.org>

Dollar General Foundation Grants Program

Authority: Dollar General Corporation

Summary: Dollar General is committed to conducting business in a way that promotes healthy families, thriving communities, and a cleaner environment. At Dollar General, corporate responsibility is built into its mission to serve others. Dollar General supports programs that improve the quality of life for individuals in the communities where it conducts business. Each year, Dollar General invests millions of dollars in literacy programs to assist individuals achieve their fullest potential.

Dollar General offers the following grant programs:

1. **Adult Literacy Grants:** support for organizations that provide adult basic education, general education diploma preparation, and English as a second language instruction;
2. **Back to School Grants:** assistance for schools to implement new programs or purchase new equipment, materials, or software for libraries or media centers;
3. **Beyond Words: Dollar General School Library Relief Program:** assistance for public libraries that have suffered from a recent major disaster, administered by the American Association of School Librarians;
4. **Family Literacy Grants:** funding for programs that provide adult education instruction, children's education, parent and children together time, and parenting classes that teach parents to be the primary teacher for their child;
5. **Youth Literacy Grants:** assistance to organizations to expand or implement literacy programs for students who are below grade level or experiencing difficulty in reading.

The purpose and objectives of this program are very specific in nature. The distinct subject matter of this funding opportunity necessitates a thorough review of the official program guidance referenced at the URL provided in the contact section of this summary.

Eligibility: Public entities, schools, and nonprofit organizations may apply for funding. Applicants must be located within 20 miles of a Dollar General Store to be eligible. To check your geographic eligibility, please visit (<http://www.dollargeneral.com/OurStores/Pages/StoreLocator.aspx>).

Award Information: Award amounts vary. Please refer to the official guidance for more detail. The guidance is available at the URL contained in the contact section of this posting.

History of Funding: In May 2009, the Foundation announced it awarded \$4.8 million in grants. Grant recipients can be viewed by program at the website provided below.

Deadline Description: There are currently no specific announced funding deadlines. Applications will be made available for each of the programs early in the year.

Additional Information: More detailed information on each of these grant programs can be found at (<http://www.dollargeneral.com/ServingOthers/Pages/GrantPrograms.aspx>).

Contact: Dollar General Foundation Grants Program

Dollar General Corporation

100 Mission Ridge
Goodlettsville, TN 37072

Phone: (615) 855-4000

<http://www.dollargeneral.com/ServingOthers/Pages/dollar-general-cares-for-you.aspx>

Dr. Scholl Foundation

Authority: Dr. Scholl Foundation

Summary: The Dr. Scholl Foundation is dedicated to providing financial assistance to nonprofit organizations that are committed to improving the world. Organizations providing solutions to these problems that are innovative and practical, and involve hard work and compassion are preferred. Applications for grants are considered in the following areas: (1) Private education, including elementary, secondary, college and university level. (2) Programs for children, developmentally disabled, senior citizens, civic and cultural institutions, social service agencies, hospitals and health care, environmental organizations and religious institutions. The general categories above are not intended to limit the interest of the Foundation from considering other worthwhile projects.

Eligibility: Eligible applicants include nonprofit organizations with valid IRS 501(c)(3) determination letters. Please refer to the official program guidance for additional information and restrictions. More than one request from the same organization in the same year will not be considered.

Award Information: Award amounts vary. Please refer to the official guidance for more detail. The guidance is available at the URL contained in the contact section of this posting.

History of Funding: The Foundation has granted over \$210 million since 1980.

Deadline Description: Applications can be submitted between November 1 and March 1 of the following year. All applications are acknowledged. Prospective grantees are notified in November and, if approved, grant payments are made in December. The application form and instructions are available after September 1 each year by written request on organization letterhead only. Phone, fax or email requests are not accepted.

Additional Information: The Foundation does not consider the following for funding: non-501(c)3 organizations; political organizations, political action committees, or individual campaigns whose primary purpose is to influence legislation; foundations that are themselves grant making bodies; grants to individuals, endowments or capital campaigns; grants for loans, operating deficit reduction, the liquidation of a debt, or general support; event sponsorships including the purchase of tables, tickets or advertisements.

