

**Strengthening Teacher and Leader Effectiveness Dissemination Grant:
Principal Leadership
Request for Proposals (RFP) # GT-24**

ANNOUNCEMENT OF FUNDING OPPORTUNITY

| | |
|------------------------------|---|
| Legislative Authority | Race to the Top (RTTT) through New York State Education Department (NYSED) |
| Purpose | The purpose of this request for proposals (RFP) is to support the dissemination of effective principal practices and programs that are promising and/or successful in Strengthening Teacher and Leader Effectiveness (STLE) schools, and allowing our STLE grantees to share their successful innovations in a collaborative endeavor with an eligible partner. |
| Eligible Applicants | <p>Eligible Applicants are individual STLE 1, 2 and 3 grantees (i.e., public school districts, public charter schools, and BOCES). This includes individual STLE grantees, consortium-leads, and consortium members. Please refer to Appendix E for a complete list of Eligible Applicants.</p> <p>Eligible Applicants may apply individually or form a consortium with one or more STLE or non-STLE districts, public charter schools, and/or BOCES.</p> <p>Additional requirements and information:</p> <ul style="list-style-type: none"> • In a consortium application, an Eligible Applicant must serve as the lead applicant/fiscal agent for the grant, and cannot act solely as a flow-through for grant funds to pass to other recipients. The fiscal agent must provide a minimum of 20% of the direct services supported by this grant, as reflected in the budget (please see Appendix G: NYSED Consortium Policy for State and Federal Discretionary Grant Programs for additional information). • Applicants must certify that the STLE principal(s) chosen to complete STLE-D work is rated Highly Effective or Effective on their most recent, complete APPR¹. • STLE 1, 2 or 3 grantees may apply to form a consortium with another STLE 1, 2 or 3 grantee, providing the grantee has an eligible principal(s) and/or teacher leader(s) on a principal career ladder pathway who was not/is not a part of the previous STLE grants. • Individual STLE 1, 2, and/or 3 grantees (including BOCES consortium leads and consortium component districts) may apply individually, to partner with principals within their district, charter school and/or consortium, providing they have an eligible principal(s), and/or teacher leader(s) on a principal career ladder pathway, |

¹ Please note that the recently enacted safety net calculations do not impact the decisions made in connection to career pathways, performance compensation, or approved APPR plans, etc. The safety net ratings cannot be used in connection to the rewards, roles, or other grant-related designations found within your program.

| | | | |
|--|---|--|--|
| | <p>who was not/is not a part of the previous STLE grants.</p> <ul style="list-style-type: none"> • Consortium applications may include a combination of BOCES, districts, and charter schools as consortium members, providing that one Eligible Applicant serves as the lead. • No public charter school, public school district, or BOCES (as applicable) may individually apply for, lead or be a member of an applicant consortium, for more than one Dissemination grant application. | | |
| Funding | <p>Source: RTTT Estimated Funds Available: \$5 million</p> <p style="text-align: center;"><u>Awards will be made subject to availability of funding by the U.S. Department of Education</u></p> | | |
| Distribution of Funding | <p>Applicants may request a maximum of up to \$1,500,000, based on the number of students enrolled in the applicant district, charter school, or BOCES and any consortium members. <i>Please see the Award Distribution section of this RFP for additional details regarding maximum request amount. Please see the Award Methodology section of this RFP for additional information regarding funding distribution.</i></p> | | |
| Important Dates for Awarding Grants | <p>Applications must be received by: August 29, 2014</p> | <p>Anticipated Preliminary Award Notification: October 15, 2014</p> | <p>Anticipated Project Period: November 1, 2014 - June 30, 2015</p> |
| Additional Information | <ul style="list-style-type: none"> • Questions and Answers: Questions about this RFP should be sent to the e-mail address identified below no later than August 8, 2014. Questions and Answers will be posted by August 15, 2014, at http://usny.nysed.gov/rttt/rfp/stle-d/. No individual responses will be provided. • Webinar: A prerecorded webinar will be posted to http://usny.nysed.gov/rttt/rfp/stle-d/ by August 1, 2014. | | |
| SED Contacts | <p>Program Matters: Tasha Anderson STLED@mail.nysed.gov</p> | <p>Fiscal Matters: Nell Brady STLED@mail.nysed.gov</p> | <p>M/WBE Matters: Joan Ramsey STLED@mail.nysed.gov</p> |

Note: All entities except for public entities exempted by the State Comptroller are required to go through the contract process. Any agency that has not previously received funding with the State Education Department should complete and submit a [Payee Information Form](#) with their application.

NYSED's Reservation of Rights

NYSED reserves the right to: (1) reject any or all proposals received in response to the RFP; (2) withdraw the RFP at any time, at the agency's sole discretion; (3) make an award under the RFP in whole or in part; (4) disqualify any bidder whose conduct and/or proposal fails to conform to the requirements of the RFP; (5) seek clarifications of proposals; (6) use proposal information obtained through site visits, management interviews and the state's investigation of a bidder's qualifications, experience, ability or financial standing, and any material or information submitted by the bidder in response to the agency's request for clarifying information in the course of evaluation and/or selection under the RFP; (7) prior to the bid opening, amend the RFP specifications to correct errors or oversights, or to supply additional information, as it becomes available; (8) prior to the bid opening, direct bidders to submit proposal modifications addressing subsequent RFP amendments; (9) change any of the scheduled dates; (10) waive any requirements that are not material; (11) negotiate with the successful bidder within the scope of the RFP in the best interests of the state; (12) conduct contract negotiations with the next responsible bidder, should the agency be unsuccessful in negotiating with the selected bidder; (13) utilize any and all ideas submitted in the proposals received; (14) unless otherwise specified in the solicitation, every offer is firm and not revocable for a period of 90 days from the bid opening; (15) require clarification at any time during the procurement process and/or require correction of arithmetic or other apparent errors for the purpose of assuring a full and complete understanding of an offerer's proposal and/or to determine an offerer's compliance with the requirements of the solicitation; (16) to request best and final offers.

Table of Contents

| | |
|---|----|
| APPLICATION GUIDANCE | 6 |
| RFP Purpose and Focus | 6 |
| RFP Context..... | 7 |
| TLE Continuum:..... | 7 |
| Principal Partnership Activities | 9 |
| FUNDING AND AWARDS | 9 |
| Background and Overview | 9 |
| Allowable expenses..... | 10 |
| Award distribution: | 11 |
| Mandatory Requirements..... | 12 |
| Prequalification Requirement..... | 13 |
| Minority and Women-Owned Business Enterprise (M/WBE) Participation Goals..... | 13 |
| ELEMENTS OF THE PROPOSAL | 16 |
| Section A: Dissemination Activities and Justification (50 points)..... | 16 |
| A1. Relevant Background Information: | 17 |
| A2. Program Description, Justification, and Overview: | 17 |
| A3. Dissemination Activities for TLE System Implementation and Support:..... | 18 |
| Section B: Dissemination Support Summary (30 points)..... | 18 |
| B1. Communication Plan..... | 19 |
| B2. Workplan/Timeline | 19 |
| B3. Overall Goals and Measurable Outcomes | 19 |
| B4. Evidence of applicant capacity | 19 |
| Section C: Budget Forms and Narrative (20 points) | 20 |
| FS-10: | 20 |
| Budget Narrative:..... | 20 |
| APPLICATION ACCEPTANCE AND PROCESSING | 21 |

| | |
|---|----|
| Application Review and Scoring..... | 21 |
| Award Methodology | 22 |
| Debriefing Procedures | 22 |
| Award Protest Procedures | 22 |
| Winning Applicants' Responsibility..... | 23 |
| Payments and Reporting..... | 23 |
| Electronic Processing of Payments | 24 |
| Vendor Responsibility | 24 |
| Workers' Compensation Coverage and Debarment..... | 25 |
| Registration In Federal System for Award Management (SAM) | 27 |
| Payee Information Form/NYSED Substitute W-9 Form | 27 |
| APPLICATION INSTRUCTIONS..... | 27 |
| Required Signature(s) | 27 |
| Application Checklist..... | 27 |
| Mandatory Requirements Certification..... | 27 |
| Page Standards | 27 |
| Submission | 28 |
| ATTACHMENTS..... | 29 |
| APPENDICES | 65 |

APPLICATION GUIDANCE

RFP Purpose and Focus

The overarching purpose of the Strengthening Teacher Leader Effectiveness (STLE) program was to encourage and support eligible districts and public charter schools to develop, implement and/or enhance a comprehensive systems approach to recruitment, development, retention and equitable distribution of effective teachers and school leaders as part of their implementation of the Annual Professional Performance Review (APPR) system required by Education Law §3012-c. STLE grantees are leveraging the power of the new evaluation system, not as an end in itself, but as a true vehicle for the improvement of effective educator practice and student learning. The major focus of STLE continues to be activities that ensure rigorous implementation of APPR and the use of APPR results as criteria for advancement of teachers and principals into “career ladder” roles where they can have more influence over, and impact on, student learning and educator effectiveness. With this RFP, NYSED encourages our STLE grantees and both current and former STLE districts, BOCES, or public charter schools and non-STLE districts, BOCES, or public charter schools to create partnerships with one or more principals and/or teacher leaders² on principal career pathways in order for the STLE principal(s) to disseminate successful innovations from the STLE program.

Through this funding opportunity, STLE districts must develop opportunities for non-STLE principals³ and/or teacher leaders on principal career pathways in both current and former STLE districts, BOCES, or public charter schools and non-STLE districts, BOCES, or public charter schools to learn from and receive the critical support necessary in order to facilitate stronger implementation of their Teacher and Leader Effectiveness (TLE) systems. Through this partnership, STLE grantees will have the ability to showcase their innovative work completed through the STLE cohorts, as well as create opportunities to share best practices for developing and implementing a comprehensive TLE system, including accompanying programs and initiatives, with teacher leaders, principals, districts, BOCES, and/or public charter schools that have not had the advantage of being involved with and/or awarded a STLE grant during Race to the Top.

Programs and initiatives funded under this RFP must be designed to support the TLE Continuum (as illustrated in Figure 1 and described below). Using this approach will allow districts, BOCES and/or public charter schools to use data from the TLE continuum, including the new educator evaluation

² NYSED understands that the term ‘teacher leader’ is used in a variety of ways across our districts, and that districts may use different and/or unique titles when referring to teacher leader positions in their schools. For the purposes of this RFP, ‘teacher leader’ is used to indicate a teacher who has taken on additional leadership roles and professional responsibilities that align with a potential pathway to principalship.

³ For purposes of this RFP, a “non-STLE principal” is defined as: 1) a principal in a district, BOCES or charter school that was not awarded a grant under STLE; and/or 2) a principal in a STLE district, BOCES, or charter school who has not and will not otherwise receive services, funding, and supports under the grantee's former or current STLE program.

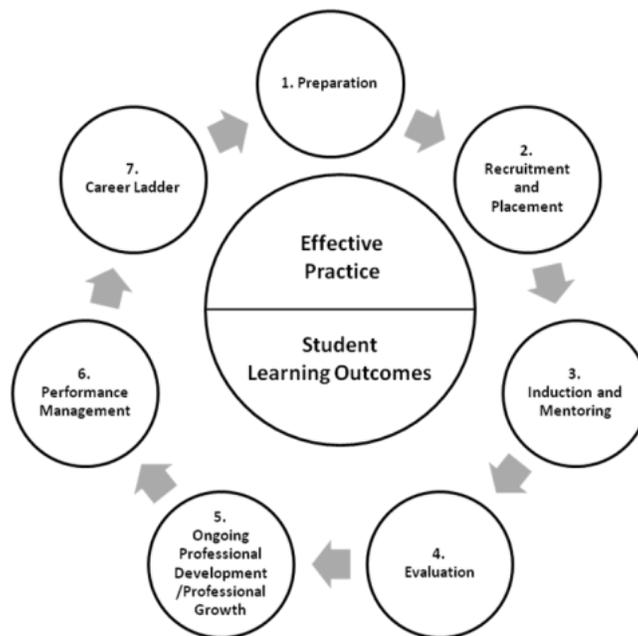
system and the career ladder, to continuously improve their ability to meet their needs for effective educators.

RFP Context

NYSED's original Race to the Top (RTTT) application envisioned supporting all aspects of the TLE continuum (see Figure 1 below) by awarding funds to districts and their partners to fund specific aspects of the TLE continuum. This RFP combines funds from other original RTTT projects and seeks to encourage and support districts, BOCES and/or public charter schools to develop TLE programs that specifically target the dissemination of effective principal practices and programs.

TLE Continuum:

Figure 1: TLE Continuum



*This graphic represents the TLE continuum recommended by the New York State Education Department.
(Adapted from: Heneman and Milanowski, 2007)*

As demonstrated by seminal research from Heneman and Milanowski (2007), in order to strengthen educator effectiveness at all levels, districts, BOCES and/or public charter schools should develop comprehensive strategies and management processes which utilize data to inform decision-making about educator practice and student learning. Within the context of a comprehensive TLE system, data about educator practice and student learning obtained from evaluation systems can help inform both district-wide and individual decisions around recruitment, development and retention of educators. For

the purposes of this RFP, NYSED includes the following components in a fully developed TLE continuum, and are applicable to both teachers and school leaders.

1. **Preparation** – Collaboration or formal partnership between the applicant and IHEs and/or other eligible partner.
2. **Recruitment and Placement** – Activities to attract educators to the district and the schools that need them.
3. **Induction and Mentoring** – Individualized support for new and early career educators to advance their professional practice and improve their ability to produce positive student outcomes.
4. **Evaluation** – The new APPR system based on Education Law §3012-c.
5. **Professional Development/Growth** – Differentiated ongoing support for teacher and/or leader effectiveness, based on evidence of practice and student learning.
6. **Performance Management** – Use of evaluation data in development and employment decisions.
7. **Career Ladder** – Opportunities for advancement for educators identified as highly effective or effective.

In order for an applicant to develop, implement, and support programs and initiatives that will allow for the dissemination of best practices for supporting the TLE continuum, the following are design principles for consideration:

- a common language to discuss effective teaching and leadership practices;
- articulated, clear expectations for effective teaching and leadership practices, based on the NYS Teaching Standards and ISLLC Standards;
- adequate training so the educators with career ladder positions are prepared for the roles that involve new duties and responsibilities;
- initial and on-going calibration regarding effective teaching and leadership practices for conducting observations and providing feedback; and
- a focus on “a high-performing district/school culture,” which may be defined as: all faculty and staff have high expectations for all students; all students, faculty, and staff are learners; all students, with the assistance of faculty, set appropriately challenging intellectual goals for themselves; everyone in a school building treats everyone else with courtesy, respect, and dignity; and treating everyone with courtesy, respect, and dignity is evident in each person’s behavior and has been incorporated into the building’s code of conduct.

For this RFP, NYSED will not mandate or create the specific duties and responsibilities of the partnership; rather, NYSED will offer STLE grantees the opportunity to provide TLE system support to their non-STLE colleagues, through the dissemination of promising and/or successful programs, initiatives and best practices.

The following chart includes sample program initiatives. These samples are hypothetical and illustrative only and are provided to assist STLE grantees considering applying for this grant. **Incorporating these examples into an applicant’s proposal does not guarantee or increase the likelihood of funding under this RFP.**

| Principal Partnership Activities |
|--|
| <p>Activities may include (but are not limited to):</p> <ul style="list-style-type: none"> • STLE principal supports a non-STLE principal in developing and implementing career ladders in their building • STLE principal mentors a non-STLE principal for the entire grant project who may be a first year principal and/or a principal who received an APPR rating that indicates they have areas that require specific growth and improvement • STLE principal provides professional development opportunities and conducts Professional Learning Communities (PLCs) through the use of technology (e.g., Skype, live webinars, website development for dissemination grant purposes) • External coach to provide supports to the STLE principal(s), non-STLE principal(s) and/or future principal(s) – either one-on-one or in a small group – in specific, need identified topics (e.g., evidence-based observations, Data Driven Instruction, Common Core, setting rigorous Student Learning Objectives [SLOs]) • Hosting or participating as a speaker at a conference with the specific focus on dissemination program initiatives • STLE principal to serve as a demonstration principal and/or lab site to model specific approaches to the development and/or implementation of TLE system initiatives |

FUNDING AND AWARDS

Background and Overview

NYSED recognizes that many districts, BOCES and/or public charter schools are in different stages of implementation of a fully developed TLE continuum. While most districts, BOCES and public charter schools are conducting discrete activities such as recruitment, professional development, and performance management, many have not yet integrated these activities into a comprehensive TLE continuum informed by data and with measurable goals.

During the summer of 2012, the Department announced The Strengthening Teacher and Leader Effectiveness (STLE) grant. STLE grants help districts take a comprehensive systems approach to the recruitment, development, support, retention and equitable distribution of great teachers and leaders as part of their implementation of the Annual Professional Performance Review (APPR) system required by Education Law §3012-c. Across three grant cohorts, school districts and local unions collaborated to

develop programs that focus on various elements of a strategically planned TLE continuum, including preparation, recruitment and placement, induction and mentoring, evaluation, ongoing professional development/professional growth, performance management and career ladders.

This RFP asks that STLE grantees create partnerships with any non-STLE principals and/or teacher leaders on principal career pathways in both current and former STLE districts, BOCES, or public charter schools and non-STLE districts, BOCES, or public charter schools to support the dissemination of effective practices and programs that are focused on principals and/or teacher leaders on principal career pathways. By sharing practices and programs that have been developed and proven promising and/or successful in STLE schools, STLE principals will be able to share their successful innovations in a collaborative endeavor with any designated partnership.

In addition, NYSED recognizes that some districts, BOCES, and public charter schools who received STLE funds in previous grant rounds may have principals and/or teachers on principal career pathways who are new to the district and/or who did not participate in the grant in previous rounds. In order to ensure that districts, BOCES, and public charter schools have the strongest possibilities for the dissemination of best practices for implementing a comprehensive TLE system, NYSED will accept applications from current and former STLE recipients to create partnerships between STLE-principals and those principals and/or teacher leaders on principal career pathways who have not and will not otherwise receive services, funding, and supports under the district's current or former STLE program. Districts, BOCES, and public charter schools who apply for STLE-D will have to sign the form in [Attachment V](#) that assures grant funds awarded through this RFP will not be used to supplant existing funding sources. Additionally, the applicant must make a compelling case for why it is important to receive additional funds to expand their STLE work more broadly throughout their district through the dissemination activities.

Allowable expenses

Funds may be used for projects that include, but are not limited to, the following:

- Replicating and/or adapting STLE initiatives focused on principal training and school leadership structures for principals and/or teacher leaders on principal career pathways. For example, an STLE grantee might use the funds to have a principal from their district partner with a peer district's principal to disseminate best practices in developing high-quality career pathways for teachers and school leaders, or best practices in strategies and approaches to coaching teachers on the use of assessment systems.
- Paying release time for principals and/or teacher leaders to be out of their buildings, designing and conducting principal training and technical assistance (TA) activities for principals and teachers in the partner schools.
- Stipends for work beyond regular duties for those participating in the dissemination activities (not to exceed \$30,000/stipend per individual).
- Rates and number of hours for consultants and/or stipends for employees (but must be reasonable, justifiable, and accompanied by a clear scope of services and/ or description of specific duties/activities).

- Grant Coordinator salary or stipend.
- Travel costs (limited to lodging and mileage) to conduct dissemination activities.
- Conference attendance (limited to lodging and mileage) related to the dissemination activities⁴, including NYSED regional convenings.

Please note: in addition to non-STLE principals and/or teacher leaders on principal career pathways in both current and former STLE districts, BOCES, or public charter schools and non-STLE districts, BOCES, or public charter schools, applicants may choose to work with third-party organizations that are not applicants or consortium members. Any work done with the following entities should be included in the applicant's proposal narrative and budget, as appropriate. If the applicant deems it necessary, the applicant should enter into a Memorandum of Understanding, contract, and/or agreement for this work; however these documents do not need to be included as part of this application (please note that an MOU is required with the application, if the applicant is applying as a consortium).

Third-party organizations that an applicant may work with include:

- Institutions of Higher Education
- Public School Districts
- BOCES
- Individual Public Schools, including Charter Schools
- Public School Districts or BOCES on behalf of their Teacher Centers subject to any limitations of Education Law §316
- Non-profit agencies/entities
- Other vendors

Award distribution:

Applicants' maximum grant requests will be based on the combined enrollment of the lead applicant and any district, BOCES or public charter school consortium members, for an award of \$125 per student, up to the maximum award amounts defined in the following table. For those applicants applying as a consortium, awards will be based on the combined enrollment of all consortium members. Consortia comprised of both districts and BOCES must count students enrolled in both the home district and BOCES **only once** to determine the number of students for award calculation. Districts and BOCES must certify, by signing the Mandatory Requirements Certification form, that students were counted only once. For those applicants applying individually, to expand their program within their district to non-STLE principals and/or teacher leaders on principal career ladder pathways, awards will be based on the enrollment of the individual applicant/STLE grantee. Please see the [Award Methodology](#) section of the RFP for additional information regarding the method of award.

⁴ While out-of-state travel is an allowable expense, applicants must provide in their applications a compelling justification that such travel is essential to achieve project goals.

| Total K-12 Student Enrollment for the combined STLE applicant and non-STLE partner(s) | STLE-D Maximum Award Amount |
|--|------------------------------------|
| Less than 1,000 K-12 Students | Up to \$125,000 |
| Between 1,001-2,000 K-12 Students | Up to \$250,000 |
| Between 2,001-4,000 K-12 Students | Up to \$500,000 |
| Between 4,001-8,000 K-12 Students | Up to \$1,000,000 |
| Greater than 8,000 K-12 Students | No more than \$1,500,000 |

Please note:

Eligible Applicants are individual STLE 1, 2 and 3 grantees (i.e., public school districts, public charter schools, and BOCES). This includes individual STLE grantees, consortium-leads, and consortium members. Please refer to [Appendix E](#) for a complete list of Eligible Applicants.

Eligible Applicants may apply individually or form a consortium with one or more STLE or non-STLE districts, public charter schools, and/or BOCE.S

- No applicant's (individual's or consortium's) maximum award may be greater than \$1,500,000
- See the [Award Methodology](#) section for additional information
- Final payment will be pending successful completion of the grant, including the submission of all required reports (please see the [Payments and Reporting](#) section below) and fulfillment of awardee responsibilities.

