

New York State Education Department:
1003(g) School Improvement Grant (SIG)
RFP# TA-14

Background

Under New York State Education Department's (NYSED's) approved Elementary and Secondary Education Act (ESEA) flexibility waiver, the state's persistently lowest-achieving schools are identified as Priority Schools and may also be placed under registration review (SURR), pursuant to Commissioner's regulation 100.18. As a result, Priority Schools, with the support of the larger district and school-community, have an opportunity to develop and implement a whole-school change model with the goal of achieving dramatic school-level achievement gains such that the school is in good academic standing within three years.

Purpose

The primary purpose of the SIG is to provide Local Education Agencies (LEAs) with an opportunity to support the implementation of a whole-school change model in its Priority Schools. This grant allows for three models to do so: *Turnaround*, *Restart* and *Transformation*. A secondary purpose of the SIG is to support this school closure process. In certain cases the LEA, in collaboration with the local community, may conclude the best option for its students is to close the existing school and transfer students to existing higher achieving options within the district. The requirements and parameters set forth in this Request for Proposals (RFP) will serve as the quality standard for an approvable SIG plan. LEAs will be expected to fully implement the SIG plan in its funded Priority Schools through available resources including, but not limited to, the SIG. The SIG plans in this RFP must be designed to meet one of the following four intervention models:

Turnaround

Replace the principal and at least half the staff as part of the process of phasing out and replacing the school with a new school(s) or completely redesigning the school.

Restart

Convert the school to a charter school, replace the school with a new charter school that will serve the students who would have attended the public school, or contract with an Educational Partnership Organization (EPO), such as a local Board of Cooperative Educational Services (BOCES), institution of higher education, or other non-profit partner organization as identified in Education Law 211-e, to govern and manage the Priority School and its implementation of the SIG plan.* Please refer to the following guidance on implementation of the *Restart* model: <http://www.p12.nysed.gov/accountability/guidance.html#sigg>.

Transformation

Replace the principal, but without the requirement to replace at least half the staff. Rather, the implementation of approved Annual Professional Performance Review (APPR) plans would serve as the basis for rewarding effective teachers and removing ineffective teachers after ample professional development opportunities.

Closure

Close the school and enroll the students who attended the school in higher achieving schools in the LEA. School closure and the transfer of students in this model occurs in one year or less.

* Any conversion of an existing public school to a charter school, or any new charter that will replace a Priority School must be consistent with the provisions of Article 56 of the NYS Education Law, "The New York State Charter Schools Act of 1998," and all subsequent amendments to that statute.

The four intervention models identified are consistent with Commissioner's regulations §§100.2(p)(10)(iv) and 100.18 and the United States Department of Education's requirements for SIG funding. In addition, the parameters of the SIG plan set forth in this application are directly aligned with United States Secretary of Education's seven (7) turnaround principles. Coupling these intervention model requirements with the Secretary's turnaround principles, and the design elements of high quality schools, provides a framework for bold and dramatic school change. Specific requirements for each model are identified in subsequent sections of this RFP.

Eligibility

This grant is open to Local Education Agencies (LEAs) with one or more eligible Priority Schools. An eligible Priority School is a Priority School that the LEA has designated as implementing a whole-school change model beginning in 2014-2015, that is not receiving a SIG 1003[g] at the time of application. For each eligible Priority School proposing to implement a *Turnaround, Restart, or Transformation* model, LEAs are eligible for up to \$1.0 million, commensurate to school size and need, for the full grant term that includes three years of implementation. For applications proposing to implement a *Closure* model plan, LEAs are eligible for up to \$200,000, commensurate to school size and need, for the full grant term that includes a one-year closure period. LEAs may submit multiple applications in response to this RFP, however; **only separate and complete applications for each eligible Priority School will be accepted.** Charter schools identified under the State accountability system are not eligible for award to implement a whole-school change model. New charter applicants/schools partnering with a district to replace an identified Priority School may receive SIG funding as new replacement schools under *Turnaround* and *Restart* models.