Contact: Dr. Scholl Foundation

1033 Skokie Boulevard, Suite 230
Northbrook, IL 60062

Phone: (847) 559-7430

<http://www.drschollfoundation.com/index.html>

Goodrich Foundation

Authority: Goodrich Foundation

Summary: The Goodrich Foundation gives to make a difference in each of the communities where Goodrich employees live and work. The Foundation makes charitable grants in three broad categories: Education; Civic and Community; and Health and Human Services/United Way. The Foundation also funds Arts and Culture. The Goodrich Foundation continues to place high emphasis on quality educational improvements in the areas of Science, Technology, Engineering and Math (STEM). The Foundation is currently updating its focus to include funding diversity and inclusion projects, collaborative community efforts and programs supporting military veterans and their families.

Funding areas are further described as follows:

1. **Higher Education** – The Foundation will support selected educational institutions where the company recruits for its workforce or where technical research is conducted. In addition, grant making will also focus on institutions with specific academic areas of science and engineering that educate the technical workforce;
2. **Elementary/Secondary Education (K-12)** – The Foundation will consider proposals designed to restructure the educational system to better educate all students. The Foundation intends to support efforts that take a comprehensive approach to education reform rather than addressing issues on a piecemeal basis. The Foundation also considers proposals designed to help elementary school children maintain their curiosity and excitement about the worlds of math and science. This would include opportunities for professional development in math and science for elementary-level teachers. The Foundation also will give consideration to proposals that help junior high and high school students and teachers understand the relevance of math and science to society. The Foundation is supportive of efforts to link math and science taught in classrooms to application of these disciplines in the workplace;

3. **Workforce Development** – The Foundation is supportive of programs that promote adult education and welfare-to-work training and education. These programs may be supported through community colleges or civic, community and human services organizations;
4. **The Foundation supports educational institutions with matching funds under the company's Partners in Giving Program** – Arts and Culture: Charlotte, North Carolina only. The Foundation supports art and cultural organizations with matching funds under the company's Partners in Giving program. Civic and Community: The Foundation will support the improvement of, or the economic environment of, communities in which Goodrich employees live and work. Examples of support would include projects and programs that strive to preserve or enhance the historic or economic development of communities and the economic vitality of a region.

Other examples include leadership and diversity development programs and aid to veterans and military families. Health and Human Services/United Way: The Foundation will support capital requests for hospitals and specialized health care providers. The Foundation will support United Way campaigns in communities where its employees live and work. The Foundation generally will not provide additional funding to United Way organizations already receiving support through United Way funding. Please refer the Foundation's guidelines referenced at the URL provided in the contact section of this summary.

Eligibility: Eligible applicants include nonprofit, 501(c)(3) organizations. The Foundation provides support to charitable organizations serving the needs of the public in Goodrich Corporation's United States headquarters and plant communities, to selected educational institutions and selected national groups. Locations may be found at (<http://www.goodrich.com/portal/site/grcom/LocationsGuide?BU=AllandCGT=Locations%20GuideandGUID=a48b099f0aed110VgnVCM10000068f57eaaRCRD>). Please refer to the official program guidance for additional information and restrictions.

Award Information: Award amounts vary. The Foundation will generally allocate its annual charitable giving according to the following percentages: Education: 30-40 percent; Civic and Community: 15-20 percent; Health and Human Services/ United Way: 20-30 percent and Arts and Culture: 15-20 percent. Please refer to the official guidance for more detail. The guidance is available at the URL contained in the contact section of this posting.

Deadline Description: The Goodrich Foundation staff reviews grant requests quarterly. Deadlines for proposals are March 1 and August 1. Decisions are made by the members of the Goodrich Foundation Board of Trustees, who meet several times per year. Proposals funded in one year are not always assured of future funding. Please refer to guidelines for detailed submission information.