The following should be identified in the [Attachment I](#): Application Cover Page:

- A list of the consortium members, if applicable
- Total combined number of students enrolled in (both STLE and non-STLE) individual district/BOCES/charter school or consortium
- The total funding amount requested (based on the maximum award amounts listed in the table above, not to exceed \$1,500,000, please see the [Award Methodology](#) section for additional information)

Mandatory Requirements

1. A signed Application Cover Page ([Attachment I](#)) must be submitted with the application
2. A signed Mandatory Requirements Certification ([Attachment II](#)) must be submitted with the application

3. By signing the Mandatory Requirements Certification Form ([Attachment II](#)), applicants must certify that the STLE principal(s) chosen to complete STLE-D work is rated Highly Effective or Effective on their most recent, complete APPR⁵.
4. By signing the Mandatory Requirements Certification Form ([Attachment II](#)), consortia comprised of both districts and BOCES must certify that students enrolled in both the home district and BOCES were counted **only once** to determine the maximum request amount.
5. Assurance of Joint Commitment and Collaboration Form⁶ signed by the applicant and all associated collective bargaining agent(s) as specified in [Attachment III-A](#) for individual district/BOCES/public charter applications and [Attachment III-B](#) for consortium applications due to NYSED by September 23, 2014.
6. Consortium applicants must submit a Memorandum of Understanding (MOU), as specified in [Attachment IV](#), with their application. The lead applicant must submit one MOU that is signed by each consortium member.
7. All applicants must submit an Assurance of Funding Form ([Attachment V](#)) with the application, certifying that any and all funding provided through this application for the STLE-D Grant is supplemental to, and will not supplant or duplicate, any other funding source.

Prequalification Requirement

New York State has implemented a prequalification requirement for not for-profit entities. To be eligible to receive an award under this RFP, any individual applicant or consortium-lead that is a public charter school (BOCES and public school districts are exempt) must successfully complete the prequalification process prior to the execution of the contract. Please see additional information and instructions in [Appendix H](#).

Minority and Women-Owned Business Enterprise (M/WBE) Participation Goals Pursuant to Article 15-A of the New York State Executive Law

The following M/WBE requirements apply when an applicant submits an application for grant funding that exceeds \$25,000 for the full grant period.

All forms referenced here can be found in the M/WBE Documents in [Attachment VII](#).

All applicants are required to comply with NYSED's Minority and Women-Owned Business Enterprises (M/WBE) policy. Compliance can be achieved by one of the three methods described below. Full participation by meeting or exceeding the M/WBE participation goal for this grant is the preferred method.

⁵ Please note that the recently enacted safety net calculations do not impact the decisions made in connection to career pathways, performance compensation, or approved APPR plans, etc. The safety net ratings cannot be used in connection to the rewards, roles, or other grant-related designations found within your program.

⁶ For New York City, Chancellor Fariña's or her designee's signature is required in lieu of the Chief Administrative Officer (Superintendent); for public charter school LEAs, the Chief Administrative Office's title should be included (CEO, the Chair of the Board, etc.).

M/WBE participation includes services, materials, or supplies purchased from minority and women-owned firms certified with the NYS Division of Minority and Women Business Development. Not-for-profit agencies are not eligible for this certification. For additional information and a listing of currently certified M/WBEs, see

<https://ny.newnycontracts.com/FrontEnd/VendorSearchPublic.asp?TN=ny&XID=4687>

The M/WBE participation goal for this grant is 20% of each applicant's total discretionary non-personal service budget over the entire term of the grant. Discretionary non-personal service budget is defined as total budget, excluding the sum of funds budgeted for:

1. direct personal services (i.e., professional and support staff salaries) and fringe benefits; and
2. rent, lease, utilities and indirect costs, if these items are allowable expenditures.

For multi-year grants, applicants should use the total budget for the full multi-year term of the grants in the above calculation. The M/WBE Goal Calculation Worksheet is provided for use in calculating the dollar amount of the M/WBE goal for this grant application.

M/WBE participation does not need to be the same for each year of a multi-year grant.

All requested information and documentation should be provided at the time of submission. If this cannot be done, the applicant will have thirty days from the date of notice of award to submit the necessary documents and respond satisfactorily to any follow-up questions from the Department. Failure to do so may result in loss of funding.

METHODS TO COMPLY

An applicant can comply with NYSED's M/WBE policy by one of three methods:

- 1. Full Participation** - This is the preferred method of compliance. Full participation is achieved when an applicant meets or exceeds the participation goals for this grant.

COMPLETE FORMS:

M/WBE Goal Calculation Worksheet
M/WBE Cover Letter
M/WBE 100 Utilization Plan
M/WBE 102 Notice of Intent to Participate

- 2. Partial Participation, Partial Request for Waiver** - This is acceptable only if good faith efforts to achieve full participation are made and documented, but full participation is not possible.

COMPLETE FORMS:

M/WBE Goal Calculation Worksheet
M/WBE Cover Letter
M/WBE 100 Utilization Plan
M/WBE 101 Request for Waiver
M/WBE 102 Notice of Intent to Participate

M/WBE 105 Contractor's Good Faith Efforts

3. No Participation, Request for Complete Waiver - This is acceptable only if good faith efforts to achieve full or partial participation are made and documented, but do not result in any participation by M/WBE firm(s).

COMPLETE FORMS:

M/WBE Goal Calculation Worksheet

M/WBE Cover Letter

M/WBE 101 Request for Waiver

M/WBE 105 Contractor's Good Faith Efforts

GOOD FAITH EFFORTS

Applicants must make a good faith effort to solicit NYS certified M/WBE firms as subcontractors and/or suppliers to achieve the goals for this grant. Solicitations may include, but are not limited to: advertisements in minority and women-centered publications; solicitation of vendors found in the NYS Directory of Certified Minority and Women-Owned Business Enterprises (see <https://ny.newnycontracts.com/FrontEnd/VendorSearchPublic.asp?TN=ny&XID=4687>); and the solicitation of minority and women-oriented trade and labor organizations.

Good faith efforts include actions such as setting up meetings or announcements to make M/WBEs aware of supplier and subcontracting opportunities, identifying logical areas of the grant project that could be subcontracted to M/WBE firms, and utilizing all current lists of M/WBEs who are available for and may be interested in subcontracting or supplying goods for the project.

Applicants should document their efforts to comply with the stated M/WBE goals and submit this with their applications as evidence. Examples of acceptable documentation can be found in form M/WBE 105, Contractor's Good Faith Efforts. NYSED reserves the right to reject any application for failure to document "good faith efforts."

REQUEST FOR WAIVER

When full participation cannot be achieved, applicants must submit a Request for Waiver (M/WBE 101). Requests for Waivers must be accompanied by documentation explaining the good faith efforts made and reasons they were unsuccessful in obtaining M/WBE participation.

NYSED reserves the right to approve the addition or deletion of subcontractors or suppliers to enable applicants to comply with the M/WBE goals, provided such addition or deletion does not impact the technical proposal and/or increase the total budget.

All payments to Minority and Women-Owned Business Enterprise subcontractor(s) should be reported to the NYSED M/WBE Program Unit using the M/WBE 103 Quarterly M/WBE Compliance Report. This report should be submitted on a quarterly basis and can be found at

www.oms.nysed.gov/fiscal/MWBE/forms.html.

NYSED's M/WBE Coordinator is available to assist applicants in meeting the M/WBE goals. The Coordinator can be reached at MWBE@mail.nysed.gov.

Equal Employment Opportunity Reporting (EEO) Pursuant to Article 15-A of the New York State Executive Law

Applicants must complete and submit form EEO 100: Staffing Plan.

ELEMENTS OF THE PROPOSAL

Applicants will include a Proposal Narrative, and all applicable attachments, for Sections A-C (see [Application Instructions](#) for formatting guidelines) as detailed below.

Please be sure to review the following appendices for additional guidance and information:

- [Appendix B](#): Goals and Measurable Outcomes
- [Appendix C](#): Workplan/Timeline
- [Appendix D](#): Sample Dissemination Activities
- [Appendix E](#): STLE 1, 2, and 3 Grantees/Eligible STLE-D Applicants
- [Appendix F](#): Scoring Rubrics
- [Appendix G](#): NYSED Consortium Policy for State and Federal Discretionary Grant Programs
- [Appendix H](#): Prequalification Application for Grants Reform (requirement for public charter schools **only**)
- [Appendix I](#): Additional Resources

As previously mentioned, this RFP puts special emphasis on STLE principals providing non-STLE principals and/or teacher leaders on principal career pathways with TLE system support through the dissemination of promising and/or successful programs, initiatives and best practices. Please address these issues as relevant throughout your proposal, taking the [scoring rubrics](#) into consideration.

Section A: Dissemination Activities and Justification (50 points)

(4-8 pages)

The overarching purpose of Section A of the proposal narrative is to clearly and comprehensively detail the following:

- the partnership between an STLE-principal and non-STLE principal(s), or teacher leader(s) on a career pathway, the applicant intends to implement;
- all activities deemed necessary to complete implementation of the partnership; and

- the current stage of the TLE system within both current and former STLE districts, BOCES, or public charter schools and non-STLE districts, BOCES, or public charter schools, as applicable.

Include the following in Section A of the Proposal Narrative (charts/graphs may be included as necessary):

A1. Relevant Background Information:

Please include both qualitative and quantitative information regarding the size, grade levels, student composition, staff and any other information necessary to understand the partnering current and former STLE district(s), BOCES, or public charter school and/or non-STLE districts, BOCES, or public charter schools as a whole, as applicable. This should include any staffing challenges, as well as results of student testing and details about the community both in and out of the school(s). In addition, information should be provided as to why forming a partnership between the STLE principal and non-STLE principals and/or teacher leaders on principal career pathways is needed in order to support the development of a comprehensive TLE system. This should include the status/stage of development of the current career ladder in all participating districts/charter schools/BOCES as well as all other TLE system components.

A2. Program Description, Justification, and Overview:

Applicant should provide a general overview of the program to be funded through STLE-D. STLE grantees should include information regarding practices that have led to documented results and represent a product or service that can be shared with their partnering principal(s), Teacher Leader(s), district(s), BOCES, or public charter school(s).

Please detail ways in which dissemination funds will assist the STLE grantee applicant in disseminating their successful innovations and best practices to non-STLE principals and/or teacher leaders on principal career pathways. Provide detail on how the partnership is designed to support the dissemination of effective practices and programs, focused on principals that are promising and/or successful in STLE schools, and will allow for our STLE grantees to share their successful innovations in a collaborative endeavor with their partner(s).

Further, applicants must demonstrate the practices and innovations they seek to share with partner(s) are effective, using both qualitative and quantitative data from their STLE initiatives, and worthy of replication and dissemination. Please review [Appendix B](#), which may be used as a template, if appropriate for the applicant.

If the applicant is a current or former STLE recipient seeking to create partnerships within their own district between STLE-principals and those principals and/or teacher leaders on principal career pathways who have not and will not otherwise receive services, funding, and supports under the district's current or former STLE program, the applicant must make a compelling case for why it is

important to receive additional funds to expand their STLE work deeper within their district through the dissemination activities.

A3. Dissemination Activities for TLE System Implementation and Support:

Please detail activities necessary to implement dissemination between the STLE and the non-STLE principals and/or teacher leaders on principal career pathways. These activities may include, but are not limited to, training, professional development, stipends (not to exceed \$30,000/stipend per individual). All proposed activities must be explained and justified in the context of the STLE and non-STLE district's, BOCES', or public charter school's relevant background information, current state of TLE continuum, and the support the STLE grantee can provide.

In order for an applicant to develop, implement, and support programs and initiatives that will allow for the dissemination of best practices for implementing a comprehensive TLE system, the following are design principles for consideration:

- a common language to discuss effective teaching and leadership practices;
- articulated, clear expectations for effective teaching and leadership practices, based on the NYS Teaching Standards and ISLLC Standards;
- adequate training so the educators with career ladder positions are prepared for the roles that involve new duties and responsibilities;
- initial and on-going calibration regarding effective teaching and leadership practices for conducting observations and providing feedback; and
- a focus on "a high-performing district/school culture," which may be defined as: all faculty and staff have high expectations for all students; all students, faculty, and staff are learners; all students, with the assistance of faculty, set appropriately challenging intellectual goals for themselves; everyone in a school building treats everyone else with courtesy, respect, and dignity; and treating everyone with courtesy, respect, and dignity is evident in each person's behavior and has been incorporated into the building's code of conduct.

Section B: Dissemination Support Summary (30 points)

(4-8 pages)

The overarching purpose of Section B of the proposal narrative is to detail the program's communication plan, the workplan/timeline, the overall goals and measurable outcomes, and organizational capacity for the applicant's dissemination activities.

Include the following in Section B of the Proposal Narrative (charts/graphs may be included as necessary):

B1. Communication Plan

Please include a communication plan that clearly explains how and when the dissemination programs and activities will be discussed with all relevant stakeholders. This should include, for the entire grant period, dates of communication and presenter(s), audience for communication (e.g., “community at large” stakeholders, such as teachers, principals, and superintendent), form of communication, and key content of communication.

B2. Workplan/Timeline

Please include a realistic and rational workplan/timeline that includes the steps needed for implementation and identify the staff or outside resources who will lead the proposed work. This must be included in detail for the entire grant period. If appropriate, general next steps that extend beyond the life of the grant may be noted. The applicant may begin implementing dissemination programs and activities beginning, November 1, 2014 through June 30, 2015. Please review [Appendix C](#), which may be used as a template, if appropriate for the applicant.

B3. Overall Goals and Measurable Outcomes

In order to better develop dissemination programs and activities and determine if they are successful or not, there should be overarching goals and corresponding measurable outcomes to be achieved in order to accomplish the goals. These overarching goals and measurable outcomes should be provided with a rationale that connects to the relevant background information provided, baseline data and takes into account the needs of the non-STLE principals and/or teacher leaders on principal career pathways. Further, applicants must demonstrate the practices and innovations they seek to share with partner(s) are effective, using both qualitative and quantitative data from their STLE initiatives, and worthy of replication and dissemination. The goals and measurable outcomes included should be accomplished by the end of the grant period and will be the measure by which NYSED determines the success of the program. However, applicants are encouraged to include additional goals and measurable outcomes that extend beyond the grant period to support sustainability of their proposed initiatives. Please review [Appendix B](#), which may be used as a template, if appropriate for the applicant.

B4. Evidence of applicant capacity

In order to qualify for funding, applicants should describe their own organizational capacity, and the capacity of any consortium members, to undertake the work to be funded through this RFP (and the organizational capacity of consortium members if applying as a consortium). Within this section, the applicant should describe how the program funded under this RFP will be monitored and coordinated, as well as how the applicant would make any mid-course corrections required to meet the deliverables and ensure results.

Note to Consortium Applicants:

A consortium applicant should submit all of the above specified information as it pertains to all consortium members.

Section C: Budget Forms and Narrative (20 points)

Please check for calculation accuracy in all budget forms. Inaccurate calculations and/or discrepancies between forms will adversely affect the scoring of this section.

Any unallowable or inappropriate expenses that are included in the budget will be eliminated and budgets will be scored accordingly.

FS-10: Complete one FS-10 (Proposed Budget for a Federal or State Project) form for the project period covering November 1, 2014-June 30, 2015. The most current form is available online at:

<http://www.oms.nysed.gov/cafe/forms/>.

Budget Narrative:

Complete [Attachment VI](#): Budget Narrative. This must detail and justify the funding request under this RFP, including all proposed expenditures and indicate the basis of calculation for each cost during the project period, and illustrate how the proposed expenditures align with the proposal's initiatives and goals. If applicable, include a detailed description of any other funding streams/contributions related to the proposed dissemination activities. **Please note: if stipends are included in your budget narrative, they may not exceed \$30,000/stipend per individual.** Additionally, while already existing dissemination programs and/or activities may be included in the description, funding from this grant cannot supplant or duplicate positions and/or activities already funded through other sources. Additional sections/charts may be added as needed to provide all necessary information.

For each proposed expenditure, be sure to include the following in [Attachment VI](#):

- All proposed expenditures are included and the calculations and amounts match the FS-10
- Provide all information in a manner that will allow reviewers to clearly understand the basis of calculation for each proposed expenditure, as well as why the proposed expenditure is appropriate, reasonable and necessary.
- Demonstrate that the proposed expenditures are supplemental and do not supplant or duplicate services currently provided.
- If applicable, include a description of any other sources of funds (within and outside the district/school).
- Indicate, for each proposed expenditure, the total funding amount requested and the code under which it applies:

Code 15: Professional Salaries
Code 40: Purchased Services
Code 46: Travel
Code 90: Indirect Costs
Code 30: Minor Remodeling

Code 16: Support Staff Salaries
Code 45: Supplies & Materials
Code 80: Employee Benefits
Code 49: BOCES Services
Code 20: Equipment

Note to Consortium Applicants:

Consortiums should provide all of the information requested above. The lead applicant will serve as the fiscal agent for the grant and, as such, the above must be completed only by the lead applicant, in consultation with all consortium members. Budget items should include all project income and expenses for all consortium members, identifying individual members as appropriate. *Consortium applications should demonstrate in the budget narrative that the lead applicant will not act solely as a flow-through for grant funds and that a minimum of 20% of the dissemination funding will directly support the activities of the lead consortium applicant.*

Budget Guidance:

Information about the categories of expenditures, general information on allowable costs and applicable federal costs principles and administrative regulations are available in the [Fiscal Guidelines for Federal and State Aided Grants](#).

The totals from each of the Budget Category Forms must correspond to amounts shown on the Budget Summary Form (FS-10). Please be sure to check your math.

Only equipment items with a unit cost that equals or exceeds \$5,000 should be included under Equipment, Code 20. Equipment items under \$5,000 should be included under Supplies and Materials, Code 45.

APPLICATION ACCEPTANCE AND PROCESSING

Application Review and Scoring

Upon receipt, each application will be reviewed for all mandatory requirements at the time of submission. Upon determination that the mandatory requirements have been met, the application will be reviewed. **If a proposal does not meet all of the mandatory requirements, it will be rejected as non-responsive and will not be reviewed.**

Applicants will be scored on the basis of 100 possible points from reviewers: 50 points for Section A (Dissemination Activities and Justification), 30 points for Section B (Dissemination Support Summary) and 20 points for Section C (Budget Forms and Narrative). Proposals must receive a minimum average score of 60 points out of 100 points in order to be eligible for an award.

All proposals will be reviewed by two reviewers and the scores will be averaged. If there is a score discrepancy greater than 20 points, the proposal will be read by a third reviewer. The two closest scores will be used and averaged unless the third reviewer score is equidistant from the others, in which case the third reviewer score will be solely used.

Award Methodology

All applicants will be scored and then listed in a statewide rank order. The highest scoring applications will be awarded until there are insufficient funds to award the next ranked applicant in full.

If there are remaining funds that are insufficient to fund the next ranked applicant in full, the next ranked applicant will be given the opportunity to operate a smaller program using the remaining funds.

In the event of a tie score, the applicant with the highest score for Section A (Dissemination Activities and Justification), will be ranked higher.

Debriefing Procedures

All applicants may request a debriefing within five (5) business days of receiving notice of non-award from NYSED. Applicants may request a debriefing on the selection process regarding this grant by mailing the request to:

NYS Education Department
Contract Administration Unit, RFP # GT-24
89 Washington Avenue
Room 501W EB
Albany, NY 12234

In response to a request for a debriefing letter, a summary of the strengths and weaknesses of the application will be emailed to the superintendent or chancellor within fifteen (15) business days.

Award Protest Procedures

Applicants that receive a debriefing may protest the NYSED award decision subject to the following:

1. The protest must be in writing and must contain specific factual and/or legal allegations setting forth the basis on which the protesting party challenges the contract award by NYSED.
2. The protest must be filed by the applicant within ten (10) business days of receipt of the notice of the written debriefing letter. The protest letter must be filed with:

NYS Education Department
Contract Administration Unit, RFP # GT-24
89 Washington Avenue
Room 501W EB
Albany, NY 12234

3. The NYSED Contract Administration Unit (CAU) will convene a review team that will include at least one staff member from each of NYSED's Office of Counsel, CAU, and the Program Office. The review team will review and consider the merits of the protest and will decide whether the protest is approved or denied. Counsel's Office will provide the applicant with written

notification of the review team’s decision within seven (7) business days of the receipt of the protest. The original protest and decision will be filed with Office of the State Comptroller (OSC) when the contract procurement record is submitted for approval and CAU will advise OSC that a protest was filed.

4. The NYSED Contract Administration Unit (CAU) may summarily deny a protest that fails to contain specific factual or legal allegations, or where the protest only raises issues of law that have already been decided by the courts.

The New York State Education Department reserves the right to reject all proposals received or cancel this RFP if it is in the best interest of the Department.

Winning Applicants’ Responsibility

Projects must operate under the jurisdiction of the local board of education, or other appropriate governing body, and are subject to at least the same degree of accountability as all other expenditures of the local agency. The local board of education, or other appropriate governing body, is responsible for the proper disbursement of, and accounting for project funds. Written agency policy concerning wages, mileage and travel allowances, overtime compensation, or fringe benefits, as well as State rules pertaining to competitive bidding, safety regulations and inventory control must be followed.

Supporting or source documents are required for all grant related transactions entered into the local agency’s recordkeeping systems. Source documents that authorize the disbursement of grant funds consist of purchase orders, contracts, time and effort records, delivery receipts, vendor invoices, travel documentation and payment documents.

Supporting documentation for grants and grant contracts must be kept for at least six years after the last payment was made unless otherwise specified by program requirements. Additionally, audit or litigation will “freeze the clock” for records retention purposes until the issue is resolved. All records and documentation must be available for inspection by State Education Department officials or its representatives.

For additional information about grants, please refer to the Fiscal Guidelines for Federal and State Aided Grants, <http://www.oms.nysed.gov/cafe/guidance/>.

Payments and Reporting

1. **An Interim Report will be required on or before February 20, 2015.**
2. **A Final Report will be required on or before July 15, 2015** for activities conducted November 1, 2014 through June 30, 2015.
3. As a condition of receiving awards for the STLE-D grant, applicants (both the lead applicant and any consortium members must agree to participate in a research study conducted by NYSED

that will evaluate the efficacy of the proposed dissemination program compared with non-participating individuals, schools, and/or programs within the applicant districts, BOCES, or public charter schools both during and following the grant period.