NYSED has also announced a new SIF grant opportunity for eligible Priority Schools. An LEA may apply for a SIG and SIF for the same eligible Priority School. Should the LEA receive preliminary notice of award for both grants for the same school, the LEA must withdraw from one or the other. LEAs are limited to fifteen (15) SIG awards.

A full list of Priority Schools is available at:

<http://www.p12.nysed.gov/accountability/ESEADesignations.html>.

Funding

Estimated funds available: **\$30,000,000**

Estimated number of awards: **30 - 40**

**Awards will be made subject to the availability of funds and approval of the NYSED SEA SIG application by the US Department of Education.*

Project Period

For applications proposing to implement a *Turnaround, Restart, or Transformation* model, the full project period for this grant is three years. Continuation funding after each period of the project is contingent upon progress toward meeting achievement goals, leading indicators, fidelity of implementation of required model actions, and maintenance of all grant requirements.

<i>Turnaround, Restart, and Transformation Model Project Period</i>	
Year-One Implementation Period	June 1, 2014, to June 30, 2015
Year-Two Implementation Period	July 1, 2015, to June 30, 2016
Year-Three Implementation Period	July 1, 2016, to June 30, 2017

For applications proposing a *Closure* model, the full project period will be one year. There are no continuations past the year-one implementation period for the *Closure* model.

<i>Closure Model Project Period</i>	
Year-One Implementation Period	June 1, 2014, to June 30, 2015

Application Deadline and Submission Requirements

Letter of Intent

LEAs should submit a Letter of Intent (LOI) designating the specific identified schools for which applications will be submitted, identifying the intervention models being proposed for each school. The LOI should be submitted electronically through the Review Room Portal available at the following link: <https://nysed-schoolturnaround.fluidreview.com/>. The LOI should be received through Review Room by 5:00 p.m. on February 14, 2014. (Note: The LOI is not a requirement for submitting a complete application by the application due date. NYSED encourages all prospective applicants to submit an LOI in order to ensure appropriate resources are available for a timely and thorough review and rating process.)

Full Application Submission

Complete applications **must** be submitted electronically through the Review Room portal available at the following link: <https://nysed-schoolturnaround.fluidreview.com/>. In addition, one original application plus one hardcopy **must** be mailed by postal service to:

New York State Education Department
Contracts Administration Unit, 501 W EB
89 Washington Ave
Albany, New York 12234
Attn: Nell Brady, RFP # TA-14

Complete hardcopy applications **must** be postmarked by February 28, 2014 and complete electronic copies must be submitted through the Review Room portal no later than 3:00 p.m. on February 28, 2014.

Review Room Electronic Submission Portal

The electronic Review Room submission portal <https://nysed-schoolturnaround.fluidreview.com/> will be live and accessible with instructions to applicants on January 13, 2014. If there are any technical questions regarding electronic submission through the Review Room portal, you must contact Tracy Farrell at tfarrell@mail.nysed.gov.

Additional Information

- A pre-recorded applicant informational webinar will be posted at <http://usny.nysed.gov/rttt/rfp> during the week of January 13, 2014.
- Questions about this RFP must be received by January 31, 2014, and submitted to: SIGAPP2014@mail.nysed.gov and should not include technical questions related to submission of the application through the Review Room portal.
- Questions and Answers about this RFP, not including technical questions related to submission through the electronic portal, will be posted by February 7, 2014, at <http://usny.nysed.gov/rttt/rfp>. No individual responses will be provided.
- Technical questions related to submission through the electronic portal can be submitted at any time and must be directed toward Tracy Farrell at tfarrell@mail.nysed.gov.

Annual Professional Performance Review (APPR) Requirement

Regardless of the SIG model selected (*Turnaround, Restart, Transformation or Closure*), an LEA must maintain a demonstration of full implementation of an approved APPR plan in compliance with Section 1 of Part A of Chapter 57 and Chapter 53 of the Laws of 2013, Education Law §3012-c, and Subpart 30-2 of the Rules of the Board of Regents throughout the entire period of the grant.