Additional Information: The Goodrich Foundation generally will not support:

1. Multi-year grants in excess of five years.
2. Individuals, private foundations, endowments, churches or religious programs, fraternal, social or labor organizations.
3. Grants to groups with unusually high fundraising or administrative expenses.
4. Political parties, candidates or lobbying activities.
5. Travel funds for tours, exhibitions or trips by individuals or special interest groups.
6. Organizations that discriminate because of race, color, religion, sexual orientation, national origin or any areas covered by any applicable federal, state or local laws.
7. Local athletic or sports programs or equipment, courtesy advertising benefits, raffle tickets and other fundraising events involving purchasing of tables, tickets or advertisements.
8. Organizations that receive sizable portions of their support through municipal, county, state or federal dollars.
9. Individual United Way agencies that already benefit from Goodrich contributions to the United Way Campaign.
10. International organizations.

Contact: Terrence G. Linnert, President

Goodrich Foundation

Corporate Headquarters
Four Coliseum Centre
2730 West Tyvola Road
Charlotte, NC 28217-4578

Phone: 704 423 7000

Fax: 704 423 7002

<http://www.goodrich.com/portal/site/grcom?GUID=836e8273ea9ea110VgnVCM10000068f57eaaRCRD>

Jenny's Heroes

Authority: Jenny Jones

Summary: Jenny's Heroes grants are given to individual applicants to carry out projects to better their communities. Examples of the types of projects for which grants are provided include such things as: Gang intervention – employment program; Fundraising for cancer research; Library equipment and materials purchase; Law enforcement equipment; Playground equipment purchase and installation; Projects serving the mentally ill; Medical equipment for healthcare clinic; Environmental clean-up; Computers and equipment for adult education program for the poor; After-school program supplies purchase; School science lab equipment; Historic Preservation organization; Disaster assistance; Communications equipment – search and rescue; Assistance to homeless shelter – purchase of computer, internet access, and warm clothing; Sports equipment purchase for disabled veterans; also for disadvantaged children. More examples of funded projects and details concerning the above are provided for reference at (http://www.jennysheroes.com/meet_our_heroes.shtml).

Eligibility: Only applications from individual citizens are considered.

Award Information: Awards are for up to \$25,000. \$1 million is available for award.

Deadline Description: No deadlines are specified. Applications are accepted on an ongoing basis, online at (http://www.jennysheroes.com/application_form.shtml).

Additional Information: Grants are not provided to social service agencies.

Contact: Jenny Jones

Jenny's Heroes program

Visit website for program guidance:
<http://www.jennysheroes.com/index.shtml>

Misc: http://www.jennysheroes.com/application_form.shtml

Verizon Foundation: Technology, Education, Literacy, Health Care, Domestic Violence and Internet Safety Grants

Authority: Verizon Foundation

Summary: The Verizon Foundation is in the business of improving lives in literacy, knowledge and a readiness for the 21st century. Specifically, funding helps people to increase their literacy and educational achievement; avoid being an abuser or a victim of domestic violence; and/or achieve and sustain their health and safety. Eligible organizations seeking grants from the Verizon Foundation must be prepared to track and report program outcomes as well as specific results that demonstrate measurable human impact. In the grant application, organizations must indicate what outcomes are targeted through programming and what results, as specified on the grant application, the organization will measure.

Verizon Foundation's five priority funding areas are as follows:

1. **Education:** Verizon believes that in order to participate fully in the 21st century's knowledge economy, people must think and act in new ways. For this reason, the Verizon Foundation is a leading supporter of innovative, technologically-based approaches to K-12 education.
2. **Today necessary workplace skills go far beyond reading and writing to encompass critical thinking and the ability to access and absorb information that broadband technology and the Internet deliver.** The foundation seeks to improve literacy by funding strategic nonprofit partners and programs that target teachers, grassroots community outreach and the use of technology and online learning tools.
3. **Domestic Violence Prevention:** Verizon Foundation is working to help stop the cycle of violence by providing financial, technical and human expertise to local and national organizations that focus on education, prevention, victim relief and empowerment. Building on best practices established by Verizon Wireless in its long-standing commitment to domestic violence prevention, the Verizon Foundation leverages its technology to help nonprofit and law enforcement agencies raise awareness, promote prevention, support victims and help prepare them to get back to work.