4. The NYSED Program Office will distribute reporting forms to school districts at least 30 days prior to report dates.
5. In addition, applicants will be required to submit a quarterly performance report through the online survey system called the Monitoring & Vendor Performance System (MVPS). Where applicable, the consortium lead will be responsible for consolidating and reporting for all component districts. The MVPS captures contract status and performance objectives of Race to the Top funded projects. Each performance report must demonstrate that substantial progress has been made toward meeting the project goals and measurable outcomes, as indicated in the applicant's work plan and/or timeline. The performance report should provide an overview of what was proposed for the year and what actually happened, including the lessons learned during the process.
6. Payments are generated by the submission of an FS-25: Request for Funds for a Federal or State Project form. Requests for Interim Payments may only represent actual expenditures. All FS-25's must be submitted directly to the State Education Department Grants Finance Unit at the address listed on the form for payment.
7. A final payment for the balance of the grant term (no less than 10%) will be made after an FS-10-F: Final Expenditure Report for a State or Federal Project is submitted to the Grants Finance Unit and approved. The FS-10 is due in the Grants Finance Unit no later than 30 days after the end of the grant term.
8. Failure to provide required reports when requested may result in a stop payment on future payments and jeopardize future awards until the situation has been resolved to the satisfaction of the NYSED.

Electronic Processing of Payments

In accordance with a directive dated January 22, 2010 by the Director of State Operations - Office of Taxpayer Accountability, all state agency contracts, grants, and purchase orders executed after February 28, 2010 shall contain a provision requiring that contractors and grantees accept electronic payments. Additional information and authorization forms are available at the State Comptroller's website at <http://www.osc.state.ny.us/epay/index.htm>.

Vendor Responsibility

State law requires that the award of state contracts be made to responsible vendors. Before an award is made to a not-for-profit entity, a for-profit entity, a private college or university or a public entity not exempted by the Office of the State Comptroller, NYSED must make an affirmative responsibility determination. The factors to be considered include: legal authority to do business in New York State; integrity; capacity- both organizational and financial; and previous performance. Before an award of \$100,000 or greater can be made to a covered entity, the entity will be required to complete and submit a

Vendor Responsibility Questionnaire. School districts, Charter Schools, BOCES, public colleges and universities, public libraries, and the Research Foundation for SUNY and CUNY are some of the exempt entities. For a complete list, see: http://www.osc.state.ny.us/vendrep/resources_docreq_agency.htm.

NYSED recommends that vendors file the required Vendor Responsibility Questionnaire online via the New York State VendRep System. To enroll in and use the New York State VendRep System, see the VendRep System Instructions available at http://www.osc.state.ny.us/vendrep/vendor_index.htm or go directly to the VendRep System online at <https://portal.osc.state.ny.us/>.

Vendors must provide their New York State Vendor Identification Number when enrolling. To request assignment of a Vendor ID or for VendRep System assistance, contact the Office of the State Comptroller's Help Desk at 866-370-4672 or 518-408-4672 or by email at ciohelpdesk@osc.state.ny.us.

Vendors opting to complete and submit a paper questionnaire can obtain the appropriate questionnaire from the VendRep website <http://www.osc.state.ny.us/vendrep/> or may contact NYSED or the Office of the State Comptroller's Help Desk for a copy of the paper form.

Subcontractors:

For vendors using subcontractors, a Vendor Responsibility Questionnaire and a NYSED vendor responsibility review are required for a subcontractor where:

- the subcontractor is known at the time of the contract award;
- the subcontractor is not an entity that is exempt from reporting by OSC; and
- the subcontract will equal or exceed \$100,000 over the life of the contract

Workers' Compensation Coverage and Debarment

New York State Workers' Compensation Law (WCL) has specific coverage requirements for businesses contracting with New York State and additional requirements which provide for the debarment of vendors that violate certain sections of WCL. The WCL requires, and has required since introduction of the law in 1922, the heads of all municipal and State entities to ensure that businesses have appropriate workers' compensation and disability benefits insurance coverage prior to issuing any permits or licenses, or prior to entering into contracts.

Workers' compensation requirements are covered by WCL Section 57, while disability benefits are covered by WCL Section 220(8). The Workers' Compensation Benefits clause in Appendix A – STANDARD CLAUSES FOR NEW YORK STATE CONTRACTS states that in accordance with Section 142 of the State Finance Law, a contract shall be void and of no force and effect unless the contractor provides and maintains coverage during the life of the contract for the benefit of such employees as are required to be covered by the provisions of the WCL.

Under provisions of the 2007 Workers' Compensation Reform Legislation (WCL Section 141-b), any person, or entity substantially owned by that person: subject to a final assessment of civil fines or penalties, subject to a stop-work order, or convicted of a misdemeanor for violation of Workers'

Compensation laws Section 52 or 131, is barred from bidding on, or being awarded, any public work contract or subcontract with the State, any municipal corporation or public body for one year for each violation. The ban is five years for each felony conviction.

PROOF OF COVERAGE REQUIREMENTS

The Workers' Compensation Board has developed several forms to assist State contracting entities in ensuring that businesses have the appropriate workers' compensation and disability insurance coverage as required by Sections 57 and 220(8) of the WCL.

Please note – an ACORD form is not acceptable proof of New York State workers' compensation or disability benefits insurance coverage.

Proof of Workers' Compensation Coverage

To comply with coverage provisions of the WCL, the Workers' Compensation Board requires that a business seeking to enter into a State contract submit appropriate proof of coverage to the State contracting entity issuing the contract. For each new contract or contract renewal, the contracting entity must obtain ONE of the following forms from the contractor and submit to OSC to prove the contractor has appropriate workers' compensation insurance coverage:

- Form C-105.2 – Certificate of Workers' Compensation Insurance issued by private insurance carriers, or Form U-26.3 issued by the State Insurance Fund; or
- Form SI-12– Certificate of Workers' Compensation Self-Insurance; or Form GSI-105.2 Certificate of Participation in Workers' Compensation Group Self-Insurance; or
- CE-200– Certificate of Attestation of Exemption from NYS Workers' Compensation and/or Disability Benefits Coverage.

Proof of Disability Benefits Coverage

To comply with coverage provisions of the WCL regarding disability benefits, the Workers' Compensation Board requires that a business seeking to enter into a State contract must submit appropriate proof of coverage to the State contracting entity issuing the contract. For each new contract or contract renewal, the contracting entity must obtain ONE of the following forms from the contractor and submit to OSC to prove the contractor has appropriate disability benefits insurance coverage:

- Form DB-120.1 - Certificate of Disability Benefits Insurance; or
- Form DB-155- Certificate of Disability Benefits Self-Insurance; or
- CE-200– Certificate of Attestation of Exemption from New York State Workers' Compensation and/or Disability Benefits Coverage.

For additional information regarding workers' compensation and disability benefits requirements, please refer to the New York State Workers' Compensation Board website at: <http://www.wcb.ny.gov/content/main/Employers/busPermits.jsp>. Alternatively, questions relating to

either workers' compensation or disability benefits coverage should be directed to the NYS Workers' Compensation Board, Bureau of Compliance at (518) 486-6307.

Registration In Federal System for Award Management (SAM)

In order to be awarded federal funds, an agency must be registered (and then maintain a current registration) in the federal System for Award Management known as SAM (<http://www.sam.gov>). SAM is a government-wide, web-enabled database that collects, validates, stores and disseminates business information about organizations receiving federal funds. Information on an agency's registration in SAM needs to be provided on the Payee Information Form that must be submitted with the application.

Payee Information Form/NYSED Substitute W-9 Form

The Payee Information Form is a packet consisting of the Payee Information Form itself and an accompanying form known as the NYSED Substitute W-9 Form. The NYSED Substitute W-9 form may or may not be needed from your agency.

The Payee Information Form is used to establish the identity of applicant organizations and enables them to receive funds from the NYSED. An online version is available at

<http://www.oms.nysed.gov/cafe/forms/PIform.pdf>.

APPLICATION INSTRUCTIONS

Please adhere to the following instructions.

Required Signature(s)

The **original signature** of the Superintendent/Chancellor must appear on the Application Cover Page.

Please note: NYSED will only communicate with the contacts provided in the Application Cover Page.

Application Checklist

Please use the [application checklist](#) to ensure your application is submitted in the correct order and is complete.

Mandatory Requirements Certification

Please complete and sign [Attachment II: Mandatory Requirements Certification](#). Applicants must submit this certification in order to be considered for funding. Proposals that do not include the signed Mandatory Requirements Certification will be disqualified and removed from further consideration.

Page Standards

The proposal narrative should follow these standards:

- A page is 8.5"x11" with one-inch margins (top, bottom, and sides). Charts/tables are not required to adhere to this standard.
- Double space all text in the proposal narrative; double space between titles, headings, footnotes, quotations, references, and captions, as well as all text in charts, figures, and graphs, unless not possible due to the formatting of the template.
- Each section of the proposal narrative should be clearly titled.
- Include page numbers.
- Each page should include a header with the applicant's name.

Submission

Submit one (1) original signed application and four (4) copies of the application (in the format described in RFP) labeled- RFP #GT-24, along with one (1) CD or flash drive containing a copy of the signed application in Microsoft Word (.doc) format or portable document format (.pdf). Include all relevant appendices and required attachments on the CD or flash drive.

The mailing address for all the above documentation is:

NYS Education Department
Bureau of Fiscal Management
Contract Administration Unit
89 Washington Avenue, Room 501W EB
Albany, NY 12234
ATTN: Nell Brady RFP # GT-24

Applicants are responsible for making sure the application package is complete and in the correct order based on the included Application Checklist. All materials, as detailed in the RFP, must be received by August 29, 2014. Hand delivered applications must be received at the Contracts Administration Unit office by 5:00 p.m. on or before August 29, 2014. Applications not received by August 29, 2014 will not be accepted for review. The Assurance of Joint Commitment and Collaboration Form for Individual Applicants [Attachment III-A](#) or the Assurance of Joint Commitment and Collaboration Form for Consortium Applicants [Attachment III-B](#) must be received by September 23, 2014. Hand delivered Assurance of Joint Commitment and Collaboration Forms must be received at the Contracts Administration Unit office by 5:00 p.m. on or before September 23, 2014.

(The full application as well as the Assurance of Joint Commitment and Collaboration Form, if submitted separately, must be mailed. Facsimile copies of the proposals will NOT be accepted.)

ATTACHMENTS

| | |
|---|----|
| Attachment I: Application Cover Page..... | 30 |
| Attachment II: Mandatory Requirements Certification..... | 31 |
| Attachment III-A: Assurance of Joint Commitment and Collaboration Form for Individual Applicants..... | 32 |
| Attachment III-B: Assurance of Joint Commitment and Collaboration Form for Consortium Applicants..... | 34 |
| Attachment IV: MOU | 37 |
| Attachment V: Assurance of Funding Form..... | 39 |
| Attachment VI: Budget Narrative | 40 |
| Attachment VII: M/WBE Documents | 42 |
| Attachment VIII: Application Checklist | 52 |

Attachment I: Application Cover Page

For Competitive Grant Program

Strengthening Teacher and Leader Effectiveness Dissemination Grant: Principal Leadership

Request for Proposals #GT-24

Please refer to the Application Instructions for detailed information about completing this page and the other required components. Please note: the applicant should include **two** program contacts for the grant.

DISTRICT BEDS CODE

| | | | | | | | | | | | | |
|--|--|--|--|--|--|--|--|--|--|--|--|--|
| | | | | | | | | | | | | |
|--|--|--|--|--|--|--|--|--|--|--|--|--|

| | | | |
|---|--|---|---|
| Applicant Name: | | | |
| Employer's Federal Tax ID Number: (charter schools only) | | NYS Vendor ID: (charter schools only) | |
| Address: | | | |
| City: | | Zip Code: | |
| Consortium members (if applicable): | | | |
| Main Program Contact: | | Alternate Program Contact: | |
| Title: | | Title: | |
| Organization: | | Organization: | |
| Telephone: | | Telephone: | |
| Fax: | | Fax: | |
| Email: | | Email: | |
| Please indicate your applicant status: <input type="checkbox"/> Individual Applicant <input type="checkbox"/> Consortium Applicant | Total combined number of students of lead applicant and/or partnership/consortium: | | Total Funding Amount Requested: (Not to exceed \$1,500,000) |
| County of the Lead applicant: | | | |
| <p>I hereby certify that I am the applicant's chief school/administrative officer and that the information contained in this application is, to the best of my knowledge, complete and accurate. I further certify, to the best of my knowledge, that any ensuing program and activity will be conducted in accordance with all applicable Federal and State laws and regulations, application guidelines and instructions, Assurances, Certifications, and that the requested budget amounts are necessary for the implementation of this project. It is understood by the applicant that this application constitutes an offer and, if accepted by the NYS Education Department or renegotiated to acceptance, will form a binding agreement. It is also understood by the applicant that immediate written notice will be provided to the grant program office if at any time the applicant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.</p> | | | |
| Authorized Signature | | Title (Chief School/ Administrative Officer) | |
| Typed Name: | | Date: | |
| Phone number: | | Email address: | |

Attachment II: Mandatory Requirements Certification

By signing this form, the undersigned certifies it can provide and/or meet the mandatory requirements listed below and outlined in the RFP.

| Certification for (Insert Applicant Name) | | | |
|--|--|--------------------------|--------------------------|
| Mandatory Requirement | Explanation | Included in application? | |
| Application Cover Page: Attachment I | <ul style="list-style-type: none"> Signed Attachment I | Yes | <input type="checkbox"/> |
| Mandatory Requirements Certification: Attachment II | <ul style="list-style-type: none"> Signed to certify that the application meets all mandatory requirements. | Yes | <input type="checkbox"/> |
| Memorandum(s) of Understanding (MOU): Attachment IV | <ul style="list-style-type: none"> For consortium applicants only: An MOU between the lead applicant and each consortium member must be completed, signed and submitted. | Yes | <input type="checkbox"/> |
| Assurance of Funding: Attachment V | <ul style="list-style-type: none"> Signed Attachment V, certifying that STLE-D grant funding is supplemental to, and does not supplant, other funding sources. | Yes | <input type="checkbox"/> |
| Assurance of Joint Commitment and Collaboration Form: Attachment III | <ul style="list-style-type: none"> Must be submitted with all necessary original signatures (applicant and applicable collective bargaining agents) by September 23, 2014 Must be submitted using Attachment III (III-A for individual applicant/partner applications and III-B for consortium applications) by September 23, 2014 | | |
| Certification Regarding STLE Principal APPR rating | <ul style="list-style-type: none"> By signing the Mandatory Requirements Certification Form, applicants certify that the STLE principal(s) chosen to complete STLE-D work is rated Highly Effective or Effective on their most recent, complete APPR⁷. | | |
| Certification Regarding BOCES/District Consortium Student Counting | <ul style="list-style-type: none"> By signing the Mandatory Requirements Certification Form, consortia comprised of districts and BOCES certify that students enrolled in both the home district and BOCES have been counted only once to determine the number of students for award calculation. | | |

| Certification for (Insert Lead Applicant Name) | |
|---|------|
| Authorized Signature | Date |
| Type or print name | |

⁷ Please note that the recently enacted safety net calculations do not impact the decisions made in connection to career pathways, performance compensation, or approved APPR plans, etc. The safety net ratings cannot be used in connection to the rewards, roles, or other grant-related designations found within your program.

Attachment III-A: Assurance of Joint Commitment and Collaboration Form for Individual Applicants (due by September 23, 2014)

By signing this document, the applicant certifies as follows:

1. The governing body of the has adopted an Annual Professional Performance Review (APPR) plan for all of its classroom teachers and building principals, in full accordance with the requirements of Education Law §3012-c and Subpart 30-2 of the Rules of the Board of Regents.
 2. For charter school and/or BOCES: We understand that if the Commissioner does not approve a charter school or BOCES member's APPR plan(s) by the Strengthening Teacher and Leader Effectiveness Dissemination Grant (STLE-D) RFP deadline (August 29, 2014), this application will be rejected and the partnership will not receive funding under the STLE-D RFP.
 3. To receive and maintain funding under STLE-D, the STLE must continuously implement their APPR plan approved by the Department for all principals and teachers in the district for the entire grant period (November 1, 2014 – June 30, 2015). If a district is found by the Department to not be implementing their approved APPR plan during the course of the grant period, the result for the district will be a risk of these funds.
- For purposes of this grant, pursuant to Education Law §3012-c(2)(l), if an APPR for the applicable year (2013-2014 and each year thereafter) has not been negotiated as of September 1, the collectively bargained APPR most recently approved, or the APPR determined by the Commissioner in arbitration, shall remain in effect until a subsequent APPR is agreed to by the parties and approved by the Commissioner and the school district shall implement said plan.
4. All initiatives described in this application are consistent with applicable collective bargaining agreements and no collective bargaining agreements, memoranda of understanding or any other agreements in any form prevent, conflict, or interfere with full implementation of the APPR plan or with the initiatives proposed in this application.
 5. The Applicant certifies that the STLE principal(s) chosen to complete STLE-D work is rated Highly Effective or Effective on their most recent, complete APPR.
 6. The Applicant understands that the recently enacted safety net calculations set forth in Governor's Program Bill 56, may not be used for decisions regarding supplemental compensation, placement for career ladder opportunities, or career pathways.
 7. If this application is awarded funding under the STLE-D RFP, we will undertake and implement the initiatives as proposed herein.

Lead Applicant BOCES/Public School District/Public Charter School Name:

| CHIEF ADMINISTRATIVE OFFICER (Insert other title if applicable) | |
|--|------|
| Signature (in blue ink) | Date |
| Type or print name | |

| LOCAL ADMINISTRATORS UNION PRESIDENT (Insert union name if applicable)) | | |
|--|--------------------------|--------------------------|
| Are the (Insert Applicant Name)'s administrators represented by a union? <i>(If yes, complete the signature and name below)</i> | <input type="checkbox"/> | <input type="checkbox"/> |
| | YES | NO |
| Signature (in blue ink) | Date | |
| Type or print name | | |

| LOCAL TEACHERS UNION PRESIDENT (Insert union name if applicable) | | |
|--|--------------------------|--------------------------|
| Are the (Insert Applicant Name)'s teachers represented by a union? <i>(If yes, complete the signature and name below)</i> | <input type="checkbox"/> | <input type="checkbox"/> |
| | YES | NO |
| Signature (in blue ink) | Date | |
| Type or print name | | |

Attachment III-B: Assurance of Joint Commitment and Collaboration Form for Consortium Applicants (due by September 23, 2014)

By signing this document, the lead applicant public school district/BOCES/public charter school **and** all consortium member public school districts/BOCES/public charter schools certify as follows:

1. The governing body of the lead applicant **and** all consortium members have adopted an Annual Professional Performance Review (APPR) plan for all of its classroom teachers and building principals, in full accordance with the requirements of Education Law §3012-c and Subpart 30-2 of the Rules of the Board of Regents.
2. For consortium applicants with public charter schools and/or BOCES: We understand that if the Commissioner does not approve a public charter school or BOCES member's APPR plan(s) by the Strengthening Teacher and Leader Effectiveness Dissemination Grant (STLE-D) RFP deadline (August 29, 2014), this application will be rejected and the consortium will not receive funding under the STLE-D RFP.
3. To receive and maintain funding under STLE-D, the STLE lead applicant and all consortium members (non-STLE public school districts, BOCES and/or public charter schools) must continuously implement their APPR plan approved by the Department for all principals and teachers in the district for the entire grant period (November 1, 2014 – June 30, 2015). If a district/BOCES/public charter is found by the Department to not be implementing their approved APPR plan during the course of the grant period, the result for the district will be a risk of these funds.

For purposes of this grant, pursuant to Education Law §3012-c(2)(l), if an APPR for the applicable year (2013-2014 and each year thereafter) has not been negotiated as of September 1, the collectively bargained APPR most recently approved, or the APPR determined by the Commissioner in arbitration shall remain in effect until a subsequent APPR is agreed to by the parties and approved by the Commissioner and the school district shall implement said plan.

4. All initiatives described in this application are consistent with applicable collective bargaining agreements and no collective bargaining agreements, memoranda of understanding or any other agreements in any form prevent, conflict, or interfere with full implementation of the APPR plan or with the initiatives proposed in this application.
5. The Lead Applicant certifies that the STLE principal(s) chosen to complete STLE-D work is rated Highly Effective or Effective on their most recent, complete APPR.

6. The Lead Applicant and all consortium members understand that the recently enacted safety net calculations, set forth in Governor’s Program Bill 56, may not be used for decisions regarding supplemental compensation, placement for career ladder opportunities, or career pathways.

7. If this application is awarded funding under the STLE-D RFP, we will undertake and implement the initiatives as proposed herein.

Lead Applicant BOCES/Public School District/Public Charter School Name:

| CHIEF ADMINISTRATIVE OFFICER (Insert other title if applicable) | |
|--|------|
| Signature (in blue ink) | Date |
| Type or print name | |

| LOCAL ADMINISTRATORS UNION PRESIDENT (Insert union name if applicable) | | |
|---|--------------------------|--------------------------|
| Are the (Insert Applicant Name)’s administrators represented by a union? <i>(If yes, complete the signature and name below)</i> | <input type="checkbox"/> | <input type="checkbox"/> |
| | YES | NO |
| Signature (in blue ink) | Date | |
| Type or print name | | |

| LOCAL TEACHERS UNION PRESIDENT (Insert union name if applicable) | | |
|---|--------------------------|--------------------------|
| Are the (Insert Applicant Name)’s teachers represented by a union? <i>(If yes, complete the signature and name below)</i> | <input type="checkbox"/> | <input type="checkbox"/> |
| | YES | NO |
| Signature (in blue ink) | Date | |
| Type or print name | | |

Consortium Member Public School District/Public Charter School Name (must be submitted for all consortium members; add rows as necessary): _____

| CHIEF ADMINISTRATIVE OFFICER (Insert other title if applicable) | |
|--|------|
| Signature (in blue ink) | Date |
| Type or print name | |

| LOCAL ADMINISTRATORS UNION PRESIDENT (Insert union name if applicable) | | |
|--|--------------------------|--------------------------|
| Are the (Insert Applicant Name)'s administrators represented by a union? <i>(If yes, complete the signature and name below)</i> | <input type="checkbox"/> | <input type="checkbox"/> |
| | YES | NO |
| Signature (in blue ink) | Date | |
| Type or print name | | |

| LOCAL TEACHERS UNION PRESIDENT (Insert union name if applicable) | | |
|--|--------------------------|--------------------------|
| Are the (Insert Applicant Name)'s teachers represented by a union? <i>(If yes, complete the signature and name below)</i> | <input type="checkbox"/> | <input type="checkbox"/> |
| | YES | NO |
| Signature (in blue ink) | Date | |
| Type or print name | | |

Attachment IV: MOU

Please note: an MOU is required for consortium applications only. The lead applicant must complete an MOU that is signed by their BOCES/public school district/public charter school consortium members.