Consultation and Collaboration Form Requirement

The Consultation and Collaboration Form (Attachment A) must be completed in accordance with the instructions on the form, and submitted with the application, with original signatures in blue ink. Applications that are submitted without this form completed, in accordance with the instructions on the form, will be rejected.

SIG Plan Standards- *Turnaround, Restart and Transformation Models*

The standards of this grant represent a framework for bold and dramatic whole-school change (SIG plan). The LEA should demonstrate through its application, a strong commitment to success in the turnaround of its lowest achieving schools and the capacity to use SIG and other available resources to fully and effectively implement one of the four intervention models. The chart below identifies the SIG plan requirements common to *Turnaround, Restart, and Transformation* models proposed:

SIG Plan Standards for <i>Turnaround, Restart, and Transformation Models</i>	
District-Level Category	Standard
District Commitment and Capacity to Implement	The LEA must demonstrate a commitment to success in the turnaround of its lowest achieving schools and the capacity to implement the model proposed in its Priority School in this application. This is an overarching standard, which is met by achieving an overall application score that is at or above the minimum score for a fundable application.
Operational Autonomies	The LEA must provide operational autonomies for Priority Schools in exchange for greater accountability for performance results in the following areas: 1) staffing; 2) school-based budgeting; 3) use of time during and after school; 4) program selection; and 5) educational partner selection. In addition to providing quality responses to each element requested in this section of the Proposal Narrative, the Priority School must have school-level autonomy in at least two of these areas for an acceptable rating in this category. Applications that provide quality responses and that are

	granted anywhere from 3 to 5 of these autonomies will receive a rating of exemplary for this category.
District Accountability and Support	The LEA must have the organizational structures and functions in place at the district-level to provide quality oversight and support for its identified Priority Schools in general, as well as specifically for the school identified in this application.
Teacher and Leader Pipeline	The LEA must have a clear understanding of the type and nature of teachers and leaders that are needed to create dramatic improvement in its lowest-achieving schools. In addition, the LEA must have a coherent set of goals and actions that lead to the successful recruitment, training, and retention of teachers and leaders who are effective in low-achieving schools.
External Partner Recruitment, Screening, and Matching to Priority Schools	The LEA must have a rigorous process for identifying, screening, selecting, matching, and evaluating partner organizations that provide critical services to Priority Schools.
Enrollment and Retention Policies, Practices, and Strategies	The LEA must have clear policies, practices, and strategies for managing student enrollment and retention to ensure that Priority Schools are not receiving disproportionately high numbers of students with disabilities, English-language learners, and students performing below proficiency.
District-level Labor and Management Consultation and Collaboration	The LEA/school must fully and transparently consult and collaborate with recognized district leaders of the principals' and teachers' labor unions about district Priority Schools and the development and implementation of the plan proposed for this specific Priority School.
School-Level Category	Standard
School Overview	The LEA/school must demonstrate a clear and organized synopsis of the major quality design elements of the school. In addition, the school overview should be suitable in substance and grammar for sharing with the general public, including essential stakeholders such as families, students, and school-level educators.
Assessing the Needs of the School Systems, Structures, Policies, and Students	The LEA/school must demonstrate a critical and honest assessment of structural/systems gaps and needs, as well as student achievement gaps and needs that are identified as the result of a systemic analysis process.
School Model and Rationale	The LEA/school must propose and present the SIG plan as a plausible solution to the challenges and needs identified in the previous section, as well as the appropriate fit for the particular school and community.
School Leadership	The LEA/school must have the mechanisms in place to replace the existing principal and select/assign a new school principal and supporting leadership that possess the strengths and capacity to drive the successful implementation of the SIG plan.
Instructional Staff	The LEA/school must have the mechanisms in place to assign the instructional staff to the school that have the strengths and capacity necessary to meet the needs of the school and its students. This standard and the actions that accompany it are required regardless of the model chosen. If the Turnaround model is chosen for the Priority School in this application, responses to this section should be planned/proposed in the context of the requirements for that model, replacing at least 50% of instructional staff. If the Turnaround model staffing requirement is not met by September 1, 2014, the SIG funding will be suspended immediately and the LEA will be at risk of having the grant terminated.
Partnerships	The LEA/school must be able to establish effective partnerships to address areas where the school lacks the capacity to improve. The external partnership(s) may vary in terms of role and relationship to the governance of the school. If the model chosen for this school is a <i>Restart</i> , the LEA must provide a Memorandum of Understanding, signed by both parties, which identifies joint-agreement and the scope of services of the EPO and the broad achievement outcomes for the school. The fully executed EPO-