4. **Healthcare and Accessibility:** Verizon Foundation invests in projects that provide technology to help under-served populations and people with disabilities access information on critical health issues. Verizon Foundation funds a variety of programs to advance the use of broadband technology and communications services that increase the efficiency of healthcare and improve access to patient information.
5. **Internet Safety:** Verizon Foundation invests in programs and organizations that:
 - a) Help law enforcement officers investigate Internet-related crimes against children;
 - b) Educate parents and caregivers about measures they can take to help children use the Internet safely;
 - c) Teach teens and young children how to protect themselves and avoid putting themselves in danger of breaking the law;
 - d) Warn adults about the pitfalls and dangers online.

Eligibility: Verizon Foundation provides support to 501(c)(3) nonprofit organizations within the United States. Funding is not provided for: individuals; private charities or foundations; religious organizations, unless the particular program will benefit a large portion of a community without regard to religious affiliation and does not duplicate the work of other agencies in the community; organizations that discriminate on the basis of age, color, citizenship, disability, disabled veteran status, gender, race, religion, national origin, marital status, sexual orientation, military service or status or Vietnam-era veteran status; organizations whose primary purpose is to influence legislation.

Award Information: The Verizon Foundation does not have a range for grant amounts. Many factors, including the specific program or project to be funded, and the organization making the request, determine funding amounts. Over the past several years, the average grant size has ranged between \$5,000 and \$10,000. Before allocating funding, the Verizon Foundation takes into consideration many aspects of each submitted proposal, including the organizational mission, leadership, vision, strategy, financials and budget requested and how the applicant organization's dollars are invested within the communities served.

Deadline Description: The Verizon Foundation reviews unsolicited proposals on a continuous calendar year basis from January 1 through November 1. Verizon Foundation only accepts electronic proposals through its Apply Online process. Successfully submitted online proposals receive an electronic notice confirming receipt of the application via email. Please allow up to ninety (90) days for a final decision.

History of Funding: In 2008, the Verizon Foundation will distribute approximately \$68 million nationwide to support technology, literacy, and domestic violence solutions programs. Each year, the Verizon Foundation receives more than 60,000 grant requests from nonprofits and provides funding to less than half of these organizations. The Foundation is one of the U.S.'s largest corporate philanthropic contributors. Financial statements from years 2001-2006 are available at (<http://foundation.verizon.com/about/financial.shtml>).

Additional Information: For organizations that have received a grant from the Verizon Foundation in the last three consecutive years, the organization may reapply after a one-year hiatus. The Verizon Foundation works with Verizon community relations and external affairs personnel in communities where the company operates to forge local and regional partnerships and programs. Verizon Foundation funding spans the 50 States, including the District of Columbia.

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<http://foundation.verizon.com>

**Next Generation Learning Challenges (NGLC) (Wave IIIa):
Breakthrough School Models for College Readiness**

Authority: EDUCAUSE, The Bill and Melinda Gates Foundation

Summary: Next Generation Learning Challenges is a collaborative, multi-year initiative created to address the barriers to educational innovation and tap the potential of technology to dramatically improve college readiness and completion in the United States. NGLC is guided by the belief that providing investment capital to expand the use of proven and emerging learning technologies, collecting and sharing evidence of what works, and fostering a community of innovators and adopters will result in a robust pool of solutions and greater institutional adoption which, in turn, will dramatically improve the quality of learning experiences in the United States.

The third wave of NGLC funding, launched in October 2011, focuses on the development of new blended learning models. NGLC Wave IIIa seeks to stimulate and improve the pipeline of new breakthrough learning models at the secondary education level. The intent is to provide capital to offset the risks of true innovation, not to subsidize marginal improvements to existing models.

Examples of breakthrough learning models could include:

1. A new district school that ultimately serves 1,000 students in grades 6-12 and uses online courses from multiple content vendors to deliver approximately 75 percent of instruction in a learning lab setting;
2. A district turnaround school that has reconstituted staff and the use of time and resources to serve 600 students in grades 9-12 via a learning management system, as well as content and assessments, from an array of vendors to deliver 50 percent of instruction online during traditional class time as opposed to a separate learning lab;
3. A partnership between an urban district with a student dropout problem and a neighboring community college. The new school initially serves 100 former dropouts, aged 14-19, who self-select back into this model and participate on a schedule that recognizes their need to attend school part time;

4. A new charter school within a traditional, successful “no excuses” charter management organization network – essentially, a next-gen/blended version of its original school design;
5. A new charter or district-sponsored charter-like school serving 600 students grade K-8.