TEMPLATE

(Insert Lead Applicant Name) and (Insert Consortium Member Name) District/BOCES/Public Charter School

Strengthening Teacher and Leader Effectiveness Dissemination Grant: Principal Leadership

This cooperative agreement reflects the overall commitment as well as the specific responsibilities and the roles of the *(Insert Lead Applicant Name)* and *(Insert Consortium Member Name(s))* BOCES/District/Charter School.

The overarching purpose of this consortium is to support the dissemination of effective principal practices and programs that are promising or successful in Strengthening Teacher and Leader Effectiveness (STLE) schools, allowing our STLE districts to share their successful innovations in a collaborative endeavor with any designated partnership. Per the NYSED Consortium Policy for State and Federal Discretionary Grant Program (see [Appendix G](#)), *(Insert Lead Applicant Name)* will not act solely as a flow-through for grant funds to pass to other recipients and will be responsible for the performance of any services provided by the consortium members, any partners, consultants, or other organizations, and coordinate participation. This consortium will only benefit the *(Insert Lead Applicant Name)* and/or *(Insert All Consortium Member Names)*. The *(Insert Lead Applicant Name)* agrees to facilitate communication with and between *(Insert All Consortium Member Names)* in order to ensure that all consortium members fully know all aspects/activities that will be conducted through this grant program.

Up front Planning Activities: _____

SPECIFIC ROLES AND RESPONSIBILITIES

The partnership of the *(Insert Lead Applicant Name)* and the *(Insert Consortium Member Name)* BOCES/District/Charter School entails the following:

| The <i>(Insert Lead Applicant Name)</i> BOCES/District/Charter School agrees to: | The <i>(Insert Consortium Member Name)</i> BOCES/District/Charter School agrees to: |
|---|--|
| List all activities/services/etc. that the Lead Applicant will provide to the consortium. | List all activities/services/etc. that the BOCES/District/Charter School will provide to the consortium. |

Name of Lead Applicant District/BOCES/Public Charter School

Signature _____

Printed Name: _____

Title: _____

Date: _____

Name of Consortium Member District/BOCES/Public Charter School

Signature _____

Printed Name: _____

Title: _____

Date: _____

THE AGREEMENT FOR YOUR PROGRAM SHOULD REFLECT THE SPECIFICS OF YOUR PROGRAM AND YOUR CONSORTIUM MEMBERS. ALL ACTIVITIES/SERVICES, ETC. THAT ARE PERTINENT TO YOUR PROJECT SHOULD BE INCLUDED. PLEASE MODIFY AND ADD ADDITIONAL FIELDS FOR MULTIPLE CONSORTIUM MEMBERS, AS NEEDED.

Attachment V: Assurance of Funding Form

By signing this document, the *[Insert applicant public school district/BOCES/public charter school name]* certifies that any and all funding provided through this application for the Strengthening Teacher and Leader Effectiveness Dissemination Grant is supplemental to, and will not supplant or duplicate, any other funding source. Any funding received under this RFP that supplants or duplicates monies supported through other grants/funding sources will result in the immediate suspension of Strengthening Teacher and Leader Effectiveness Dissemination Grant monies to the applicant.

Public School District /BOCES/Public Charter School Name: _____

(If the application represents a consortium, the signature of the lead applicant/fiscal agent must be provided)

| CHIEF ADMINISTRATIVE OFFICER (Insert other title if applicable) | |
|---|------|
| Signature | Date |
| Type or print name | |

Attachment VI: Budget Narrative

TEMPLATE

The budget narrative chart below should detail and justify the funding request under this RFP, including all proposed expenditures and indicate the basis of calculation for each cost during the grant period (November 1, 2014 – June 30, 2015). If applicable, include a detailed description of any other funding streams/contributions related to the proposed career ladder; however, do not include these corresponding costs in the Grant Total columns at right. Please note: while already existing positions/activities may be included in the description, funding from this grant cannot supplant or duplicate positions/activities already funded through other sources. Consortium applications should demonstrate that the consortium lead is an active participant, with a minimum of 20% of the STLE-D grant funding directly supporting lead applicant activities. The lead cannot act solely as a flow-through for grant funds. Additional sections/columns and/or separate charts may be added as needed to provide all necessary information. Please be sure to check that all amounts match the FS-10 and budget summary. Please add/delete rows as needed.

| EXPLANATION AND JUSTIFICATION OF PROPOSED EXPENDITURE AND CALCULATION OF COST | GRANT TOTAL |
|--|--------------------|
| Professional Salaries (Code 15) | |
| | |
| Support Staff (Code 16) | |
| | |
| Purchased Services (Code 40) | |
| | |
| Supplies & Materials (Code 45) | |
| | |

| | |
|-----------------------------|--|
| | |
| Travel Expenses (Code 46) | |
| | |
| Employee Benefits (Code 80) | |
| | |
| Indirect Cost (Code 90) | |
| | |
| BOCES Services (Code 49) | |
| | |
| Minor Remodeling (Code 30) | |
| | |
| Equipment (Code 20) | |
| | |

Attachment VII: M/WBE Documents

M/WBE Goal Calculation Worksheet

(This form should reflect Multi-Year Budget Summary Totals)

RFP # and Title: _____

Applicant Name: _____

The M/WBE participation for this grant is 20% of each applicant’s total discretionary non-personal service budget over the entire term of the grant. Discretionary non-personal service budget is defined as the total budget, excluding the sum of funds budgeted for direct personal services (i.e., professional and support staff salaries) and fringe benefits, as well as rent, lease, utilities, and indirect costs, if these are allowable expenditures.

Please complete the following table to determine the dollar amount of the M/WBE goal for this grant application.

| | Budget Category | Amount budgeted for items excluded from M/WBE calculation | Totals |
|-----|---|---|--------|
| 1. | Total Budget | | |
| 2. | Professional Salaries | | |
| 3. | Support Staff Salaries | | |
| 4. | Fringe Benefits | | |
| 5. | Indirect Costs | | |
| 6. | Rent/Lease/Utilities | | |
| 7. | Sum of lines 2, 3 ,4 ,5, and 6 | | |
| 8. | Line 1 minus Line 7 | | |
| 9. | M/WBE Goal percentage (20%) | | 0.20 |
| 10. | Line 8 multiplied by Line 9 =MWBE goal amount | | |

M/WBE COVER LETTER Minority & Woman-Owned Business Enterprise Requirements

NAME OF GRANT PROGRAM _____

NAME OF APPLICANT _____

In accordance with the provisions of Article 15-A of the NYS Executive Law, 5 NYCRR Parts 140-145, Section 163 (6) of the NYS Finance Law and Executive Order #8 and in fulfillment of the New York State Education Department (NYSED) policies governing Equal Employment Opportunity and Minority and Women-Owned Business Enterprise (M/WBE) participation, it is the intention of the New York State Education Department to provide real and substantial opportunities for certified Minority and Women-Owned Business Enterprises on all State contracts. It is with this intention the NYSED has assigned M/WBE participation goals to this contract.

In an effort to promote and assist in the participation of certified M/WBEs as subcontractors and suppliers on this project for the provision of services and materials, the bidder is required to comply with NYSED’s participation goals through one of the three methods below. Please indicate which one of the following is included with the M/WBE Documents Submission:

- Full Participation – No Request for Waiver (PREFERRED)
- Partial Participation – Partial Request for Waiver
- No Participation – Request for Complete Waiver

| |
|---|
| By my signature on this Cover Letter, I certify that I am authorized to bind the Bidder’s firm contractually. |
| Typed or Printed Name of Authorized Representative of the Firm |
| Typed or Printed Title/Position of Authorized Representative of the Firm |
| Signature/Date |

M/WBE UTILIZATION PLAN

INSTRUCTIONS: All bidders/applicants submitting responses to this procurement/project must complete this M/WBE Utilization Plan unless requesting a total waiver and submit it as part of their proposal/application. The plan must contain detailed description of the services to be provided by each Minority and/or Women-Owned Business Enterprise (M/WBE) identified by the bidder/applicant.

Bidder/Applicant's Name _____ Telephone/Email: _____/_____
 Address _____ Federal ID No.: _____
 City, State, Zip _____ RFP No.: _____

| Certified M/WBE | Classification (check all applicable) | Description of Work (Subcontracts/Supplies/Services) | Annual Dollar Value of Subcontracts/Supplies/Services |
|--|---|---|--|
| NAME ADDRESS CITY, ST, ZIP PHONE/E-MAIL FEDERAL ID No. | NYS ESD Certified MBE _____ WBE _____ | | \$ _____ |
| NAME ADDRESS CITY, ST, ZIP PHONE/E-MAIL FEDERAL ID No. | NYS ESD Certified MBE _____ WBE _____ | | \$ _____ |

PREPARED BY (Signature) _____ DATE _____

SUBMISSION OF THIS FORM CONSTITUTES THE BIDDER/APPLICANT'S ACKNOWLEDGEMENT AND AGREEMENT TO COMPLY WITH THE M/WBE REQUIREMENTS SET FORTH UNDER NYS EXECUTIVE LAW, ARTICLE 15-1, 5 NYCRR PART 143 AND THE ABOVE REFERENCE SOLICITATION. FAILURE TO SUBMIT COMPLETE AND ACCURATE INFORMATION MAY RESULT IN A FINDING OF NONCOMPLIANCE AND/OR PROPOSAL/APPLICATION DISQUALIFICATION.

NAME AND TITLE OF PREPARER: _____
 (print or type)
 TELEPHONE/E-MAIL _____
 DATE _____
M/WBE 100

| | |
|--|------------|
| REVIEWED BY _____ | DATE _____ |
| UTILIZATION PLAN APPROVED YES/NO _____ | DATE _____ |
| NOTICE OF DEFICIENCY ISSUED YES/NO _____ | DATE _____ |
| NOTICE OF ACCEPTANCE ISSUED YES/NO _____ | DATE _____ |

NOTICE OF INTENT TO PARTICIPATE

INSTRUCTIONS: Part A of this form must be completed and signed by the Bidder/Applicant unless requesting a total waiver. Parts B & C of this form must be completed by MBE and/or WBE subcontractors/suppliers. The Bidder/Applicant must submit a separate M/WBE Notice of Intent to Participate form for each MBE or WBE as part of the proposal/application.

Bidder/Applicant Name: _____ Federal ID No.: _____

Address: _____ Phone No.: _____

City _____ State _____ Zip Code _____ E-mail: _____

Signature of Authorized Representative of Bidder/Applicant's Firm

Print or Type Name and Title of Authorized Representative of Bidder/Applicant's Firm

Date: _____

PART B - THE UNDERSIGNED INTENDS TO PROVIDE SERVICES OR SUPPLIES IN CONNECTION WITH THE ABOVE PROCUREMENT/APPLICATION:

Name of M/WBE: _____ Federal ID No.: _____

Address: _____ Phone No.: _____

City, State, Zip Code _____ E-mail: _____

BRIEF DESCRIPTION OF SERVICES OR SUPPLIES TO BE PERFORMED BY MBE OR WBE:

DESIGNATION: MBE Subcontractor WBE Subcontractor MBE Supplier WBE Supplier

PART C - CERTIFICATION STATUS (CHECK ONE):

The undersigned is a certified M/WBE by the New York State Division of Minority and Women-Owned Business Development (MWBD).

The undersigned has applied to New York State's Division of Minority and Women-Owned Business Development (MWBD) for M/WBE certification.

THE UNDERSIGNED IS PREPARED TO PROVIDE SERVICES OR SUPPLIES AS DESCRIBED ABOVE AND WILL ENTER INTO A FORMAL AGREEMENT WITH THE BIDDER/APPLICANT CONDITIONED UPON THE BIDDER/APPLICANT'S EXECUTION OF A CONTRACT WITH THE NYS EDUCATION DEPARTMENT.

The estimated dollar amount of the agreement \$ _____

Signature of Authorized Representative of M/WBE Firm

Date _____

Printed or Typed Name and Title of Authorized Representative

M/WBE CONTRACTOR GOOD FAITH EFFORTS CERTIFICATION (FORM 105)

PROJECT/CONTRACT # _____

I, _____
(Bidder/Applicant)

_____ of _____
(Title) (Company)

_____ () _____
(Address) (Telephone Number)

do hereby submit the following as evidence of our good faith efforts to retain certified minority- and women-owned business enterprises:

- (1) Copies of its solicitations of certified minority- and women-owned business enterprises and any responses thereto;
- (2) If responses to the contractor's solicitations were received, but a certified minority- or woman-owned business enterprise was not selected, the specific reasons that such enterprise was not selected;
- (3) Copies of any advertisements for participation by certified minority- and women-owned business enterprises timely published in appropriate general circulation, trade and minority- or women-oriented publications, together with the listing(s) and date(s) of the publication of such advertisements;
- (4) Copies of any solicitations of certified minority- and/or women-owned business enterprises listed in the directory of certified businesses;
- (5) The dates of attendance at any pre-bid, pre-award, or other meetings, if any, scheduled by the State agency awarding the State contract, with certified minority- and women-owned business enterprises which the State agency determined were capable of performing the State contract scope of work for the purpose of fulfilling the contract participation goals;
- (6) Information describing the specific steps undertaken to reasonably structure the contract scope of work for the purpose of subcontracting with, or obtaining supplies from, certified minority- and women-owned business enterprises.
- (7) Describe any other action undertaken by the bidder to document its good faith efforts to retain certified minority - and women-owned business enterprises for this procurement.

Submit additional pages as needed.

Authorized Representative Signature

Date

M/WBE CONTRACTOR UNAVAILABLE CERTIFICATION

RFP#/PROJECT NAME _____

I, _____
 (Authorized Representative) (Title) (Bidder/Applicant's Company)

 (Address) () (Phone)

I certify that the following New York State Certified Minority/Women Business Enterprises were contacted to obtain a quote for work to be performed on the abovementioned project/contract.

List of date, name of M/WBE firm, telephone/e-mail address of M/WBEs contacted, type of work requested, estimated budgeted amount for each quote requested.

| <u>DATE</u> | <u>M/WBE NAME</u> | <u>PHONE/EMAIL</u> | <u>TYPE OF WORK</u> | <u>BUDGET</u> | <u>ESTIMATED REASON</u> |
|-------------|-------------------|--------------------|---------------------|---------------|-------------------------|
| 1. | _____ | _____ | _____ | _____ | _____ |
| 2. | _____ | _____ | _____ | _____ | _____ |
| 3. | _____ | _____ | _____ | _____ | _____ |
| 4. | _____ | _____ | _____ | _____ | _____ |
| 5. | _____ | _____ | _____ | _____ | _____ |

To the best of my knowledge and belief, said New York State Certified Minority/Women Business Enterprise contractor(s) was/were not selected, unavailable for work on this project, or unable to provide a quote for the following reasons: Please check appropriate reasons given by each MBE/WBE firm contacted above.

- _____ **A.** Did not have the capability to perform the work
- _____ **B.** Contract too small
- _____ **C.** Remote location
- _____ **D.** Received solicitation notices too late
- _____ **E.** Did not want to work with this contractor
- _____ **F.** Other (give reason) _____

Authorized Representative Signature **Date** **Print Name**

M/WBE 105A

REQUEST FOR WAIVER FORM

BIDDER/APPLICANT NAME:

TELEPHONE:

ADDRESS:

EMAIL:

FEDERAL ID NO.:

CITY, STATE, ZIPCODE:

RFP#/PROJECT NO.:

INSTRUCTIONS: By submitting this form and the required information, the bidder/applicant certifies that Good Faith Efforts have been taken to promote M/WBE participation pursuant to the M/WBE goals set forth under this RFP/Contract. Please see Page 2 for additional requirements and document submission instructions.

BIDDER/APPLICANT IS REQUESTING (check all that apply):

MBE Waiver - A waiver of the MBE goal for this procurement is requested.
 Total Partial _____%

WBE Waiver - A waiver of the WBE goal for this procurement is requested.
 Total Partial _____%

Waiver Pending ESD Certification

(check here if subcontractor or supplier is not certified M/WBE, but an application for certification has been filed with Empire State Development)

Subcontractor/Supplier Name: _____ Date of application filing: _____

PREPARED BY (*Signature*): _____ DATE: _____

SUBMISSION OF THIS FORM CONSTITUTES THE BIDDER/APPLICANT'S ACKNOWLEDGEMENT AND AGREEMENT TO COMPLY WITH THE M/WBE REQUIREMENTS SET FORTH UNDER NYS EXECUTIVE LAW, ARTICLE 15-A, 5 NYCRR PART 143, AND THE ABOVE REFERENCED SOLICITATION. FAILURE TO SUBMIT COMPLETE AND ACCURATE INFORMATION MAY RESULT IN A FINDING OF NONCOMPLIANCE AND/OR PROPOSAL DISQUALIFICATION.

| | |
|---|---|
| NAME OF PREPARER: TITLE OF PREPARER: TELEPHONE: EMAIL: | FOR AUTHORIZED USE ONLY REVIEWED BY: _____ DATE: _____ WAIVER GRANTED <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> TOTAL WAIVER <input type="checkbox"/> PARTIAL WAIVER <input type="checkbox"/> ESD CERTIFICATION WAIVER <input type="checkbox"/> NOTICE OF DEFICIENCY <input type="checkbox"/> CONDITIONAL WAIVER COMMENTS: |
|---|---|

REQUIREMENTS AND DOCUMENT SUBMISSION INSTRUCTIONS

When completing the Request for Waiver Form, please check all boxes that apply. To be considered, the Request for Waiver Form must be accompanied by documentation for items 1-11, as listed below. If a Waiver Pending ESD Certification is requested, please see Item 11 below. Copies of the following information and all relevant supporting documentation must be submitted along with the request.

1. A statement setting forth your basis for requesting a partial or total waiver.
2. The names of general circulation, trade association, and M/WBE-oriented publications in which you solicited certified M/WBEs for the purposes of complying with your participation goals.
3. A list identifying the date(s) that all solicitations for certified M/WBE participation were published in any of the above publications.
4. A list of all certified M/WBEs appearing in the NYS Directory of Certified Firms that were solicited for purposes of complying with your certified M/WBE participation levels.
5. Copies of notices, dates of contact, letters, and other correspondence as proof that solicitations were made in writing and copies of such solicitations, or a sample copy of the solicitation if an identical solicitation was made to all certified M/WBEs.
6. Provide copies of responses made by certified M/WBEs to your solicitations.
7. Provide a description of any contract documents, plans, or specifications made available to certified M/WBEs for purposes of soliciting their bids and the date and manner in which these documents were made available.
8. Provide documentation of any negotiations between you, the Bidder/Applicant and the M/WBEs undertaken for purposes of complying with the certified M/WBE participations goals.
9. Provide any other information you deem relevant which may help us in evaluating your request for a waiver.
10. Provide the name, title, address, telephone number and email address of the Bidder/Applicant's representative authorized to discuss and negotiate this waiver request.
11. Copy of notice of application receipt issued by Empire State Development (ESD).

\NOTE: Unless a Total Waiver has been granted, Bidder/Applicant will be required to submit all reports and documents pursuant to the provisions set forth in the procurement and/or contract, as deemed appropriate by NYSED, to determine M/WBE compliance.

STAFFING PLAN INSTRUCTIONS

General Instructions: All Bidders/Applicants in the proposal/application must complete an EEO Staffing Plan (EEO 100) and submit it as part of the package. Where the work force to be utilized in the performance of the State contract/project can be separated out, the Bidder/Applicant shall complete this form only for the anticipated work force to be utilized on the State contract/project. Where the work force to be utilized in the performance of the State contract/project cannot be separated out, the Bidder/Applicant shall complete this form for Bidder/Applicant's total work force.

Instructions for Completing:

1. Enter the Project number that this report applies to, along with the name, address, and federal ID number of the Bidder.
2. Check the appropriate box to indicate if the work force being reported is just for the contract/project or the Bidder/Applicant's total work force.
3. Check off the appropriate box to indicate if the Bidder completing the report is the contractor or subcontractor.
4. Enter the total work force by EEO job category.
5. Break down the total work force by gender and race/ethnic background and enter under the heading Race/Ethnicity. Contact the M/WBE Coordinator, mwbe@mail.nyused.gov, if you have any questions.
6. Enter the name, title, phone number and email address for the person completing the form. Sign and date the form in designated areas.

RACE/ETHNIC IDENTIFICATION

For purposes of this form NYSED will accept the definitions of race/ethnic designations used by the federal Equal Employment Opportunity Commission (EEOC), as those definitions are described below or amended hereafter. (Be advised these terms may be defined differently for other purposes under NYS statutory, regulatory, or case law). Race/ethnic designations as used by the EEOC do not denote scientific definitions of anthropological origins. For the purposes of this report, an employee may be included in the group to which he or she appears to belong, identifies with, or is regarded in the community as belonging. The race/ethnic categories for this survey are:

- **Hispanic or Latino** - A person of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture or origin regardless of race.
- **White (Not Hispanic or Latino)** - A person having origins in any of the original peoples of Europe, the Middle East, or North Africa.
- **Black or African American (Not Hispanic or Latino)** - A person having origins in any of the black racial groups of Africa.
- **Native Hawaiian or Other Pacific Islander (Not Hispanic or Latino)** - A person having origins in any of the peoples of Hawaii, Guam, Samoa, or other Pacific Islands.
- **Asian (Not Hispanic or Latino)** - A person having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian Subcontinent, including, for example, Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam.
- **American Indian or Alaska Native (Not Hispanic or Latino)** - A person having origins in any of the original peoples of North and South America (including Central America), and who maintain tribal affiliation or community attachment.
- **Two or More Races (Not Hispanic or Latino)** - All persons who identify with more than one of the above five races.
- **Disabled** - Any person who has a physical or mental impairment that substantially limits one or more major life activity; has a record of such an impairment; or is regarded as having such an impairment
- **Vietnam Era Veteran** - a veteran who served at any time between and including January 1, 1963 and May 7, 1975.