	district contract, signed by both parties, in full accordance with Education Law 211-e must be received by NYSED no later than August 1, 2014. If the fully executed EPO-district contract is not in full accordance with Education Law 211-e, submitted and in place by the date identified, the LEA will be at risk of having the grant terminated.
Organizational Plan	The LEA/school must provide a sound plan for how the school will be operated, beginning with its governance and management. It should present a clear picture of the school’s operating priorities, delegation of responsibilities, and relationships with key stakeholders.
Educational Plan	The LEA/school must provide an educationally sound and comprehensive plan for the school. Components of this plan include: curriculum; instruction; use of time; data-driven inquiry/instruction; student support; school climate and discipline; and parent and community engagement.
Training, Support, and Professional Development	The LEA/school must have a coherent framework for training, support, and professional development clearly linked to the identified SIG plan and student needs.
Communication and Stakeholder Involvement/Engagement	The LEA/school must fully and transparently consult and collaborate with key education stakeholders about the school’s Priority status and on the development and implementation of the SIG plan.
Project Plan and Timeline	The LEA/school must provide a project plan that provides a detailed and specific, measurable, realistic, and time-phased set of actions and outcomes that reasonably lead to the effective implementation of the SIG plan.

SIG Plan Standards - *Closure*

The *Closure* model involves closing the existing identified Priority School and enrolling its students in higher achieving schools. For the purposes of this RFP “higher achieving schools,” means schools that are in good academic standing (not identified as a Focus or Priority School). These higher achieving schools should be within reasonable proximity to the closed school and may include, but are not limited to, charter schools or new schools for which achievement data are not yet available. Since the *Closure* model must be implemented in one year implementation period or less, and since the requirements of closure are different from those of implementing a full organizational and instructional plan, applications for a *Closure* model will be reviewed and rated separately and have a different set of standards. The following chart identifies the program standards of the *Closure* model plan.

SIG Plan Standards for <i>Closure</i> Models	
Category	Requirements
District Organizational Capacity	The LEA must have the organizational structures and functions in place at the district-level to provide high quality oversight over the closure process and support for the schools that will accept transferring students from the closing school.
Assessing the Needs of the School and its Students	The LEA must demonstrate a critical and honest assessment of structural/systems gaps and needs, as well as student achievement needs, specific to the Priority School identified for Closure in this application. The identified needs should be the result of a systemic analysis process.
School Overview, Model Selection, and Rationale	The LEA must propose and present the selection of a Closure model as a plausible and best-case solution to the challenges and needs identified in the previous section, as well as the appropriate fit for this particular school and community.

Communication, Collaboration, and Stakeholder Involvement/Engagement	The LEA must fully and transparently consult and collaborate with recognized district and local leaders of the LEAs labor unions, parent organizations, and the local school community on the development and implementation of the plan to close the Priority School identified in this application.
School Choice Options Available	The LEA must have the mechanisms to transfer students from the closing Priority School and clear options for enrolling them in higher achieving schools within one year or less.
Project Plan and Timeline	The LEA must provide a detailed and specific, measurable, realistic, and time-phased set of actions and outcomes that reasonably lead to the effective closure of the school and the transfer of its students into the higher achieving school options identified in the previous section. The project plan and timeline should include a reasonable and feasible plan for: 1) effectively transferring the students to a higher achieving school option of their choice; 2) downsizing teachers and other staff in the closing school; and 3) providing support for schools that will receive transferring students.