Strong preference will be given to proposals that represent:

1. Pure innovation, in the sense of unprecedented yet compelling approaches;
2. Fundamental departures from existing practice for established educational institutions;
3. Truly novel combinations of multiple proven solutions.

Eligibility: NGLC is open to all entities, taxable and tax-exempt organizations, and U.S. federal, state, tribal and local government agencies.

Award Information: Winning applicants will receive up to \$450,000 in funding, including a \$150,000 planning grant at time of award, and eligibility for up to \$300,000 in 1:1 matching funds. Matching funds will be available to Wave IIIa winners immediately. A total of \$3 million in matching funds will be given on a first-come, first-served basis.

History of Funding: None is available.

Deadline Description: Wave IIIb will accept applications on a rolling basis with three interim deadlines: November 11, 2011, February 9, 2012, and June 8, 2012.

Additional Information: The full Wave IIIa Request for Proposals (RFP) is available at (http://nextgenlearning.org/sites/default/files/RFP_WaveIIIa.pdf).

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Visit website for program guidance:
<http://nextgenlearning.org/the-grants/wave-iii-challenges>

**Next Generation Learning Challenged (NGLC) (Wave IIIb):
Breakthrough Models for College Completion**

Authority: EDUCAUSE, The Bill and Melinda Gates Foundation

Summary: EDUCAUSE, through the Next Generation Learning Challenges (NGLC) is requesting the submission of grant applications from early stage whole-college or whole-program models of affordable, effective personalized learning. Wave IIIb challenges the nation's most innovative post-secondary institutions to answer the question: Have learning science, technology, policy, and organizational processes advanced far enough to enable Associates and Bachelors degree programs to be delivered at a cost of \$5,000 – the target goal – per student per year, without sacrificing quality and while getting more students to a degree?

If the nation is going to deliver high-quality degree programs at an affordable price and to the students who need them most, NGLC hypothesizes that personalized learning models that employ some or all of the following strategies will be required. They therefore provide the basis for this program.

Applicant models should strive to:

1. Design learning experiences, assessment, and feedback around specific course and degree program learning outcomes, for both practical and deeper learning competencies;
2. Employ learning science research to develop effective, targeted learning environments;
3. Deploy blended or supported online learning environments to increase personalization, engagement, and efficiency;
4. Combine online and face to face components in instruction to make learning more effective and affordable than relying on a single mode of delivery, particularly for low-income and minority students, who might especially benefit from the support of interpersonal interaction blended with individualized, technology-enabled instruction;
5. Deliver targeted, customized supports to improve retention and completion with limited resources;
6. Use learning analytics and performance management systems to deliver quality, affordability, and continuous improvement;

7. Enable secondary school students to gain college creditor otherwise ease the transition from high school to post-secondary learning, taking advantage of the capability of technology to enable bridging between secondary and post-secondary education that may accelerate students' progression toward the completion of degrees;
8. Provide new degree programs or whole-institution models with sufficient autonomy to allow the flexibility necessary to produce and/or incorporate transformational innovations in areas such as the use of time, the role of instructors and other staff, and instructional delivery.

NGLC Wave IIIb seeks to stimulate the development of breakthrough, next-generation online and blended programs that lead to high-quality associates or bachelors degrees at affordable costs, particularly for under-served populations.

Eligibility: NGLC is open to all accredited, Title IV – eligible entities, taxable and tax-exempt organizations, and U.S. federal, state, tribal, and local government agencies. Non-U.S. organizations may apply, but the primary focus of the grant-supported work must be in the United States.

Award Information: All applicants are eligible for awards of \$1 million. Awards will be made for a 24-month period.

History of Funding: None is available.