EEO 100

Attachment VIII: Application Checklist

Please use the application checklist found below to ensure your application is complete and in the correct order:

| Required Documents | Checked - Applicant | Checked -SED |
|---|--------------------------|--------------------------|
| Application Cover Page: Attachment I with original signatures | <input type="checkbox"/> | <input type="checkbox"/> |
| Payee Information Form (applicable for public charter schools only) | <input type="checkbox"/> | <input type="checkbox"/> |
| Application Checklist | <input type="checkbox"/> | <input type="checkbox"/> |
| Mandatory Requirements Certification: Attachment II with original signatures | <input type="checkbox"/> | <input type="checkbox"/> |
| Section A Narrative: Dissemination Activities and Justification | <input type="checkbox"/> | <input type="checkbox"/> |
| Section B Narrative: Dissemination Support Summary | <input type="checkbox"/> | <input type="checkbox"/> |
| Section C Budget Forms and Narrative: <ul style="list-style-type: none"> • One FS-10 for the Program Period November 1, 2014 to June 30, 2015 http://www.oms.nysed.gov/cafe/forms/ • Budget Narrative: Attachment VI | <input type="checkbox"/> | <input type="checkbox"/> |

| | | | |
|---|---------------------------------|--------------------------------------|-----------------------------|
| <p>Assurance of Joint Commitment and Collaboration Form: Attachment III</p> <ul style="list-style-type: none"> • Must be submitted with all necessary original signatures with or after the initial application, but must be received by NYSED no later than September 23, 2014 • Attachment III-A for Individual district, charter or BOCES applications; Attachment III-B for consortium applications | <input type="checkbox"/> | <input type="checkbox"/> | |
| <p>Assurance of Funding Form: Attachment V with original signature</p> | <input type="checkbox"/> | <input type="checkbox"/> | |
| <p>Memorandum(s) of Understanding (MOU): Attachment IV</p> <ul style="list-style-type: none"> • An MOU between the lead applicant and each consortium member must be completed. • Only consortium applicants must submit an MOU. | <input type="checkbox"/> N/A | <input type="checkbox"/> N/A | |
| <p>Worker’s Compensation Documentation (encouraged)</p> | <input type="checkbox"/> | <input type="checkbox"/> | |
| <p>Disability Benefits Documentation (encouraged)</p> | <input type="checkbox"/> | <input type="checkbox"/> | |
| <p>M/WBE Documents Package (original signatures required)</p> <p> <input type="checkbox"/> Full Participation <input type="checkbox"/> Request Partial Waiver <input type="checkbox"/> Request Total Waiver </p> | | | |
| | Forms Required | | |
| <p>Type of Form</p> | <p>Full Participation</p> | <p>Request Partial Participation</p> | <p>Request Total Waiver</p> |
| <p>Calculation of M/WBE Goal Amount</p> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

| | | | |
|---|--------------------------|--------------------------|--------------------------|
| M/WBE Cover Letter | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| M/WBE 100 Utilization Plan | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| M/WBE 102 Notice of Intent to Participate | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| M/WBE 105 Contractor's Good Faith Efforts | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| M/WBE 101 Request for Waiver Form and Instructions | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| EEO 100 Staffing Plan and Instructions | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| <p>SED Comments:</p> <p>Has the application complied with the application instructions? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>SED Reviewer: _____ Date: _____</p> | | | |

New York State Education Department Assurances for Federal Discretionary Program Funds

The following assurances are a component of your application. By signing the certification on the application cover page you are ensuring accountability and compliance with State and federal laws, regulations, and grants management requirements.

Federal Assurances and Certifications, General:

- Assurances – Non-Construction Programs
- Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters
- Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – Lower Tier Covered Transactions
- General Education Provisions Act Assurances

Federal Assurances and Certifications, NCLB (if appropriate):

The following are required as a condition for receiving any federal funds under the Elementary and Secondary Education Act, as amended by the No Child Left Behind Act of 2001.

- NCLB Assurances
- School Prayer Certification

New York State Assurances and Certifications: (For discretionary grant programs only.)

- Appendix A
- Appendix A-1G
- Appendix A-2

ASSURANCES - NON-CONSTRUCTION PROGRAMS

Note: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the Education Department Program Contact listed in the Application. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, and by signing the Application Cover Page, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C §§ 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) "§§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§" 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328), which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§ 276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §§874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.), which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, Audits of States, Local Governments, and Non-Profit Organizations.
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

Standard Form 424B (Rev. 7-97), Prescribed by OMB Circular A-102, Authorized for Local Reproduction, as amended by New York State Education Department

CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of the Application Cover Page provides for compliance with certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying," and 34 CFR Part 85, "Government-wide Debarment and Suspension (Nonprocurement)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Education determines to award the covered transaction, grant, or cooperative agreement.

1. LOBBYING

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that:

- a. No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement:
- b. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions; and
- c. The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all subrecipients shall certify and disclose accordingly.

2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS

As required by Executive Order 12549, Debarment and Suspension, and implemented at 34 CFR Part 85, for prospective participants in primary covered transactions, as defined at 34 CFR Part 85, Sections 85.105 and 85.110-

- A. The applicant certifies that it and its principals:

- a. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
 - b. Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
 - c. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (2)(b) of this certification; and
 - d. Have not within a three-year period preceding this application had one or more public transaction (Federal, State, or local) terminated for cause or default; and
- B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

ED 80-0013, as amended by the New York State Education Department

CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION — LOWER TIER COVERED TRANSACTIONS

This certification is required by the Department of Education regulations implementing Executive Order 12549, Debarment and Suspension, 34 CFR Part 85, for all lower tier transactions meeting the threshold and tier requirements stated at Section 85.110.

Instructions for Certification

1. By signing the Application Cover Page, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms “covered transaction,” “debarred,” “suspended,” “ineligible,” “lower tier covered transaction,” “participant,” “person,” “primary covered transaction,” “principal,” “proposal,” and “voluntarily excluded,” as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.

5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion-Lower Tier Covered Transactions," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

Certification

1. The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
2. Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

ED 80-0014, as amended by the New York State Education Department

**NEW YORK STATE DEPARTMENT OF EDUCATION GENERAL EDUCATION PROVISIONS ACT
ASSURANCES**

These assurances are required by the General Education Provisions Act for certain programs funded by the U.S. Department of Education. These assurances are not applicable to certain programs, such as the No Child Left Behind Act. If you have any questions, please contact NYSED.

As the authorized representative of the applicant, by signing the Application Cover Page, I certify that:

1. the local educational agency will administer each program covered by the application in accordance with all applicable statutes, regulations, program plans, and applications;
2. the control of funds provided to the local educational agency under each program, and title to property acquired with those funds, will be in a public agency and that a public agency will administer those funds and property;
3. the local educational agency will use fiscal control and fund accounting procedures that will ensure proper disbursement of, and accounting for, Federal funds paid to that agency under each program;
4. the local educational agency will make reports to the State agency or board and to the Secretary as may reasonably be necessary to enable the State agency or board and the Secretary to perform their duties and that the local educational agency will maintain such records, including the records required under section 1232f of this title, and provide access to those records, as the State agency or board or the Secretary deem necessary to perform their duties;
5. the local educational agency will provide reasonable opportunities for the participation by teachers, parents, and other interested agencies, organizations, and individuals in the planning for and operation of each program;
6. any application, evaluation, periodic program plan or report relating to each program will be made readily available to parents and other members of the general public;
7. in the case of any project involving construction -
 - a. the project is not inconsistent with overall State plans for the construction of school facilities, and
 - b. in developing plans for construction, due consideration will be given to excellence of architecture and design and to compliance with standards prescribed by the Secretary under section 794 of title 29 in order to ensure that facilities constructed with the use of Federal funds are accessible to and usable by individuals with disabilities;
8. the local educational agency has adopted effective procedures for acquiring and disseminating to teachers and administrators participating in each program significant information from educational research, demonstrations, and similar projects, and for adopting, where appropriate, promising educational practices developed through such projects; and
9. none of the funds expended under any applicable program will be used to acquire equipment (including computer software) in any instance in which such acquisition results in a direct financial benefit to any organization representing the interests of the purchasing entity or its employees or any affiliate of such an organization.

NEW YORK STATE DEPARTMENT OF EDUCATION NO CHILD LEFT BEHIND ACT ASSURANCES

These assurances are required for programs funded under the No Child Left Behind Act.

As the authorized representative of the applicant, by signing the Application Cover Page, I certify that:

1. each such program will be administered in accordance with all applicable statutes, regulations, program plans, and applications;
2. the control of funds provided under each such program and title to property acquired with program funds will be in a public agency or in a nonprofit private agency, institution, organization, or Indian tribe, if the law authorizing the program provides for assistance to those entities; and

the public agency, nonprofit private agency, institution, or organization, or Indian tribe will administer the funds and property to the extent required by the authorizing statutes;

3. the applicant will adopt and use proper methods of administering each such program, including -
 - a. the enforcement of any obligations imposed by law on agencies, institutions, organizations, and other recipients responsible for carrying out each program; and
 - b. the correction of deficiencies in program operations that are identified through audits, monitoring, or evaluation;
4. the applicant will cooperate in carrying out any evaluation of each such program conducted by or for the State educational agency, the Secretary, or other Federal officials;
5. the applicant will use such fiscal control and fund accounting procedures as will ensure proper disbursement of, and accounting for, Federal funds paid to the applicant under each such program;
6. the applicant will -
 - a. submit such reports to the State educational agency (which shall make the reports available to the Governor) and the Secretary as the State educational agency and Secretary may require to enable the State educational agency and the Secretary to perform their duties under each such program; and
 - b. maintain such records, provide such information, and afford such access to the records as the State educational agency (after consultation with the Governor) or the Secretary may reasonably require to carry out the State educational agency's or the Secretary's duties;
7. before the application was submitted, the applicant afforded a reasonable opportunity for public comment on the application and considered such comment;
8. the applicant has consulted with teachers, school administrators, parents, nonpublic school representatives and others in the development of the application to the extent required for the applicant under the program pursuant to the applicable provisions of the No Child Left Behind Act;
9. in the case of a local educational agency, as a condition of receiving funds under the No Child Left Behind Act, the applicant is complying with the requirements of Education Law § 3214(3)(d) and (f) and the Gun-Free Schools Act (20 U.S.C. § 7151);
10. in the case of a local educational agency, as a condition of receiving funds under the No Child Left Behind Act, the applicant is complying with the requirements of 20 U.S.C. § 7908 on military recruiter access;

11. in the case of a local educational agency, as a condition of receiving funds under the No Child Left Behind Act, the applicant is complying with the requirements of 20 U.S.C. § 7904 on constitutionally protected prayer in public elementary and secondary schools;
12. in the case of a local educational agency, as a condition of receiving funds under the No Child Left Behind Act, the applicant is complying with the requirements of Education Law § 2802(7), and any state regulations implementing such statute and 20 U.S.C. § 7912 on unsafe school choice; and
13. in the case of a local educational agency, the applicant is complying with all fiscal requirements that apply to the program, including but not limited to any applicable supplement not supplant or local maintenance of effort requirements.

TITLE IV, PART B

1. The program will take place in safe and easily accessible facilities;
2. The program was developed, and will be carried out, in active collaboration with the schools the students attend;
3. The program will primarily target students who attend schools eligible for school wide programs under section 1114 and the families of such students;
4. The funds awarded under this part will be used to increase the level of State, local and other non-Federal funds that would, in the absence of funds under this part, be made available for programs and activities authorized under this part, and in no case supplant Federal, State, local or non-Federal funds;
5. The community was given notice of the intent to submit an application; and,
6. The application and any waiver request will be available for public review after submission of the application.
7. All instruction and content will be secular, neutral and non-ideological.
8. The program or facility is duly registered with the New York State Office of Children and Family Services as a school-age child care program or facility pursuant to the Social Services Law and regulations of the Commissioner of the Office of Children and Family Services if the program or facility serves seven or more children from kindergarten through age 12 and does not meet all of the following criteria:
 - (a) the program is conducted during non-school hours;
 - (b) the program is operated by a public school district or by a private school or academy which is providing elementary or secondary education or both in accordance with the compulsory education requirements of the Education law; and
 - (c) the program is located on the premises or campus where the elementary or secondary education is provided.

SCHOOL PRAYER CERTIFICATION

As a condition of receiving federal funds under the Elementary and Secondary Education Act, as amended by the No Child Left Behind Act of 2001 (NCLB), the local educational agency hereby certifies that no policy of the local educational agency prevents, or otherwise denies participation in, constitutionally protected prayer in public

elementary schools and secondary schools, as detailed in the current guidance issued pursuant to NCLB Section 9524(a).

APPENDICES

| | |
|---|----|
| Appendix A: Standard Clauses for NYS Contracts..... | 66 |
| Appendix B: Goals and Measurable Outcomes | 76 |
| Appendix C: Workplan/Timeline..... | 78 |
| Appendix D: Sample Dissemination Activities | 79 |
| Appendix E: STLE 1, 2, and 3 Grantees/Eligible STLE-D Applicants | 84 |
| Appendix F: Scoring Rubrics..... | 89 |
| Appendix G: NYSED Consortium Policy for State and Federal Discretionary Grant Programs..... | 94 |
| Appendix H: Prequalification Application for Grants Reform | 95 |
| Appendix I: Additional Resources | 97 |

Appendix A

STANDARD CLAUSES FOR NYS CONTRACTS

The parties to the attached contract, license, lease, amendment or other agreement of any kind (hereinafter, "the contract" or "this contract") agree to be bound by the following clauses which are hereby made a part of the contract (the word "Contractor" herein refers to any party other than the State, whether a contractor, licensor, licensee, lessor, lessee or any other party):

1. **EXECUTORY CLAUSE.** In accordance with Section 41 of the State Finance Law, the State shall have no liability under this contract to the Contractor or to anyone else beyond funds appropriated and available for this contract.

2. **NON-ASSIGNMENT CLAUSE.** In accordance with Section 138 of the State Finance Law, this contract may not be assigned by the Contractor or its right, title or interest therein assigned, transferred, conveyed, sublet or otherwise disposed of without the State's previous written consent, and attempts to do so are null and void. Notwithstanding the foregoing, such prior written consent of an assignment of a contract let pursuant to Article XI of the State Finance Law may be waived at the discretion of the contracting agency and with the concurrence of the State Comptroller where the original contract was subject to the State Comptroller's approval, where the assignment is due to a reorganization, merger or consolidation of the Contractor's business entity or enterprise. The State retains its right to approve an assignment and to require that any Contractor demonstrate its responsibility to do business with the State. The Contractor may, however, assign its right to receive payments without the State's prior written consent unless this contract concerns Certificates of Participation pursuant to Article 5-A of the State Finance Law.

3. **COMPTROLLER'S APPROVAL.** In accordance with Section 112 of the State Finance Law (or, if this

contract is with the State University or City University of New York, Section 355 or Section 6218 of the Education Law), if this contract exceeds \$50,000 (or the minimum thresholds agreed to by the Office of the State Comptroller for certain S.U.N.Y. and C.U.N.Y. contracts), or if this is an amendment for any amount to a contract which, as so amended, exceeds said statutory amount, or if, by this contract, the State agrees to give something other than money when the value or reasonably estimated value of such consideration exceeds \$10,000, it shall not be valid, effective or binding upon the State until it has been approved by the State Comptroller and filed in his office.

Comptroller's approval of contracts let by the Office of General Services is required when such contracts exceed \$85,000 (State Finance Law Section 163.6-a). However, such pre-approval shall not be required for any contract established as a centralized contract through the Office of General Services or for a purchase order or other transaction issued under such centralized contract.

4. **WORKERS' COMPENSATION BENEFITS.** In accordance with Section 142 of the State Finance Law, this contract shall be void and of no force and effect unless the Contractor shall provide and maintain coverage during the life of this contract for the benefit of such employees as are required to be covered by the provisions of the Workers' Compensation Law.

5. **NON-DISCRIMINATION REQUIREMENTS.** To the extent required by Article 15 of the Executive Law (also known as the Human Rights Law) and all other State and Federal statutory and constitutional non-discrimination provisions, the Contractor will not discriminate against any employee or applicant for employment because of race, creed, color, sex (including gender identity or expression), national origin, sexual orientation, military status, age, disability, predisposing genetic characteristics, marital status or domestic violence victim status. Furthermore, in accordance with Section 220-e of

the Labor Law, if this is a contract for the construction, alteration or repair of any public building or public work or for the manufacture, sale or distribution of materials, equipment or supplies, and to the extent that this contract shall be performed within the State of New York, Contractor agrees that neither it nor its subcontractors shall, by reason of race, creed, color, disability, sex, or national origin: (a) discriminate in hiring against any New York State citizen who is qualified and available to perform the work; or (b) discriminate against or intimidate any employee hired for the performance of work under this contract. If this is a building service contract as defined in Section 230 of the Labor Law, then, in accordance with Section 239 thereof, Contractor agrees that neither it nor its subcontractors shall by reason of race, creed, color, national origin, age, sex or disability: (a) discriminate in hiring against any New York State citizen who is qualified and available to perform the work; or (b) discriminate against or intimidate any employee hired for the performance of work under this contract. Contractor is subject to fines of \$50.00 per person per day for any violation of Section 220-e or Section 239 as well as possible termination of this contract and forfeiture of all moneys due hereunder for a second or subsequent violation.

6. WAGE AND HOURS PROVISIONS. If this is a public work contract covered by Article 8 of the Labor Law or a building service contract covered by Article 9 thereof, neither Contractor's employees nor the employees of its subcontractors may be required or permitted to work more than the number of hours or days stated in said statutes, except as otherwise provided in the Labor Law and as set forth in prevailing wage and supplement schedules issued by the State Labor Department. Furthermore, Contractor and its subcontractors must pay at least the prevailing wage rate and pay or provide the prevailing supplements, including the premium rates for overtime pay, as determined by the State Labor Department in accordance with the Labor Law. Additionally, effective April 28, 2008, if this is a public work contract covered by Article 8 of the

Labor Law, the Contractor understands and agrees that the filing of payrolls in a manner consistent with Subdivision 3-a of Section 220 of the Labor Law shall be a condition precedent to payment by the State of any State approved sums due and owing for work done upon the project.

7. NON-COLLUSIVE BIDDING CERTIFICATION. In accordance with Section 139-d of the State Finance Law, if this contract was awarded based upon the submission of bids, Contractor affirms, under penalty of perjury, that its bid was arrived at independently and without collusion aimed at restricting competition. Contractor further affirms that, at the time Contractor submitted its bid, an authorized and responsible person executed and delivered to the State a non-collusive bidding certification on Contractor's behalf.

8. INTERNATIONAL BOYCOTT PROHIBITION. In accordance with Section 220-f of the Labor Law and Section 139-h of the State Finance Law, if this contract exceeds \$5,000, the Contractor agrees, as a material condition of the contract, that neither the Contractor nor any substantially owned or affiliated person, firm, partnership or corporation has participated, is participating, or shall participate in an international boycott in violation of the federal Export Administration Act of 1979 (50 USC App. Sections 2401 et seq.) or regulations thereunder. If such Contractor, or any of the aforesaid affiliates of Contractor, is convicted or is otherwise found to have violated said laws or regulations upon the final determination of the United States Commerce Department or any other appropriate agency of the United States subsequent to the contract's execution, such contract, amendment or modification thereto shall be rendered forfeit and void. The Contractor shall so notify the State Comptroller within five (5) business days of such conviction, determination or disposition of appeal (2NYCRR 105.4).

9. SET-OFF RIGHTS. The State shall have all of its common law, equitable and statutory rights of set-

off. These rights shall include, but not be limited to, the State's option to withhold for the purposes of set-off any moneys due to the Contractor under this contract up to any amounts due and owing to the State with regard to this contract, any other contract with any State department or agency, including any contract for a term commencing prior to the term of this contract, plus any amounts due and owing to the State for any other reason including, without limitation, tax delinquencies, fee delinquencies or monetary penalties relative thereto. The State shall exercise its set-off rights in accordance with normal State practices including, in cases of set-off pursuant to an audit, the finalization of such audit by the State agency, its representatives, or the State Comptroller.

10. RECORDS. The Contractor shall establish and maintain complete and accurate books, records, documents, accounts and other evidence directly pertinent to performance under this contract (hereinafter, collectively, "the Records"). The Records must be kept for the balance of the calendar year in which they were made and for six (6) additional years thereafter. The State Comptroller, the Attorney General and any other person or entity authorized to conduct an examination, as well as the agency or agencies involved in this contract, shall have access to the Records during normal business hours at an office of the Contractor within the State of New York or, if no such office is available, at a mutually agreeable and reasonable venue within the State, for the term specified above for the purposes of inspection, auditing and copying. The State shall take reasonable steps to protect from public disclosure any of the Records which are exempt from disclosure under Section 87 of the Public Officers Law (the "Statute") provided that: (i) the Contractor shall timely inform an appropriate State official, in writing, that said records should not be disclosed; and (ii) said records shall be sufficiently identified; and (iii) designation of said records as exempt under the Statute is reasonable. Nothing contained herein shall diminish, or in any way adversely affect, the State's right to discovery in any pending or future litigation.

11. IDENTIFYING INFORMATION AND PRIVACY NOTIFICATION. (a) Identification Number(s). Every invoice or New York State Claim for Payment submitted to a New York State agency by a payee, for payment for the sale of goods or services or for transactions (e.g., leases, easements, licenses, etc.) related to real or personal property must include the payee's identification number. The number is any or all of the following: (i) the payee's Federal employer identification number, (ii) the payee's Federal social security number, and/or (iii) the payee's Vendor Identification Number assigned by the Statewide Financial System. Failure to include such number or numbers may delay payment. Where the payee does not have such number or numbers, the payee, on its invoice or Claim for Payment, must give the reason or reasons why the payee does not have such number or numbers.

(b) Privacy Notification. (1) The authority to request the above personal information from a seller of goods or services or a lessor of real or personal property, and the authority to maintain such information, is found in Section 5 of the State Tax Law. Disclosure of this information by the seller or lessor to the State is mandatory. The principal purpose for which the information is collected is to enable the State to identify individuals, businesses and others who have been delinquent in filing tax returns or may have understated their tax liabilities and to generally identify persons affected by the taxes administered by the Commissioner of Taxation and Finance. The information will be used for tax administration purposes and for any other purpose authorized by law. (2) The personal information is requested by the purchasing unit of the agency contracting to purchase the goods or services or lease the real or personal property covered by this contract or lease. The information is maintained in the Statewide Financial System by the Vendor Management Unit within the Bureau of State Expenditures, Office of the State Comptroller, 110 State Street, Albany, New York 12236.