Budget Requirements

The budget documents requested in response to this RFP must identify and explain SIG funded costs for activities that are necessary to carry out all aspects of the whole-school change. In addition, through the budget narrative, the LEA will be asked to identify other sources and amounts of funding that will support and sustain the activities that are crucial to the whole-school change.

Budget Documents Required for Submission

- Budget Narrative – The budget narrative, described in the Proposal Narrative sections of this RFP, should identify and explain SIG funded costs for the entire project period (three years of implementation for *Turnaround*, *Restart*, or *Transformation* Models; and one year of implementation for *Closure* models).
- Budget Summary Chart (Attachment D) - This chart summarizes the budget for the entire project period (three years of implementation for *Turnaround*, *Restart*, or *Transformation* Models; and one year of implementation for *Closure* models).
- FS-10 for the year-one implementation period (June 1, 2014, to June 30, 2015).

Maximum Funding Amounts for Turnaround, Restart, and Transformation Models

- The year-one implementation period total SIG funding request may be no greater than \$500,000.
- The total year-two implementation period SIG funding request may be no greater than \$250,000.
- The total year-three SIG funding request may be no greater than \$250,000.
- The SIG funding, directed at district-level administration and support activities for each period, may be no greater than ten percent (10%) of the total maximum funding request for each period. (Ninety-percent (90%) of the maximum funding requests for each period must be directed toward school-level activities supporting the implementation of the SIG plan. Applicants must describe and justify in the

budget narrative any specific district-level expenses to be supported by SIG funds (at no more than 10% of total request).

- Supplies and materials are allowable, if necessary to meet the project goals and objectives, but must not exceed 10% of the total budget for each project period.

Funding Amounts for Closure Models

- The one-year closure period SIG budget may be no greater than \$200,000.

Non-Allowable Costs

- The purchase of equipment (defined as equipment items having a unit value of \$5,000 or more with a useful life of more than one year) is not allowed.

Other

- Activities budgeted for through this application must supplement, not supplant, core activities currently provided, or to be provided, by the district.

Additional Budget Guidance

Appropriate Costs

- SIG funds are intended to *supplement* and *support* comprehensive school reform by funding **specific** initiatives designed to promote targeted and sustainable school improvement. The actions and practices identified through each category of the project narrative drive the appropriate costs. Appropriate costs are those costs that are directly connected to the actions and to sustaining the practices prompted in the categories of the project narrative (e.g., the implementation of a curriculum aligned the Common Core State Standards (CCSS), continuous use of data to drive decision making, the effective implementation of an APPR system in the school, etc.).
- It is incumbent upon the applicant to demonstrate the close connections between the costs proposed and the organizational or pedagogical purposes those costs will support from the project narrative. LEAs must make the case in the budget narrative that such costs are **closely** connected to the actions the practices prompted in the project narrative. For example, if the applicant budgets for a series of I-Pads for use by administrators without explaining both the specific functions those I-Pads will serve in the context of the project narrative, how the administrators would have support in using them, and how the technology will enhance the core work set-forth in the plan, the cost would be considered too loosely connected to the plan. As a second example, if the applicant budgets for a set of Smart Boards or other computer hardware or software, and explains them merely as “helping to engage learners,” the justification may be too loosely connected to high quality instructional practice and to the plan itself. Costs that remain unexplained or are judged by NYSED to be too loosely connected to high quality organizational and instructional practice will be scored accordingly in the budget section.