Deadline Description: Wave IIIb will accept applications on a rolling basis with three interim deadlines: November 11, 2011, February 9, 2012, and June 8, 2012.

Additional Information: The Wave IIIb full Request for Proposals (RFP) is available at (http://nextgenlearning.org/sites/default/files/RFP_WaveIIIb.pdf).

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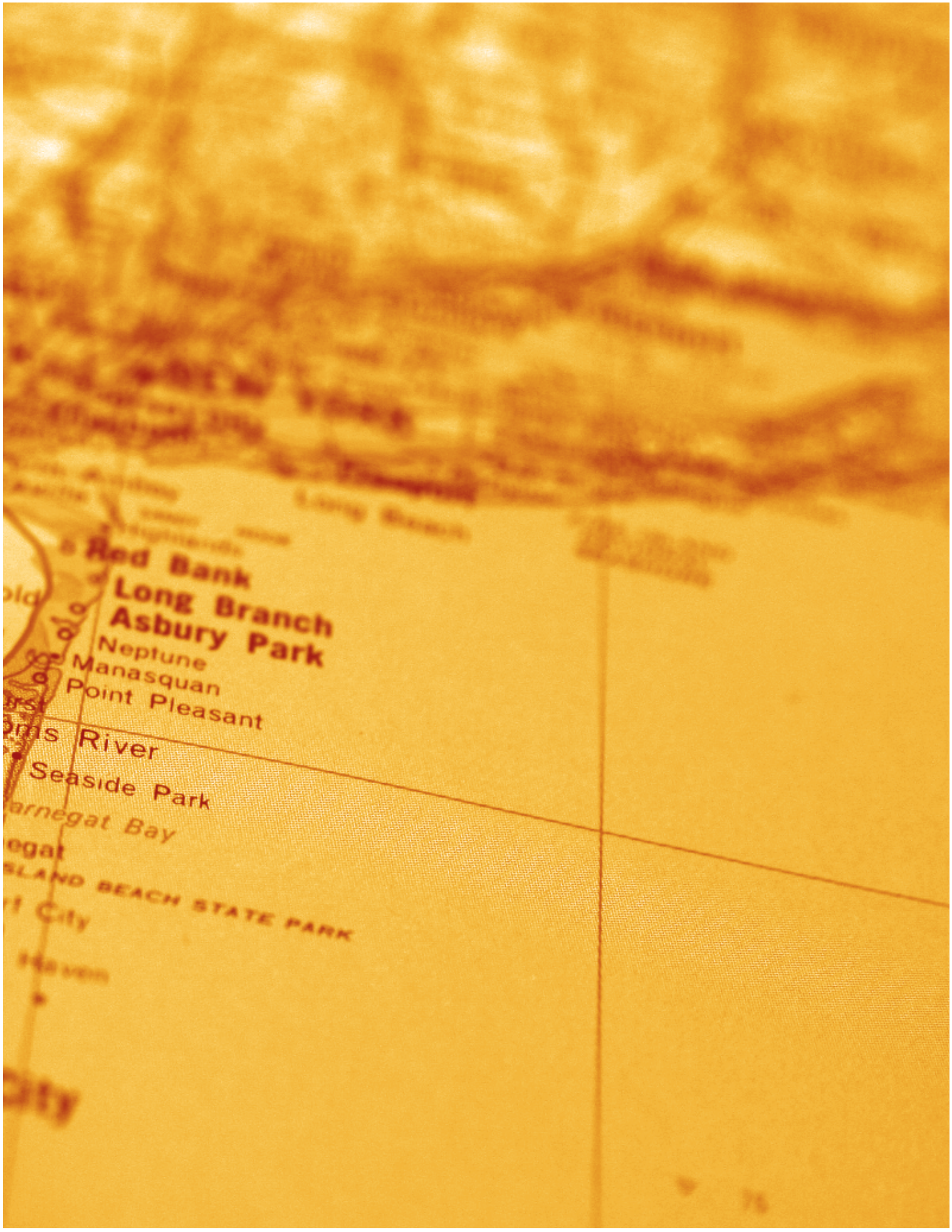
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