12. EQUAL EMPLOYMENT OPPORTUNITIES FOR MINORITIES AND WOMEN. In accordance with Section 312 of the Executive Law and 5 NYCRR 143, if this contract is: (i) a written agreement or purchase order instrument, providing for a total expenditure in excess of \$25,000.00, whereby a contracting agency is committed to expend or does expend funds in return for labor, services, supplies, equipment, materials or any combination of the foregoing, to be performed for, or rendered or furnished to the contracting agency; or (ii) a written agreement in excess of \$100,000.00 whereby a contracting agency is committed to expend or does expend funds for the acquisition, construction, demolition, replacement, major repair or renovation of real property and improvements thereon; or (iii) a written agreement in excess of \$100,000.00 whereby the owner of a State assisted housing project is committed to expend or does expend funds for the acquisition, construction, demolition, replacement, major repair or renovation of real property and improvements thereon for such project, then the following shall apply and by signing this agreement the Contractor certifies and affirms that it is Contractor's equal employment opportunity policy that:

(a) The Contractor will not discriminate against employees or applicants for employment because of race, creed, color, national origin, sex, age, disability or marital status, shall make and document its conscientious and active efforts to employ and utilize minority group members and women in its work force on State contracts and will undertake or continue existing programs of affirmative action to ensure that minority group members and women are afforded equal employment opportunities without discrimination. Affirmative action shall mean recruitment, employment, job assignment, promotion, upgradings, demotion, transfer, layoff, or termination and rates of pay or other forms of compensation;

(b) at the request of the contracting agency, the Contractor shall request each employment agency,

labor union, or authorized representative of workers with which it has a collective bargaining or other agreement or understanding, to furnish a written statement that such employment agency, labor union or representative will not discriminate on the basis of race, creed, color, national origin, sex, age, disability or marital status and that such union or representative will affirmatively cooperate in the implementation of the Contractor's obligations herein; and

(c) the Contractor shall state, in all solicitations or advertisements for employees, that, in the performance of the State contract, all qualified applicants will be afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex, age, disability or marital status.

Contractor will include the provisions of "a", "b", and "c" above, in every subcontract over \$25,000.00 for the construction, demolition, replacement, major repair, renovation, planning or design of real property and improvements thereon (the "Work") except where the Work is for the beneficial use of the Contractor. Section 312 does not apply to: (i) work, goods or services unrelated to this contract; or (ii) employment outside New York State. The State shall consider compliance by a contractor or subcontractor with the requirements of any federal law concerning equal employment opportunity which effectuates the purpose of this section. The contracting agency shall determine whether the imposition of the requirements of the provisions hereof duplicate or conflict with any such federal law and if such duplication or conflict exists, the contracting agency shall waive the applicability of Section 312 to the extent of such duplication or conflict. Contractor will comply with all duly promulgated and lawful rules and regulations of the Department of Economic Development's Division of Minority and Women's Business Development pertaining hereto.

13. CONFLICTING TERMS. In the event of a conflict between the terms of the contract (including any and all attachments thereto and amendments thereof) and the terms of this Appendix A, the terms of this Appendix A shall control.

14. GOVERNING LAW. This contract shall be governed by the laws of the State of New York except where the Federal supremacy clause requires otherwise.

15. LATE PAYMENT. Timeliness of payment and any interest to be paid to Contractor for late payment shall be governed by Article 11-A of the State Finance Law to the extent required by law.

16. NO ARBITRATION. Disputes involving this contract, including the breach or alleged breach thereof, may not be submitted to binding arbitration (except where statutorily authorized), but must, instead, be heard in a court of competent jurisdiction of the State of New York.

17. SERVICE OF PROCESS. In addition to the methods of service allowed by the State Civil Practice Law & Rules ("CPLR"), Contractor hereby consents to service of process upon it by registered or certified mail, return receipt requested. Service hereunder shall be complete upon Contractor's actual receipt of process or upon the State's receipt of the return thereof by the United States Postal Service as refused or undeliverable. Contractor must promptly notify the State, in writing, of each and every change of address to which service of process can be made. Service by the State to the last known address shall be sufficient. Contractor will have thirty (30) calendar days after service hereunder is complete in which to respond.

18. PROHIBITION ON PURCHASE OF TROPICAL HARDWOODS. The Contractor certifies and warrants that all wood products to be used under this contract award will be in accordance with, but not limited to, the specifications and provisions of Section 165 of the State Finance Law, (Use of Tropical Hardwoods) which prohibits purchase and

use of tropical hardwoods, unless specifically exempted, by the State or any governmental agency or political subdivision or public benefit corporation. Qualification for an exemption under this law will be the responsibility of the contractor to establish to meet with the approval of the State.

In addition, when any portion of this contract involving the use of woods, whether supply or installation, is to be performed by any subcontractor, the prime Contractor will indicate and certify in the submitted bid proposal that the subcontractor has been informed and is in compliance with specifications and provisions regarding use of tropical hardwoods as detailed in §165 State Finance Law. Any such use must meet with the approval of the State; otherwise, the bid may not be considered responsive. Under bidder certifications, proof of qualification for exemption will be the responsibility of the Contractor to meet with the approval of the State.

19. MACBRIDE FAIR EMPLOYMENT PRINCIPLES. In accordance with the MacBride Fair Employment Principles (Chapter 807 of the Laws of 1992), the Contractor hereby stipulates that the Contractor either (a) has no business operations in Northern Ireland, or (b) shall take lawful steps in good faith to conduct any business operations in Northern Ireland in accordance with the MacBride Fair Employment Principles (as described in Section 165 of the New York State Finance Law), and shall permit independent monitoring of compliance with such principles.

20. OMNIBUS PROCUREMENT ACT OF 1992. It is the policy of New York State to maximize opportunities for the participation of New York State business enterprises, including minority and women-owned business enterprises as bidders, subcontractors and suppliers on its procurement contracts.

Information on the availability of New York State subcontractors and suppliers is available from:

NYS Department of Economic Development
Division for Small Business
Albany, New York 12245
Telephone: 518-292-5100
Fax: 518-292-5884
email: opa@esd.ny.gov

A directory of certified minority and women-owned business enterprises is available from:

NYS Department of Economic Development
Division of Minority and Women's Business Development
633 Third Avenue
New York, NY 10017
212-803-2414
email: mwbecertification@esd.ny.gov
<https://ny.newnycontracts.com/FrontEnd/VendorSearchPublic.asp>

The Omnibus Procurement Act of 1992 requires that by signing this bid proposal or contract, as applicable, Contractors certify that whenever the total bid amount is greater than \$1 million:

(a) The Contractor has made reasonable efforts to encourage the participation of New York State Business Enterprises as suppliers and subcontractors, including certified minority and women-owned business enterprises, on this project, and has retained the documentation of these efforts to be provided upon request to the State;

(b) The Contractor has complied with the Federal Equal Opportunity Act of 1972 (P.L. 92-261), as amended;

(c) The Contractor agrees to make reasonable efforts to provide notification to New York State residents of employment opportunities on this project through listing any such positions with the Job Service Division of the New York State Department of Labor, or providing such notification in such manner as is consistent with existing collective bargaining contracts or agreements. The Contractor agrees to

document these efforts and to provide said documentation to the State upon request; and

(d) The Contractor acknowledges notice that the State may seek to obtain offset credits from foreign countries as a result of this contract and agrees to cooperate with the State in these efforts.

21.RECIPROCITY AND SANCTIONS PROVISIONS.

Bidders are hereby notified that if their principal place of business is located in a country, nation, province, state or political subdivision that penalizes New York State vendors, and if the goods or services they offer will be substantially produced or performed outside New York State, the Omnibus Procurement Act 1994 and 2000 amendments (Chapter 684 and Chapter 383, respectively) require that they be denied contracts which they would otherwise obtain. NOTE: As of May 15, 2002, the list of discriminatory jurisdictions subject to this provision includes the states of South Carolina, Alaska, West Virginia, Wyoming, Louisiana and Hawaii. Contact NYS Department of Economic Development for a current list of jurisdictions subject to this provision.

22.COMPLIANCE WITH NEWYORK STATE INFORMATION SECURITY BREACH AND NOTIFICATION ACT. Contractor shall comply with the provisions of the New York State Information Security Breach and Notification Act (General Business Law Section 899-aa; State Technology Law Section 208).

23.COMPLIANCE WITH CONSULTANT DISCLOSURE LAW. If this is a contract for consulting services, defined for purposes of this requirement to include analysis, evaluation, research, training, data processing, computer programming, engineering, environmental, health, and mental health services, accounting, auditing, paralegal, legal or similar services, then, in accordance with Section 163 (4-g) of the State Finance Law (as amended by Chapter 10 of the Laws of 2006), the Contractor shall timely, accurately and properly comply with the requirement to submit an annual employment

report for the contract to the agency that awarded the contract, the Department of Civil Service and the State Comptroller.

24. PROCUREMENT LOBBYING. To the extent this agreement is a "procurement contract" as defined by

State Finance Law Sections 139-j and 139-k, by signing this agreement the contractor certifies and affirms that all disclosures made in accordance with State Finance Law Sections 139-j and 139-k are complete, true and accurate. In the event such certification is found to be intentionally false or intentionally incomplete, the State may terminate the agreement by providing written notification to the Contractor in accordance with the terms of the agreement.

25. CERTIFICATION OF REGISTRATION TO COLLECT SALES AND COMPENSATING USE TAX BY CERTAIN STATE CONTRACTORS, AFFILIATES AND SUBCONTRACTORS.

To the extent this agreement is a contract as defined by Tax Law Section 5-a, if the contractor fails to make the certification required by Tax Law Section 5-a or if during the term of the contract, the Department of Taxation and Finance or the covered agency, as defined by Tax Law 5-a, discovers that the certification, made under penalty of perjury, is false, then such failure to file or false certification shall be a material breach of this contract and this contract may be terminated, by providing written notification to the Contractor in accordance with the terms of the agreement, if the covered agency determines that such action is in the best interest of the State.

26. IRAN DIVESTMENT ACT. By entering into this Agreement, Contractor certifies in accordance with State Finance Law §165-a that it is not on the "Entities Determined to be Non-Responsive

Bidders/Offerers pursuant to the New York State Iran Divestment Act of 2012" ("Prohibited Entities List") posted at:

<http://www.ogs.ny.gov/about/regs/docs/ListofEntities.pdf>

Contractor further certifies that it will not utilize on this Contract any subcontractor that is identified on the Prohibited Entities List. Contractor agrees that should it seek to renew or extend this Contract, it must provide the same certification at the time the Contract is renewed or extended. Contractor also agrees that any proposed Assignee of this Contract will be required to certify that it is not on the Prohibited Entities List before the contract assignment will be approved by the State.

During the term of the Contract, should the state agency receive information that a person (as defined in State Finance Law §165-a) is in violation of the above-referenced certifications, the state agency will review such information and offer the person an opportunity to respond. If the person fails to demonstrate that it has ceased its engagement in the investment activity which is in violation of the Act within 90 days after the determination of such violation, then the state agency shall take such action as may be appropriate and provided for by law, rule, or contract, including, but not limited to, imposing sanctions, seeking compliance, recovering damages, or declaring the Contractor in default.

The state agency reserves the right to reject any bid, request for assignment, renewal or extension for an entity that appears on the Prohibited Entities List prior to the award, assignment, renewal or extension of a contract, and to pursue a responsibility review with respect to any entity that is awarded a contract and appears on the Prohibited Entities list after contract award.

Rev. January 2014

Appendix A-1 G

- A. In the event that the Contractor shall receive, from any source whatsoever, sums the payment of which is in consideration for the same costs and services provided to the State, the monetary obligation of the State hereunder shall be reduced by an equivalent amount provided, however, that nothing contained herein shall require such reimbursement where additional similar services are provided and no duplicative payments are received.
- B. This agreement is subject to applicable Federal and State Laws and regulations and the policies and procedures stipulated in the NYS Education Department Fiscal Guidelines found at <http://www.nysed.gov/cafe/>.
- C. For each individual for whom costs are claimed under this agreement, the contractor warrants that the individual has been classified as an employee or as an independent contractor in accordance with 2 NYCRR 315 and all applicable laws including, but not limited to, the Internal Revenue Code, the New York Retirement and Social Security Law, the New York Education Law, the New York Labor Law, and the New York Tax Law. Furthermore, the contractor warrants that all project funds allocated to the proposed budget for Employee Benefits, represent costs for employees of the contractor only and that such funds will not be expended on any individual classified as an independent contractor.
- D. Any modification to this Agreement that will result in a transfer of funds among program activities or budget cost categories, but does not affect the amount, consideration, scope or other terms of this Agreement must be approved by the Commissioner of Education and the Office of the State Comptroller when:
 - a. The amount of the modification is equal to or greater than ten percent of the total value of the contract for contracts of less than five million dollars; or
 - b. The amount of the modification is equal to or greater than five percent of the total value of the contract for contracts of more than five million dollars.
- E. Funds provided by this contract may not be used to pay any expenses of the State Education Department or any of its employees.

Terminations

- A. The State may terminate this Agreement without cause by thirty (30) days prior written notice. In the event of such termination, the parties will adjust the accounts due and the Contractor will undertake no additional expenditures not already required. Upon any such termination, the parties shall endeavor in an orderly manner to wind down activities hereunder.

Responsibility Provisions

A. General Responsibility Language

The Contractor shall at all times during the Contract term remain responsible. The Contractor agrees, if requested by the Commissioner of Education or his or her designee, to present evidence of its continuing legal authority to do business in New York State, integrity, experience, ability, prior performance, and organizational and financial capacity.

B. Suspension of Work (for Non-Responsibility)

The Commissioner of Education or his or her designee, in his or her sole discretion, reserves the right to suspend any or all activities under this Contract, at any time, when he or she discovers information that calls into question the responsibility of the Contractor. In the event of such suspension, the Contractor will be given written notice outlining the particulars of such suspension. Upon issuance of such notice, the Contractor must comply with the terms of the suspension order. Contract activity may resume at such time as the Commissioner of Education or his or her designee issues a written notice authorizing a resumption of performance under the Contract.

C. Termination (for Non-Responsibility)

Upon written notice to the Contractor, and a reasonable opportunity to be heard with appropriate SED officials or staff, the Contract may be terminated by the Commissioner of Education or his or her designee at the Contractor's expense where the Contractor is determined by the Commissioner of Education or his or her designee to be non-responsible. In such event, the Commissioner or his or her designee may complete the contractual requirements in any manner he or she may deem advisable and pursue available legal or equitable remedies for breach.

Safeguards for Services and Confidentiality

- A. Any copyrightable work produced pursuant to said agreement shall be the sole and exclusive property of the New York State Education Department. The material prepared under the terms of this agreement by the Contractor shall be prepared by the Contractor in a form so that it will be ready for copyright in the name of the New York State Education Department. Should the Contractor use the services of consultants or other organizations or individuals who are not regular employees of the Contractor, the Contractor and such organization or individual shall, prior to the performance of any work pursuant to this agreement, enter into a written agreement, duly executed, which shall set forth the services to be provided by such organization or individual and the consideration therefor. Such agreement shall provide that any copyrightable work produced pursuant to said agreement shall be the sole and exclusive property of the New York State Education Department and that such work shall be prepared in a form ready for copyright by the New York State Education Department. A copy of such agreement shall be provided to the State.
- B. All reports of research, studies, publications, workshops, announcements, and other activities funded as a result of this proposal will acknowledge the support provided by the State of New York.
- C. This agreement cannot be modified, amended, or otherwise changed except by a written agreement signed by all parties to this contract.
- D. No failure to assert any rights or remedies available to the State under this agreement shall be considered a waiver of such right or remedy or any other right or remedy unless such waiver is contained in a writing signed by the party alleged to have waived its right or remedy.
- E. Expenses for travel, lodging, and subsistence shall be reimbursed in accordance with the policies stipulated in the aforementioned Fiscal guidelines.
- F. No fees shall be charged by the Contractor for training provided under this agreement.
- G. Nothing herein shall require the State to adopt the curriculum developed pursuant to this agreement.
- H. All inquiries, requests, and notifications regarding this agreement shall be directed to the Program Contact or Fiscal Contact shown on the Grant Award included as part of this agreement.

- I. This agreement, including all appendices, is, upon signature of the parties and the approval of the Attorney General and the State Comptroller, a legally enforceable contract. Therefore, a signature on behalf of the Contractor will bind the Contractor to all the terms and conditions stated therein.
- J. The parties to this agreement intend the foregoing writing to be the final, complete, and exclusive expression of all the terms of their agreement.

Iran Divestment Act

As a result of the Iran Divestment Act of 2012 (Act), Chapter 1 of the 2012 Laws of New York, a new provision has been added to the State Finance Law (SFL), § 165-a, effective April 12, 2012. Under the Act, the Commissioner of the Office of General Services (OGS) will be developing a list (prohibited entities list) of “persons” who are engaged in “investment activities in Iran” (both are defined terms in the law). Pursuant to SFL § 165-a(3)(b), the initial list is expected to be issued no later than 120 days after the Act’s effective date, at which time it will be posted on the OGS website.

By entering into this Contract, Contractor (or any assignee) certifies that once the prohibited entities list is posted on the OGS website, it will not utilize on such Contract any subcontractor that is identified on the prohibited entities list.

Additionally, Contractor agrees that after the list is posted on the OGS website, should it seek to renew or extend the Contract, it will be required to certify at the time the Contract is renewed or extended that it is not included on the prohibited entities list. Contractor also agrees that any proposed Assignee of the Contract will be required to certify that it is not on the prohibited entities list before SED may approve a request for Assignment of Contract

During the term of the Contract, should SED receive information that a person is in violation of the above-referenced certification, SED will offer the person an opportunity to respond. If the person fails to demonstrate that it has ceased its engagement in the investment which is in violation of the Act within 90 days after the determination of such violation, then SED shall take such action as may be appropriate including, but not limited to, imposing sanctions, seeking compliance, recovering damages, or declaring the Contractor in default.

SED reserves the right to reject any request for assignment for an entity that appears on the prohibited entities list prior to the award of a contract, and to pursue a responsibility review with respect to any entity that is awarded a contract and appears on the prohibited entities list after contract award.

Rev. 6/4/13

Appendix B: Goals and Measurable Outcomes

Common Dissemination Goals

In Sections A and B, applicants must indicate the overarching goal(s) and associated baseline data, as well as the specific and measurable outcome(s) which will determine the program's success. Further, applicants must demonstrate the practices and innovations they seek to share with partner(s) are effective, using both qualitative and quantitative data from their STLE initiatives, and worthy of replication and dissemination.

Below includes a list of some of the dissemination goals. This list is intended to provide support and guidance for applicants; it is not comprehensive and its use is not required.

1. Create advanced leadership opportunities to leverage the talents of the district's highest performing principals and/or teacher leaders on principal career pathways
2. Attract and/or retain highly effective and/or effective principals in high needs schools/districts
3. Share recommendations and design plans for induction and pathway roles to support new principals and/or teacher leaders on principal career pathways
4. Extend the reach of highly effective and/or effective principals through modeling specific approaches to the development, implementation, and/or support of TLE system initiatives
5. Coach non-STLE principals and/or future principals – either one-on-one or in a small group – in specific, need identified topics (e.g., evidence-based observations, Data Driven Instruction, Common Core, setting rigorous SLOs)
6. STLE principal provides monthly professional development opportunities and conducts Professional Learning Communities (PLCs) through the use of technology (e.g., Skype, live webinars, website development for dissemination grant purposes)
7. STLE principals share effective practices in coaching teachers to improve instruction based on an analysis of observation, classroom-level, and student-level data
8. STLE principals share effective practices of creating and facilitating professional learning communities (PLCs) so that the non-STLE principals may provide educators with continuous improvement and collaboration opportunities.

Template for Goals and Measurable Outcomes

The following is a template to be used as guidance for including the overall program goals, the measurable outcomes which will determine the program's success, as well as the qualitative and quantitative data from the applicant's STLE initiatives that demonstrates that the initiatives that the applicant is seeking to share are effective and worth of replication and dissemination. This may be used in its entirety, modified as necessary, or disregarded for a more appropriate format as determined by the applicant.

Please note: the activities included in this template do not need to be specific, but details of these activities should be included in Section A.

| Overall Goals for STLE-D: | Quantitative Measurable Outcomes (2-3 measurable outcomes) | Baseline What is your starting point in your partner district, BOCES, or charter school or consortium districts, BOCES, or charter schools? | STLE Grant Funded Activities to be Disseminated through STLE-D | Evidence of Effectiveness of STLE Grant Funded Activities to be Disseminated through STLE-D |
|--|--|--|---|---|
| <p>Example 1: To have a positive impact on student learning through promoting and enhancing teacher professional growth by establishing grant funded peer to peer principal observation and evaluation and the critical feedback to create a culture of joint responsibility between teachers and principals.</p> | <ol style="list-style-type: none"> Over the grant period, there will be an increase in the percentage of teachers and principals whose HEDI ratings on the State-provided growth measure differ by less than two rating categories from their overall HEDI ratings. Increase the retention rate of highly-effective and effective teachers and principals to 98 percent. 85% of all students grades 3-8 will receive a level 3 or 4 on the NYS Math Assessment by June, 2015. | <ol style="list-style-type: none"> Currently 60 percent of teachers and 65 percent of principals in the partner district have HEDI ratings that differ by less than two rating categories from their overall HEDI rating. From the 2012-13 to 2013-14 school year 60 percent of effective and highly-effective teachers and 50 percent of highly-effective and effective principals returned to the partner district. 80% of students grades 3-8 in the partner district received a 3 or 4 on the NYS Math Assessment in June 2013. | <ol style="list-style-type: none"> Highly effective/Effective principals in the STLE district will take on master principal roles. A master principal will act as a mentor to non-STLE principals and/or teachers on principal career pathways. The STLE principal will also conduct site visits and provide consistent feedback and actionable recommendations to improve school culture in the partner district. Mentors and mentees will observe teacher lessons weekly and conduct post observation debriefing to cultivate a school culture of high expectation and trust grounded in effective teaching practice. | <ol style="list-style-type: none"> A year end survey of teaching staff at the applicant's district indicated 95 percent of teachers feel their principal was highly effective or effective at creating a school culture of high expectations and joint responsibility for student achievement. One hundred percent of teachers in the applicant's district had a HEDI rating on the State-provided growth measure that differs by less than two rating categories from their overall HEDI rating. One hundred percent of teacher and principals rated highly effective or effective in 2013-14 will be returning to the district in 2014-15. |
| | | | | |
| | | | | |

Appendix C: Workplan/Timeline

The following is a template to be used as guidance for creating the workplan/timeline. This may be used in its entirety, modified as necessary, or disregarded for a more appropriate format as determined by the applicant, as is relevant to an applicant's proposal and intention for the Teacher Excellence Fund performance awards.

| Month/Year | Details |
|---|--|
| <i>This template has been divided on a monthly basis as an example.</i> | <i>This column should include activity, title(s), and a brief description (1-3 sentences), including relevant staff/outside resources, general resources, etc. necessary to implement the proposed Strengthening Teacher and Leader Effectiveness Dissemination Grant program (e.g., communications, program elements implemented, award payment schedule)</i> |
| November 2014 | |
| December 2014 | |
| January 2015 | |
| February 2015 | |
| March 2015 | |
| April 2015 | |
| May 2015 | |
| June 2015 | |
| July 2015 | Final reports due to NYSED by July 15. |

Appendix D: Sample Dissemination Activities⁸

Please see below for possible examples of dissemination activities that may be proposed in an applicant's STLE-D application. **These are hypothetical and illustrative only and are provided to assist applicants considering applying for this grant.** It is not expected that an applicant would propose to complete all of the dissemination activities listed below, as NYSED understands that each program will vary in its scope dependent upon the unique needs of the proposed partnership/consortium.