Budgeting and Planning for Sustainability

- In budgeting and planning for sustainability, LEAs should be certain to support critical, ongoing SIG plan activities through reliable and stable funding sources. In budgeting and planning for sustainability, SIG funds should support but not serve as the sole source of funding for this work. For example, if a core feature of the educational plan proposed in this application is to increase learning time by extending the school day and/or year and the sole source of funding was SIG (or another discrete grant) it would be unclear how the action could reasonably be sustained after SIG and therefore the cost may be scored accordingly in the budget section. However, if for example, the LEA were able to demonstrate a restructuring of its general funding and Title I, II, III, and IVb funding to extend the school day/year, or use SIG funds to contract with a partner organization to assist in the creation of a research-supported schedule for the school day and provide training to staff in order to make the most effective use of learning time during and after school, and support this action by providing labor-management agreements to extend the school day, such costs and the planned activities may be considered acceptable.

Further program and fiscal guidance on SIG (1003[g]) can be accessed at the following link:

<http://www2.ed.gov/programs/sif/sigguidance03012012.doc>

Payment Schedule

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.

A final payment for the balance of each project period 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-F for each project period (ending June 30 each year within the grant term) is due in the Grants Finance Unit no later than 90 days after the end of the period.

Reporting Requirements

The lead points of contact at the LEA, responsible for oversight and support of the SIG in its Priority Schools, will be required to participate in a bi-monthly telephone call with NYSED. During these bi-monthly telephone calls, the LEA will be required to use leading and lagging indicators (identified below) and other evaluation data to report on the quality and effect of the implementation of the SIG plan in its Priority Schools. In addition, LEAs will be responsible for submitting monthly and/or quarterly and annual reports on school progress that may include, but are not limited to:

Leading Indicators

- Student attendance and school average daily attendance
- Attendance by instructional staff and staff average daily attendance
- Interim assessment data
- Student course completion data
- Instructional staff turnover rate
- Instructional staff APPR ratings

- In-school and out-of-school suspension rates and average in-school and out-of-school suspension rates by total school and broken down by sub-group
- Truancy rates
- Dropout rates
- Number of students completing advanced coursework by subgroup (e.g., Advanced Placement/ International Baccalaureate, college pathways or dual enrollment classes [high schools only])
- Other program evaluation and indicator data as needed

Lagging indicators

- Student achievement rates
- State assessment data disaggregated by sub-group
- Student achievement rates compared to the State
- Student achievement rates compared to the district
- Student growth data
- College readiness data
- Graduation and transition data

Additional Requirements Post-Award

- If the model initially approved in this application is a *Turnaround* model, the full school-staff roster successfully meeting the 50% staffing requirement must be in place prior to September 1, 2014. If Turnaround staffing requirements are not met by September 1, 2014 SIG funding will be immediately suspended and the LEA will be at risk of having the grant terminated.
- If the model initially approved in this application is a *Restart*, the fully executed EPO-District contract, signed by both parties, which identifies the scope of services of the EPO, the specific autonomies the EPO will have, and the mechanism for the district to hold the EPO accountable in accordance with Education Law 211-e, must be received by NYSED no later than August 1, 2014. NYSED will accept contracts prior to August 1, 2014 in the order they are received to ensure timely review. For SIG purposes, NYSED must approve the EPO-District contract in order to continue grant funding.
- LEAs awarded to implement the *Turnaround*, *Restart*, or *Transformation* models must submit a new FS-10 and refined project plan and timeline no less than thirty-days prior to the start of the Year Two Implementation Period and no less than thirty days prior to Year Three Implementation Period, to be reviewed and approved by NYSED prior to any expenditure for that project period.

If the LEA fails to adhere to any of the timelines referenced in this section and/or fails to meet the quality standards set forth in this RFP, the SIG will be suspended immediately and the LEA will be at risk for termination of the grant.

Other LEA Requirements

Rule of Nine

LEAs must adhere to the “Rule of 9,” which states that an LEA with nine or more Priority Schools **may not** implement the Transformation model in more than 50% of those schools. Priority Schools that have already completed a full 3-year SIG are not counted toward the LEA’s total number of schools for purposes of calculating the Rule of 9.