Example Grantee A:

- Teacher Leaders and administrators have helped to bring about a cultural shift for Grantee A's district by providing targeted, job-embedded supports for individual teachers and administrators, especially in the areas of literacy, APPR, and the Common Core (CCLS). With the support and leadership of Teacher Leaders and Principal Leaders, the district has taken great steps to prepare educators for the shifts required by the Common Core, which is evidenced by the increase in rubric scores due to the observation of lessons that incorporate higher-order thinking and enhanced student engagement.

Possible Dissemination Activities:

- Under STLE-D, Grantee A's Principal Leaders will work with their district's Teacher Leaders to create a series of webinars highlighting the targeted supports necessary to bring about a cultural shift. These webinars will be made available to the partner district. Additionally, these webinars will be provided to the State's TLE Office for distribution to others across the State.
- The STLE Principal Leaders will provide support to the non-STLE principal(s) and relevant stakeholders as a needs assessment and action plan is completed for the non-STLE district. The needs assessment will identify what current targeted supports are required within the district and create an appropriate plan of action including, but not limited to goals, measurable outcomes, roles and responsibilities, workplan/time line and communication plan.
- The STLE-D Principal Leaders will work with the non-STLE principal(s) and relevant stakeholders on a monthly basis in order to create a best practices "Toolkit" for teacher leaders and principal leaders. The "Toolkit" will feature necessary resources to ensure the plan of action is carried out with fidelity (e.g., will include Model Leadership behaviors within schools, best practices in cognitive coaching and peer mentoring, design recommendations for conducting Focus Walks).
- Grantee A's Lead Principals will continue the work that began through STLE 1 by providing teacher and school building leaders mentoring and coaching support based on district and school level goals and objectives. The Lead Principals will co-facilitate Focus Walks in order to use student data and evidence-based observation information to improve teacher and student performance.

⁸Please note that incorporating these examples into an applicant's STLE-D proposal does not guarantee or increase the likelihood of funding under this RFP.

Possible Dissemination Activities:

- The STLE principal(s) will facilitate monthly Professional Learning Communities (PLCs) with non-STLE principal(s) and future principals (teacher leaders), concentrating on Focus Walks based on the implementation of the Common Core-aligned instructional shifts. PLCs will take place both via Skype and in-person in order to better prepare teacher and school leaders to provide evidence-based feedback to teachers and novice principals.
 - The in-person PLCs will allow for the STLE principal(s) to lead Focus Walks and provide non-STLE principal(s) and future principals (teacher leaders) with job embedded professional development. The STLE principal(s) will open their building(s) to non-STLE principal(s) to model and de-brief best practices in the conduction of Focus Walks. These sessions will be facilitated and videotaped by outside experts from BOCES and the videos will be made available for future use and dissemination.
 - Under STLE-D, Grantee A's principal(s) will support the non-STLE principal(s) and teacher leader team(s) as they work to create and implement a Teacher Leader Focus Walk blueprint for their school(s). Based on evidence collected during the Focus Walks, the outside expert from BOCES will work with the partners to provide further educator supports and to develop content for students.
- Grantee A's district leadership team developed a cohesive vision for change through a system-wide understanding of the alignment among strategic Teacher and Leader Effectiveness initiatives and student performance outcomes. In doing so, the district has successfully responded to individual school needs and engaged in a system-wide model of professional learning to build and retain high performing educators.

Possible Dissemination Activities:

- Under STLE-D, Grantees A's district leadership team will work with non-STLE district leadership teams and principals to create a blueprint for the redesign of jobs, roles, and schedules in order to successfully implement new career pathway structures for high performing teachers and principals. This work may include, creating specific career pathway positions (e.g., Professional Development Leader, Content Developer, Turnaround Initiative Leader, Educator Consultant, Common Core Ambassador, APPR Liaison, etc.), crafting job descriptions to reflect the specific career pathway positions, determining roles and responsibilities for each position and/or supports necessary in order for the educator to be successful in their enhanced leadership role.
- The STLE district leadership team and Principal Leader(s) will provide consultancy support on ways in which the non-STLE district leadership team and principal(s) can, through the career pathways structure, build a system-wide culture based on high expectations, respect and accountability for exemplary performance. This guidance will include the shared development of a vision, measurable goals and outcomes, plans for retention of top performers, and a sustainability plan for career pathways that will last beyond the scope of Race to the Top.

Example Grantee B:

- Grantee B's STLE district recognized the importance of home-school partnerships and the complexity involved in growing and nurturing this type of relationship across a district. The district is continuously working to enhance family engagement through the STLE grant and teacher leadership opportunities, namely through Parent Academies led by Teacher Leaders under the direction of principals and the district leadership. The Parent Academies had a particular focus on reflecting what the Common Core looks like in practice and sessions were translated in multiple languages to ensure accessibility to all families within the district. Teacher and Principal Leaders successfully engaged families as partners in education through a year-long series of sessions that were divided by grade levels (K-2, 3-5, 6-8, 9-12). The sessions provided families an opportunity to ask questions and explore Common Core-aligned materials and resources in a hands-on, authentic manner.

Possible Dissemination Activities:

- Under STLE-D, Grantee B's Teacher and Principal Leaders will participate as speakers and expert facilitators at the non-STLE principal(s) school(s)/district with the specific focus on successful practices around family engagement and the implementation of Parent Academies.
- The STLE principal(s) and Teacher Leaders will work with the non-STLE principal(s) and teacher leaders to reflect upon current family engagement efforts, identify areas of strength and areas that could be enhanced, and strategically plan possible next steps for strengthening the home-school connection at the district, building, and/or classroom level. Guidance might include ways in which to overcome language barriers, appropriate resources to enhance an educator's awareness of cultural differences, and/or common barriers of family engagement.
- The partnership will work with BOCES to develop a video/webinar series aimed at families demonstrating the instructional shifts and providing homework help tips for families and students.

Example Grantee C:

Grantee C's STLE BOCES-led consortium program was uniquely designed to increase the impact of teacher and leader effectiveness in ten of its component school districts with the creation of both regional and district leader career ladder positions. Grant initiatives are allowing for principals to:

- Create a network of Principal Leaders to help their regional colleagues support the implementation of the Common Core, Data Driven Instruction, and Effective Teacher Evaluations within their districts and school buildings.
- Develop coaching relationships with a district principal coach from each component district. This cohort will enhance their understanding of best practices as an instructional leader that can be turned key by the district principal coach to their peers in their district.
- Build on regional professional development that focuses on the Common Core and Data Driven Instruction so that Principal Leaders can enhance their capacity to improve achievement at the school building level.
- Mentor new and early career principals throughout the region.

Possible Dissemination Activities:

- Under STLE-D, Grantee C's BOCES is proposing to work with remaining non-STLE component districts and new principals in the existing component districts to create a similar model of regional principal leadership to extend the reach of its most effective principals beyond their building as well as their district. The STLE Grantee's regional principal coaches will share their practices with non-STLE principals and teacher leaders who are on principal leadership pathways via a monthly Professional Learning Community (PLC).
- Grantee C's principals, in collaboration with the non-STLE principals and teacher leaders, will also design a new principal orientation and a year-long new principal induction program, prioritizing content as needed. BOCES will support the development and execution of the content of these sessions and coordinate and host all sessions. Principals across the STLE-component districts and the non-STLE component districts will receive a needs assessment conducted by an external partner to determine the necessary focus areas of the induction program.
- Principals across the STLE-component districts and non-STLE component districts will meet quarterly to share resources, including curriculum and assessments, and to receive coaching from BOCES and/or external partners on specific teaching and learning challenges.
- Principals across the STLE-component districts will open up their school buildings to the non-STLE district principals and teacher leaders to model best practices and prepare protocol documents that highlight areas of success/best practice that others might observe. BOCES will develop a video series to highlight some of these best practices for further dissemination.
- Grantee C's principals will establish and maintain a 1:1 mentoring relationship with first or second year non-STLE principals. Mentoring activities might include, monthly conversations by phone and/or Skype to address challenges and/or needs, opportunities for the non-STLE principal to visit the STLE-principal's school/district in order to observe best practices, the non-STLE principal receives job-embedded professional development in order to better lead high-quality, rigorous, student-centered instructional programs.

Example Grantee D:

- Grantee D's STLE program has formed a partnership with an external vendor which has allowed for principals to receive targeted professional development support with implementing APPR and to build capacity of its Teacher Leaders as peer observers. Principals and Teacher Leaders are receiving monthly professional development in observation calibration. This targeted support has ensured principals and Teacher Leaders are receiving the support and training necessary to complete effective teacher evaluations. School building and Teacher Leaders will expand their reach by participating in mentoring and job embedded professional development with new staff. This will be encouraged by incentivized pay and the opportunity to receive one-on-one expert coaching. More than 1/3 of the principals and Teacher Leaders in Grantee D's district will be new or new to their positions in this next school year.

Possible Dissemination Activities:

- Under STLE-D, Grantee D's principals and Teacher Leaders on principal pathways will partner with new, non-STLE principals and teacher leaders on principal pathways within the district to undergo shared calibration sessions and all principals and Teacher Leaders on principal pathways will receive one-on-one expert coaching on evidence-based observations from an external partner.
- Grantee D's principals will serve as a demonstration site for their partner to visit to receive technical support in setting-up and implementing the systems necessary for effectively completing teacher observations and coaching. STLE principals will serve as expert consultants to all new, non-STLE principals.
- The STLE principal(s) will visit the buildings of the partnering principals on a regular basis in order to provide feedback and job embedded professional development to support how the new, non-STLE principal(s) carries out the observation and feedback process. The STLE Teacher Leaders will visit the classroom of the partnering, new teacher leaders on a regular basis in order to provide feedback and job embedded professional development to support how the new, non-STLE teacher leaders carry out the peer observations and feedback process.
- Grantee D's principals will extend their mentoring to any new, non-STLE partner teacher leaders on principal pathways. Activities might include evaluation calibration sessions, effective ways in which to use informal and formal observation data, the use of video as a tool to facilitate coaching and mentoring, providing supports to unique learners (ELLs and students with disabilities), communication and coaching strategies to better inform an educator's understanding of the evaluation process.

Appendix E: STLE 1, 2, and 3 Grantees/Eligible STLE-D Applicants

| Grantee | STLE 1 | STLE 2 | STLE 3 |
|---|--------|--------|--------|
| 1. Akron CSD | | | X |
| 2. Alden CSD | X | | |
| 3. Alexander CSD | | | X |
| 4. Alexandria CSD | | | X |
| 5. Amsterdam City SD | | X | |
| 6. Argyle CSD | | | X |
| 7. Ballston Spa CSD | | | X |
| 8. Beacon City SD | | X | |
| 9. Belleville Henderson CSD | | | X |
| 10. Berne-Knox-Westerlo CSD | | X | |
| 11. Binghamton City SD | X | | X |
| 12. Brasher Falls CSD | X | | X |
| 13. Broadalbin-Perth CSD | | X | |
| 14. Brockport CSD | | | X |
| 15. Brookfield CSD | | | X |
| 16. Broome-Tioga BOCES | | X | |
| 17. Byron-Bergen CSD | | | X |
| 18. Cambridge CSD | X | X | |
| 19. Canastota CSD | | | X |
| 20. Canisteo-Greenwood CSD | X | X | |
| 21. Canton CSD | | X | |
| 22. Capital Region BOCES | | X | |
| 23. Catskill CSD | | X | |
| 24. Central Square CSD | X | | X |
| 25. Central Valley CSD | | X | |
| 26. Chatham CSD | X | X | |
| 27. Cheektowaga CSD | X | | |
| 28. Cheektowaga-Maryvale UFSD | | | X |
| 29. Chenango Forks CSD | | | X |
| 30. Chenango Valley CSD | | X | |
| 31. Chester UFSD | | | X |
| 32. Clifton-Fine CSD | | X | |
| 33. Clyde-Savannah CSD | X | | |
| 34. Cobleskill-Richmondville CSD | | X | |
| 35. Cohoes City SD | | X | |
| 36. Colton-Pierrepont CSD | | | X |
| 37. Copenhagen CSD | | | X |
| 38. Corinth CSD | | | X |

| | | | | |
|-----|---|---|---|---|
| 39. | Coxsackie-Athens CSD | X | | X |
| 40. | Deer Park UFSD | | | X |
| 41. | Depew UFSD | | X | |
| 42. | Deposit CSD | | | X |
| 43. | Dover UFSD | | X | |
| 44. | Duanesburg CSD | X | | |
| 45. | Dutchess BOCES | | X | |
| 46. | East Rochester UFSD | | | X |
| 47. | Edwards-Knox CSD | | | X |
| 48. | Eldred CSD | | | X |
| 49. | Evans-Brant CSD (Lake Shore) | | X | |
| 50. | Fort Ann CSD | X | | X |
| 51. | Fort Plain CSD | | | X |
| 52. | Fredonia CSD | | | X |
| 53. | Freeport UFSD | X | | X |
| 54. | Fulton City SD | | | X |
| 55. | Gates-Chili CSD | X | | X |
| 56. | General Brown CSD | | | X |
| 57. | Gouverneur CSD | | X | |
| 58. | Granville CSD | | | X |
| 59. | Greater Johnstown SD | | | X |
| 60. | Greece CSD | X | X | |
| 61. | Green Island UFSD | | X | |
| 62. | Greenville CSD | X | | |
| 63. | Hadley-Luzerne CSD | | X | |
| 64. | Hamilton CSD | | | X |
| 65. | Hammond CSD | | X | |
| 66. | Hannibal CSD | | | X |
| 67. | Harpursville CSD | | X | |
| 68. | Harrisville CSD | | X | |
| 69. | Hartford CSD | | | X |
| 70. | Herkimer CSD | | X | |
| 71. | Herkimer-Fulton-Hamilton-Otsego BOCES | | X | |
| 72. | Hermon-Dekalb CSD | | X | |
| 73. | Heuvelton CSD | | X | |
| 74. | Hicksville UFSD | X | | |
| 75. | Highland CSD | | X | |
| 76. | Holland Patent CSD | | X | |
| 77. | Homer CSD | | | X |
| 78. | Hudson City SD | X | | X |

| | | | | |
|------|---|---|---|---|
| 79. | Hudson Falls CSD | | | X |
| 80. | Huntington UFSD | X | X | |
| 81. | Hyde Park CSD | | X | |
| 82. | Indian River CSD | | | X |
| 83. | Island Park UFSD | X | | |
| 84. | Jamestown City SD | | | X |
| 85. | Jefferson-Lewis BOCES | | | X |
| 86. | John W Lavelle Preparatory Charter School | X | | X |
| 87. | Johnson City CSD | | X | |
| 88. | Jordan-Elbridge CSD | | X | |
| 89. | La Fargeville CSD | | | X |
| 90. | Lisbon CSD | | X | |
| 91. | Lockport City SD | | X | |
| 92. | Long Beach City SD | X | | |
| 93. | Lyme CSD | | | X |
| 94. | Lyndonville CSD | | X | |
| 95. | Lyons CSD | X | | |
| 96. | Madison CSD | | | X |
| 97. | Madison-Oneida BOCES | | | X |
| 98. | Madrid-Waddington CSD | | X | |
| 99. | Malverne UFSD | | | X |
| 100. | Massena CSD | | X | |
| 101. | Mayfield CSD | X | | X |
| 102. | Medina CSD | | X | |
| 103. | Middleburgh CSD | X | | |
| 104. | Monticello CSD | X | | |
| 105. | Morristown CSD | | X | |
| 106. | Morrisville-Eaton CSD | | | X |
| 107. | Mt Morris CSD | X | | |
| 108. | Mt Vernon SD | | X | |
| 109. | New Rochelle City SD | | X | |
| 110. | New York City DOE | | | X |
| 111. | Newburgh City SD | | | X |
| 112. | Newfane CSD | X | | |
| 113. | Niagara-Wheatfield CSD | | | X |
| 114. | North Babylon UFSD | | X | |
| 115. | North Rose-Wolcott CSD | X | | |
| 116. | North Syracuse CSD | | X | |
| 117. | North Tonawanda City SD | | | X |
| 118. | Northeast CSD | | X | |

| | | | |
|--|---|---|---|
| 119. Norwood-Norfolk CSD | | X | |
| 120. Ogdensburg City SD | X | | X |
| 121. Oneida City SD | | | X |
| 122. Oneida-Herkimer-Madison BOCES | | | X |
| 123. Orange-Ulster BOCES | | | X |
| 124. Oriskany CSD | | | X |
| 125. Ossining UFSD | X | X | |
| 126. Oswego City SD | | | X |
| 127. Oswego County BOCES | | | X |
| 128. Owego-Apalachin CSD | | X | |
| 129. Palmyra-Macedon CSD | X | X | |
| 130. Parishville-Hopkinton CSD | | X | |
| 131. Patchogue-Medford UFSD | X | | |
| 132. Peekskill City SD | | | X |
| 133. Pembroke CSD | | X | |
| 134. Penn Yan CSD | | X | |
| 135. Phoenix CSD | | | X |
| 136. Pine Bush CSD | | X | |
| 137. Pine Plains CSD | | X | |
| 138. Port Chester-Rye UFSD | | X | |
| 139. Port Jervis City SD | | | X |
| 140. Potsdam CSD | | X | |
| 141. Ravena-Coeymans-Selkirk CSD | | X | |
| 142. Red Creek CSD | X | | X |
| 143. Remsen CSD | | | X |
| 144. Rochester City SD | X | X | |
| 145. Rotterdam-Mohonasen CSD | X | | X |
| 146. Sackets Harbor CSD | | | X |
| 147. Schoharie CSD | | X | |
| 148. Sharon Springs CSD | | X | |
| 149. Sherrill City SD (Vernon-Verona-Sherrill) | | | X |
| 150. Sodus CSD | | | X |
| 151. Solvay UFSD | | | X |
| 152. South Country CSD | | | X |
| 153. South Glens Falls CSD | | | X |
| 154. South Huntington UFSD | X | X | |
| 155. Southampton UFSD | | X | |
| 156. Southern Westchester BOCES | | X | |
| 157. Spencerport CSD | | X | |
| 158. St. Lawrence-Lewis BOCES | | X | |

| | | | |
|--|---|---|---|
| 159. Stockbridge Valley CSD | | | X |
| 160. Syracuse City SD | X | X | |
| 161. Taconic Hills CSD | | X | |
| 162. Thousand Islands CSD | | | X |
| 163. Tonawanda City SD | | | X |
| 164. Town Of Webb UFSD | | | X |
| 165. Union Free School District-Tarrytowns | X | | |
| 166. Uniondale UFSD | | | X |
| 167. Union-Endicott CSD | X | | |
| 168. Utica City SD | X | | |
| 169. Warrensburg CSD | | X | |
| 170. Watertown City SD | | | X |
| 171. Watervliet City SD | X | | |
| 172. West Babylon UFSD | X | | |
| 173. West Hempstead UFSD | | X | |
| 174. Westfield Academy and CSD | | | X |
| 175. Westmoreland CSD | | | |
| 176. Wheatland-Chili CSD | X | | X |
| 177. Whitesboro CSD | | | X |
| 178. William Floyd UFSD | X | | |
| 179. Williamson CSD | X | | X |
| 180. Windsor CSD | | X | |
| 181. Wyandanch UFSD | X | | |

Appendix F: Scoring Rubrics

As stated in the Application Review and Scoring section, all proposals will be reviewed by two reviewers and the scores will be averaged. If there is a score discrepancy greater than 20 points, the proposal will be read by a third reviewer. The two closest scores will be used and averaged unless the third reviewer score is equidistant from the others, in which case the third reviewer score will be solely used.

When final scores are compiled, any proposal that scores less than 60 points out of 100 will not be considered further.

In the event of a tie score, the applicant with the highest score for [Section A: Dissemination Activities and Justification](#) will be ranked higher.