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 section at the end of this RFP.

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.

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.

Review and Rating of Applications

Only complete applications from eligible LEAs received at NYSED by the due date will be accepted. LEAs must clearly identify the specific Priority School for which SIG funding is being sought and the specific model (*Turnaround, Restart, Transformation, or Closure*) being proposed in each separate application or the application will be rejected as incomplete.

All complete applications will be reviewed and rated by at least two reviewers. The scores of the first two reviewers will be totaled and then averaged to arrive at the final score for each application. If there is a difference of 15 points or more between the two reviewers' scores, a third reviewer will review the application. The two scores mathematically closest to each other will be averaged for the final score unless the difference between the third review score and the first two are equidistant; in which case the third reviewer's score will solely be used. An application must receive a final average score of **65 or higher** to be considered for funding.

Method of Award

SIG funding will be awarded according to the following:

All applications reviewed for *Turnaround, Restart, and Transformation* models from eligible Priority schools that have not previously been awarded 1003[g] SIG or SIF, receiving the minimum required final average score or above, will be ranked in order of the final average score, regardless of the model proposed. (These applications represent Priority 1). All applications reviewed for *Closure* models that have not previously been awarded 1003[g] SIG or SIF that receive the minimum required final average score or above will be ranked separately, in order of the final average score (Priority 2). All applications for *Turnaround, Restart,*

Transformation, and *Closure* models from eligible Priority schools that have previously received 1003[g] SIG or SIF funds will be ranked separately, in order of final average score, regardless of model (Priority 3).

Funding will be awarded **first** to those applications for *Turnaround*, *Restart* and *Transformation* models in schools that have not previously been awarded 1003[g] SIG or SIF receiving the minimum score or above (Priority 1). Applicants scoring at or above the minimum threshold will be awarded in rank order of score until funds are insufficient to fund the next ranking application in full. After all Priority 1 applicants have been awarded, NYSED will award Priority 2 applicants that have not previously received 1003[g] SIG or SIF that received the minimum average score or more in rank order, until funds are insufficient to fund the next ranking application in full. After all Priority 2 applicants have been awarded NYSED will award *Turnaround*, *Transformation*, *Restart*, and *Closure* applicants that have previously been awarded 1003[g] SIG or SIF (Priority 3) that have met the minimum standard or above in rank order, until funds are insufficient to fund the next ranking application in full.

In the event of a tie score within the ranking for *Turnaround*, *Restart*, and *Transformation* models, the applicant with the highest combined score for Section II D. School Leadership and G. Organizational Plan will be ranked higher. In the event of a tie score within the ranking for the *Closure* model, the applicant with the highest total score for F. Project Plan Narrative/Timeline will be ranked higher.

Once the awardees have been ranked via the method described above, if any LEA is a prospective awardee for both the current rounds of SIG and SIF grants, for the same Priority School, this LEA will be notified by NYSED and asked to select one grant and decline the other. These LEAs will be given five business days from notification to make their selection. If they do not respond within the time given, they may be removed from both award lists. Any additional SIG funds that become available due to declinations will be awarded to the next highest-ranked applicant. NYSED will continue this process until no LEA is an apparent winner of both a current SIG and SIF grant for the same Priority School, and until there are insufficient funds to award the next fundable, highest-ranked applicant in full.

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. If any funded LEAs withdraw or become ineligible within the year of funding, the leftover funds may be used to fund the next highest ranking applications.

Post-Award Debriefing Process

At the conclusion of the rating and ranking process, and the notification to all applicants as to the status of their application, an applicant who has not been awarded funds will have five (5) business days from notification of non-award to request a debriefing by emailing the request to SIGAPP2014@mail.nysed.gov. NYSED staff will summarize the comments identified by the raters. This will be emailed to the applicant within ten (10) business days of receipt of the request.