Please be sure to carefully read the criteria/descriptors in the following scoring rubrics when writing the proposal.

| Quality Indicator | Description |
|-------------------|---|
| Very Good | Specific and comprehensive. Complete, detailed, and clearly articulated information as to how the criteria are met. Well-conceived and thoroughly developed ideas. |
| Good | General but sufficient detail. Adequate information as to how the criteria are met, but some areas are not fully explained and/or questions remain. Some minor inconsistencies and weaknesses. |
| Fair | Non-specific and lacks focus and detail. The response addresses some of the selection criteria, but not all. Some ideas presented are sound, but others are not responsive to the purpose of the RFP/required elements of the proposal. Additional information would be needed in order to be reasonably comprehensive and meet the criteria of a response that is good. |
| Poor | Does not meet many criteria; provides inaccurate information or provides information that would require substantial clarification as to how the criteria are met; lacks meaningful detail; demonstrates lack of preparation; or otherwise raises substantial concerns about the applicant's understanding of the issue in concept and/or ability to meet the requirement in practice. |
| N/A | Does not address the criteria or simply re-states the criteria. |

| | Very Good | Good | Fair | Poor | N/A |
|--|-----------|------|------|------|-----|
| A. Dissemination Activities and Justification [50 points] The applicant provides a comprehensive description of the district and project justification, including the following: | | | | | |
| Both qualitative and quantitative information regarding the size, grade levels, student composition, staff and any other information necessary to understand the partnering current and former STLE district(s), BOCES, or public charter school and/or non-STLE districts, BOCES, or public charter schools as a whole, as applicable. This should include any staffing challenges, as well as results of student testing and details about the community both in and out of the school(s). In addition, information should be provided as to why forming a partnership between the STLE principal and non-STLE principals and/or teacher leaders on principal career pathways is needed in order to support the development of a comprehensive TLE system. This should include the status/stage of development of the current career ladder in all participating districts/charter schools/BOCES as well as all other TLE system components. | 9 | 6 | 4 | 2 | 0 |
| Applicant should provide a general overview of the program to be funded through STLE-D. STLE grantees should include information regarding practices that have led to documented results and represent a product or service that can be shared with their partnering principal(s), Teacher Leader(s), district(s), BOCES, or public charter school(s). | 9 | 6 | 4 | 2 | 0 |
| Applicants will be awarded points based on the justification of how dissemination funds will assist the STLE grantee applicant in disseminating their successful innovations and best practices to non-STLE principals and/or teacher leaders on principal career pathways. Detail should be provided on how the partnership is designed to support the dissemination of effective practices and programs, focused on principals that are promising and/or successful in STLE schools, and will allow for our STLE grantees to share their successful innovations in a collaborative endeavor with their partner(s). If the applicant is a current or former STLE recipient seeking to create a partnership within their own district between STLE-principals and non-STLE principals and/or teacher leaders on principal career pathways, the applicant must make a compelling case for why it is important to receive additional funds to expand their STLE work deeper within their district. | 12 | 9 | 6 | 3 | 0 |
| Applicants must demonstrate the practices and innovations they seek to share with partner(s) are effective, using both | 12 | 9 | 6 | 3 | 0 |

| | Very Good | Good | Fair | Poor | N/A |
|---|-----------|------|------|------|-----|
| qualitative and quantitative data from their STLE initiatives, and worthy of replication and dissemination. | | | | | |
| Applicants must detail activities necessary to implement dissemination between the STLE and the non-STLE principals and/or teacher leaders on principal career pathways. These activities may include, but are not limited to, training, professional development, stipends (not to exceed \$30,000/stipend per individual). All proposed activities must be explained and justified in the context of the STLE and non-STLE district's, BOCES', or public charter school's relevant background information, current state of TLE continuum, and the support the STLE grantee can provide | 8 | 6 | 4 | 2 | 0 |
| Section A Score and Comments: | | | | | |
| Score () out of 50 | | | | | |

| | Very Good | Good | Fair | Poor | N/A |
|--|-----------|------|------|------|-----|
| B. Dissemination Support Summary [30 Points] The applicant provides comprehensive detail regarding the program's communication plan, workplan/timeline, the overall goals and measurable outcomes and organizational capacity for the applicant's dissemination activities. | | | | | |
| The communication plan clearly explains how and when the dissemination programs and activities will be discussed with all relevant stakeholders. This should include, for the entire grant period, dates of communication and presenter(s), audience for communication (e.g., "community at large" stakeholders, such as teachers, principals, and superintendent), form of communication, and key content of communication. | 6 | 4 | 2 | 1 | 0 |

| | | | | | |
|--|----------------------------------|----|---|---|---|
| <p>The applicant provides a realistic and rational workplan/timeline that includes the steps needed for implementation and what staff or outside resources will be leading the work. Information provided is for the entire grant period (November 1, 2014 through June 30, 2015). If appropriate, general next steps that extend beyond the life of the grant were noted.</p> | 6 | 4 | 2 | 1 | 0 |
| <p>Overarching goals and measurable outcomes are provided with a rationale that connects to the relevant background information, baseline data and takes into account the needs of the non-STLE principals and/or teacher leaders on principal career pathways in both current and former STLE districts, BOCES, or public charter schools and non-STLE districts, BOCES, or public charter schools. The goals and measurable outcomes indicate they will be accomplished by the end of the grant period. Applicants are encouraged to include additional goals and measurable outcomes that extend beyond the grant period to support sustainability of their proposed initiatives.</p> | 14 | 11 | 7 | 4 | 0 |
| <p>Applicants should provide a description of their and their partner’s organizational capacity to undertake the work to be funded through this RFP (and the organizational capacity of consortium members if applying as a consortium). Within this section, the applicant should describe how the program funded under this RFP will be monitored and coordinated, as well as how the applicant would make any mid-course corrections required to meet the deliverables and ensure results.</p> | 4 | 3 | 2 | 1 | 0 |
| | | | | | |
| <p>Section B Score and Comments:</p> | <p>Score () out of 30</p> | | | | |

| | Very Good | Good | Fair | Poor | N/A |
|---|-----------|------|------|------|-----|
| C. Budget Forms and Narrative [20 point] Provide details and justification for this funding request | | | | | |
| <ul style="list-style-type: none"> Includes all proposed expenditures and indicates the basis of calculation for each cost during the project period. Consortium applications demonstrate in the budget narrative that the lead applicant will not act solely as a flow through for grant funds and that a minimum of 20% of the dissemination funding will directly support the activities of the lead consortium applicant. | 5 | 4 | 3 | 2 | 0 |
| <ul style="list-style-type: none"> Illustrates how the proposed expenditures align with the proposal’s initiatives and goals. | 5 | 4 | 3 | 2 | 0 |
| <ul style="list-style-type: none"> There are no errors and the expenditures are consistent across the budget narrative and the FS-10. | 5 | 4 | 3 | 2 | 0 |
| <ul style="list-style-type: none"> Illustrates all proposed expenditures do not supplant or duplicate positions and/or activities already funded through other sources. If applicable, includes a detailed description of any other funding streams/contributions related to the proposed dissemination activities. | 5 | 4 | 3 | 2 | 0 |
| Section C Score and Comments: | | | | | |
| Score () out of 20 | | | | | |

Appendix G: NYSED Consortium Policy for State and Federal Discretionary Grant Programs

Participants can form a consortium to apply for the grant. In order to do so, the consortium must meet the following requirements:

1. The consortium must designate one of the members to serve as the applicant and fiscal agent for the grant. The applicant agency must be an eligible grant recipient. All other consortium members must be eligible grant participants, as defined by the program statute or regulation.
2. In the event a grant is awarded to a consortium, the grant or grant contract will be prepared in the name of the applicant agency/fiscal agent, not the consortium, since the group is not a legal entity.
3. The applicant agency/fiscal agent must meet the following requirements:
 - a. Must be an eligible grant recipient as defined by statute;
 - b. Must receive and administer the grant funds and submit the required reports to account for the use of grant funds;
 - c. Must require consortium partners to sign an agreement with the fiscal agent that specifically outlines all services each partner agrees to provide.
 - d. Must be an active member of the partnership/consortium.
 - e. Cannot act solely as a flow-through for grant funds to pass to other recipients. The fiscal agent must provide a minimum of 20% of the direct services supported by this grant, as reflected in the budget.
 - f. Is PROHIBITED from subgranting funds to other recipients. The fiscal agent is permitted to contract for services with other consortium partners or consultants to provide services that the fiscal agent cannot provide itself.
 - g. Must be responsible for the performance of any services provided by the partners, consultants, or other organizations and must coordinate how each plan to participate.

Appendix H: Prequalification Application for Grants Reform

PREQUALIFICATION FOR INDIVIDUAL APPLICATIONS

Pursuant to the New York State Division of Budget Bulletin H-1032, dated June 7, 2013, New York State has instituted key reform initiatives to the grant contract process which require not-for-profits to register in the Grants Gateway and complete the Vendor Prequalification process in order for proposals to be evaluated. Information on these initiatives can be found on the [Grants Reform Website](http://www.grantsreform.ny.gov/) (<http://www.grantsreform.ny.gov/>).

For this RFP, the award of funds to a not-for-profit will be contingent on the ability of the not-for-profit successfully completing the prequalification prior to the execution of the contract.

Below is a summary of the steps that must be completed to meet registration and prequalification requirements. The [Vendor Prequalification Manual](http://www.grantsreform.ny.gov/sites/default/files/docs/VENDOR_POLICY_MANUAL_V.2_10.10.13.pdf) (http://www.grantsreform.ny.gov/sites/default/files/docs/VENDOR_POLICY_MANUAL_V.2_10.10.13.pdf) on the Grants Reform Website details the requirements and an [online tutorial](http://grantsreform.ny.gov/youtube) (<http://grantsreform.ny.gov/youtube>) are available to walk users through the process.

1) Register for the Grants Gateway.

- On the Grants Reform Website, download a copy of the [Registration Form for Administrator](http://grantsreform.ny.gov/sites/default/files/RegistrationFormforAdministratorfillable.pdf) (<http://grantsreform.ny.gov/sites/default/files/RegistrationFormforAdministratorfillable.pdf>). A signed, notarized original form must be sent to the Division of Budget at the address provided in the instructions. You will be provided with a Username and Password allowing you to access the Grants Gateway.
- If you have previously registered and do not know your Username please email grantsreform@budget.ny.gov. If you do not know your Password please click the [Forgot Password](https://grantsgateway.ny.gov/IntelliGrants_NYSGG/PersonPassword2.aspx?Mode=Forgot) (https://grantsgateway.ny.gov/IntelliGrants_NYSGG/PersonPassword2.aspx?Mode=Forgot) link from the main log in page and follow the prompts.

2) Complete your Prequalification Application.

- Log in to the [Grants Gateway](https://grantsgateway.ny.gov/IntelliGrants_NYSGG/login2.aspx) (https://grantsgateway.ny.gov/IntelliGrants_NYSGG/login2.aspx) **If this is your first time logging in**, you will be prompted to change your password at the bottom of your Profile page. Enter a new password and click SAVE.
- Click the *Organization(s)* link at the top of the page and complete the required fields including selecting the State agency you have the most grants with. This page should be completed in its entirety before you SAVE. A *Document Vault* link will become available near the top of the page. Click this link to access the main Document Vault page.

- Answer the questions in the *Required Forms* and upload *Required Documents*. This constitutes your Prequalification Application. Optional Documents are not required unless specified in this Request for Proposal.
- Specific questions about the prequalification process should be referred to your agency representative at pregual@mail.nysed.gov or to the Grants Reform Team at grantsreform@budget.ny.gov.

3) Submit Your Prequalification Application

- After completing your Prequalification Application, click the **Submit Document Vault** Link located below the Required Documents section to submit your Prequalification Application for State agency review. Once submitted the status of the Document Vault will change to *In Review*.
- If your Prequalification reviewer has questions or requests changes you will receive email notification from the Gateway system.
- Once your Prequalification Application has been approved, you will receive a Gateway notification that you are now prequalified to do business with New York State.

Vendors are strongly encouraged to begin the process as soon as possible in order to participate in this opportunity.

Appendix I: Additional Resources

The following are resources for all components of the Teacher and Leader Effectiveness continuum.

Standards

1. *Educational Leadership Policy Standards*. Adopted by the National Policy Board for Educational Administration. Web. 2008.
http://www.ccsso.org/Documents/2008/Educational_Leadership_Policy_Standards_2008.pdf
2. *The New York State Mentoring Standards*. Web. 2012.
<http://www.highered.nysed.gov/tcert/pdf/mentoringstds10032011.pdf>
3. *The New York State Teaching Standards*. Web. 2011.
<http://www.highered.nysed.gov/tcert/pdf/teachingstandards9122011.pdf>

General

1. *ResourceCheck Tool: Assess your District's Resource Use*. Education Resource Strategies (ERS). July 2010. Tool. Web.
<http://www.erstrategies.org/info/tools>

1. Preparation

1. Adelman, Chad, Kevin Carey, Erin Dillon, Ben Miller, and Elena Silv. *A Measured Approach to Improving Teacher Preparation*. 2011. Education Sector. Web.
www.educationsector.org/sites/default/files/publications/TeacherPrep_Brief_RELEASE.pdf
2. Barnett, Berry, Alesha Daughtrey, and Alan Weider. *A better system for schools: developing, supporting, and retaining effective teachers*. Publication. Web.
http://teachersnetwork.org/effectiveteachers/images/CTQ_FULLResearchReport_021810.pdf
3. Boyd, Donald, Pamela Grossman, Hamilton Lankford, Susanna Loeb, and James Wyckoff. *Teacher Preparation and Student Achievement*. Publication. Educational Evaluation and Policy Analysis, vol.31, no. 4, pages 416-440, December 2009.
4. Goldhaber, D.D. & Brewer, D.J. (2000). *Does teacher certification matter? High school certification status and student achievement*. Educational Evaluation and Policy Analysis, 22, 129-145.
5. National Council on Teacher Quality. *National Review of Teacher Preparation Programs*. Publication. Web. <http://www.nctq.org/p/edschools/reports.jsp>
6. Teach For America. Research. Web. <http://www.teachforamerica.org/our-organization/research>
7. Wilson, S., Floden, R., & J. Ferrini-Mundy. (2001). *Teacher preparation research: Current knowledge, gaps, and recommendations*. University of Washington: Center for the Study of Teaching and Policy. Web. <http://depts.washington.edu/ctpmail/PDFs/TeacherPrep-WFFM-02-2001.pdf>

2. Recruitment and Placement

1. Alliance for Excellent Education. *Improving the Distribution of Teachers in Low-Performing Schools*. Web. <http://all4ed.org/reports-factsheets/improving-the-distribution-of-teachers-in-low-performing-high-schools/>
2. Byron, Auguste, Paul Kihn, and Matt Miller. *Closing the Talent Gap: Attracting and Retaining Top-Third Graduates to Careers in Teaching*. Washington, DC: McKinsey & Company, September 2010.
3. National Center for Education Evaluation and Regional Assistance. *Moving Teachers: Implementation of Transfer Incentives in Seven Districts*. 2012. Publication. Web. http://www.mathematica-mpr.com/publications/pdfs/education/TTI_fnlrpt.pdf
4. National Center on Teacher Quality. *Bumping HR: Giving Principals More Say Over Staffing*. 2010. Publication. Web. http://www.nctq.org/dmsView/Bumping_HR_Giving_Principals_More_Say_Over_Staffing_NCTQ_Report
5. Traveras, Jonathan and Barbara Christiansen. *Breaking the Cycle of Failure in the Charlotte-Mecklenburg Schools*. Publication. Education Resource Strategies (ERS) and The Aspen Institute. April 2010. Web. http://www.aspeninstitute.org/sites/default/files/content/docs/ED_Case_Study_Strategic_Staffing.pdf

3. Induction and Mentoring

1. Dunne, Kathy and Susan Villani. *Mentoring New Teachers Through Collaborative Coaching: Linking Teacher and Student Learning*. Stoneham, MA : WestEd, 2007.
2. Ingersoll, R. and Strong, M. (2011). *The Impact of Induction and Mentoring Programs for Beginning Teachers: A Critical Review of the Research*. Sage Publications, Inc. Review of Education Research.
3. Leap Year: Assessing and Supporting Effective First-Year Teachers. The New Teacher Project, 2013. Web. http://tntp.org/assets/documents/TNTP_LeapYear_2013.pdf
4. *Significant Research and Readings on Comprehensive Induction*. Publications. Web. http://www.newteacher.com/pdf/Significant_Research_on_Induction.pdf
5. Wood, Anne and Stanulis, Randi Nevins. Publication. *Quality Teacher Induction: "Fourth-Wave"(1997-2006) Induction Programs. 2009; The New Educator; Vol. 5, No. 1; pp. 1–23; ERIC*. Web. <http://www.eric.ed.gov/PDFS/EJ868911.pdf>
6. Wong, Harry K. "New Teacher Induction: The Foundation for Comprehensive, Coherent, and Sustained Professional Development," in *New Teacher Induction and Mentoring: The State of the Art and Beyond*, ed. Hal Portner. Thousand Oaks, Calif: Corwin Press, 2005.

4. Evaluation

Evaluating Teachers:

1. Glazerman, Steven, Susanna Loeb, Dan Goldhaber, Douglas Steiger, Stephen Raudenbush, and Grover Whitehurst. *Evaluating Teachers: The Important Role of Value Added*. Rep. The Brown Center on Education Policy at Brookings, 17 Nov. 2010. Web.
<http://www.brookings.edu/brown.aspx>
2. Goe, Laura. "Multiple Measures of Teacher Effectiveness." Address. National Comprehensive Center for Teacher Quality, 03 Dec. 2010. Web. <www.tqsource.com>.
3. *Issue Analysis: Building a Thriving Teacher WorkForce. Teacher Evaluation 2.0*. Publication. The New Teacher Project, Oct. 2010. Web. <http://tntp.org/assets/documents/Teacher-Evaluation-Oct10F.pdf?files/Teacher-Evaluation-Oct10F.pdf>
4. *Teacher Evaluation Tools*. Resources. Web. <http://resource.tqsource.org/GEP/>
5. Weisberg, Daniel, Susan Sexton, Jennifer Mulhern, and David Keeling. *The Widget Effect: Our National Failure to Acknowledge and Act on Differences in Teacher Effectiveness*. Publication. The New Teacher Project, 2009. Web.
http://tntp.org/assets/documents/TheWidgetEffect_2nd_ed.pdf?files/TheWidgetEffect_2nd_ed.pdf

Evaluating Principals:

1. *Evaluating Principals: Balancing Accountability with Professional Growth*. Rep. New Leaders for New Schools. Web. <http://www.newleaders.org/newsreports/publications/>
2. Iowa School Leaders with Support from School Administrators of Iowa and The Wallace Foundation. *Principal Leadership Performance Review: A Systems Approach*. Publication. Print.
3. *Measuring Principal Performance: How Rigorous Are Commonly Used Principal Performance Assessment Instruments?* Issue brief. Learning Point Associates, Feb. 2010. Web.
<http://www.learningpt.org/expertise/educatorquality/>
4. *Principal Leadership Actions: A Guide to Assessing Principal Actions That Drive Dramatic Gains in Student Achievement*. Publication. New Leaders for New Schools. Web.
<http://www.newleaders.org/>

5. Professional Development/Growth

1. Association for Supervision and Curriculum Development (ASCD). Resources. Web.
<http://www.ascd.org/Default.aspx>
2. EngageNY. Resources. Web. <http://engageny.org/>
3. Guskey, Thomas. *Evaluating Professional Development*. Thousand Oaks, CA: Corwin Press, 2000.
4. National Staff Development Council. Resources. Web.
<http://www.learningforward.org/index.cfm>

5. *Professional Development: Learning from the Best. A Toolkit for Schools and Districts Based on the National Awards Program for Model Professional Development.* North Central Regional Educational Laboratory: Learning Point Associates. U.S. Department of Education. Web. <http://goal.learningpt.org/catalog/default.asp>
6. Udelhofen, Susan and Larson, Kathy. *The Mentoring Year: A Step-by-Step Program for Professional Development.* Thousand Oaks, CA : Corwin Press, 2003.
7. Yoon, Kwang Suk, Teresa Duncan, Silbia Wen-Yu Lee, Beth Scarloss, and Kathy L. Shaple. *Reviewing the Evidence on How Teacher Professional Development Affects Student Achievement.* 2007. Publication. Web. http://ies.ed.gov/ncee/edlabs/regions/southwest/pdf/REL_2007033.pdf

6. Performance Management

1. Heneman, Herbert G., Anthony T. Milanowski. *Assessing Human Resource Alignment: The Foundation for Building Total Teacher Quality Improvement.* 2007. Publication. Web. http://www.smhc-cpre.org/wp-content/uploads/2009/03/carnegie-monograph_final.pdf
2. Watson, Jeffrey G., Sara B. Kraemer, and Christopher A. Thorn. *Data Quality Essentials. Guide to Implementation: Resources for Applied Practice.* 2009. Publication. Web. <http://cecr.ed.gov/pdfs/guide/dataQuality.pdf>
3. Weiner, Ross and Ariel Jacobs. *Designing and Implementing Teacher Performance Management Systems: Pitfalls and Possibilities.* 2011. Publication. Web. <http://www.aspeninstitute.org/publications/designing-implementing-teacher-performance-management-systems-pitfalls-possibilities-0>

7. Career Ladder

1. Agua Fria Union High School District. *Career Ladder Handbook 2007-2008.* Web. <http://www.aguafria.org/education/dept/deptinfo.php?sectiondetailid=5707&>
2. Amphitheater Public Schools. 2013. *Amphitheater Career Ladder Program.* Web. <http://www.amphi.com/departments--programs/career-ladder.aspx>
3. Barge, J. 2012. Georgia Professional Standards Commission. Georgia Department of Education. *Georgia Career Ladder Framework.* Web. <http://www.doe.k12.ga.us/School-Improvement/Teacher-and-Leader-Effectiveness/Documents/GA%20Career%20Ladder.pdf>
4. Boyle, C., 2013. *Creighton Elementary School District Career Ladder Program 2013-2014 Handbook.* Web. http://www.creightonschools.org/apps/pages/index.jsp?uREC_ID=180848&type=d&pREC_ID=402222
5. Center for Educator Compensation Reform. *Emerging Issues: Engaging Stakeholders in Teacher Pay Reform.* Report. Web. <http://www.cecr.ed.gov/pdfs/EmergingIssuesReport1.pdf>
6. Dowling, J., Murphy, S.E., & Wang, B. 2007. *The effects of the career ladder program on student achievement.* Report. Web. <http://www.azed.gov/wp-content/uploads/PDF/CareerLadderReport.pdf>

7. National Comprehensive Center for Teacher Quality. *Providing Career Ladders for Growth*. Publication. Web.
http://www.centerii.org/handbook/Resources/6_F_Providing_Career_Growth_Ladders.pdf
8. New York State Race to the Top Application. Career Ladder: Novice, Professional, Master, and Teacher Leader (pages 188-189). Web. <http://usny.nysed.gov/rttt/application/>
9. Odden, A. and C. Kelley. 2002. *Paying teachers for what they know and do*. Thousand Oaks, CA: Corwin Press.
10. Sunnyside Unified School District Career Ladder Steering Committee. 2012-2013. Web.
http://www.susd12.org/sites/default/files/Handbook%2012-13_0.pdf