Protest Procedures

Applicants who receive a notice of non-award 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 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
89 Washington Avenue
Room 501 W 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 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.

Entities' 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 system. Source documents that authorize the disbursement of grant funds consist of purchase orders, contracts, time & effort records, delivery receipts, vendor invoices, travel documentation and payment documents, including check stubs. 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 Grants](#).

New York State Education Department
Application Cover Sheet
School Improvement Grant (SIG) 1003[g]

DO NOT WRITE IN THIS SPACE	
Log Number	Date Received

District (LEA)			LEA Beds Code:
Lead Contact (First Name, Last Name)			
Title	Telephone	Fax Number	E-mail Address
	()	()	
Legal School Name for the Priority School Identified in this Application			School Beds Code
Grade Levels Served by the Priority School Identified in this Application			School NCES #
Total Number of Students Served by the Priority School Identified in this Application			School Address (Street, City, Zip Code)
School Model Proposed to be Implemented in the Priority School Identified in this Application			
Turnaround <input type="checkbox"/>	Restart <input type="checkbox"/>	Transformation <input type="checkbox"/>	Closure <input type="checkbox"/>

Certification and Approval

I hereby certify that I am the applicant's Chief 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 application guidelines and instructions, and that the requested budget amounts are necessary for the implementation of this project. I understand that this application constitutes an offer and, if accepted by the NYSED or renegotiated to acceptance, will form a binding agreement. I also agree that immediate written notice will be provided to NYSED if at any time I learn that this certification was erroneous when submitted, or has become erroneous by reason of changed circumstances.

CHIEF ADMINISTRATIVE OFFICER	
Signature (in blue ink)	Date
Type or print the name and title of the Chief Administrative Officer	
DO NOT WRITE IN THIS SPACE	

SIG SUBMISSION CHECKLIST - Turnaround, Restart, and Transformation Models

Documents for Submission	Checked – applicant	Checked – SED	
Application Cover Sheet <i>(with original signatures in blue ink)</i>	<input type="checkbox"/>	<input type="checkbox"/>	
Proposal Narrative <i>(Including District-level Plan, School-level Plan)</i>	<input type="checkbox"/>	<input type="checkbox"/>	
Attachment A Consultation and Collaboration Form	<input type="checkbox"/>	<input type="checkbox"/>	
Attachment B School-level Baseline Data and Target Setting Chart	<input type="checkbox"/>	<input type="checkbox"/>	
Attachment C Evidence of Partner Effectiveness Chart	<input type="checkbox"/>	<input type="checkbox"/>	
Attachment D Budget Summary Chart	<input type="checkbox"/>	<input type="checkbox"/>	
FS-10 Form for Year-One Implementation Period. FS-10 available here: http://www.oms.nysed.gov/cafe/forms/	<input type="checkbox"/>	<input type="checkbox"/>	
Budget Narrative	<input type="checkbox"/>	<input type="checkbox"/>	
Memorandum of Understanding <i>(only if proposing a Restart model)</i>	<input type="checkbox"/>	<input type="checkbox"/>	
M/WBE Documents Package (containing original signatures)			
<input type="checkbox"/> Full Participation <input type="checkbox"/> Request Partial Waiver <input type="checkbox"/> Request Total Waiver			
Type of Form	Full Participation	Request Partial Waiver	Request Total Waiver
M/WBE Cover Letter	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
M/WBE 100 Utilization Plan	<input type="checkbox"/>	<input type="checkbox"/>	N/A
M/WBE 102 Notice of Intent to Participate	<input type="checkbox"/>	<input type="checkbox"/>	N/A
EEO 100 Staffing Plan and Instructions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
M/WBE 105 Contractor’s Good Faith Efforts	N/A	<input type="checkbox"/>	<input type="checkbox"/>
M/WBE 101 Request for Waiver Form and Instructions	N/A	<input type="checkbox"/>	<input type="checkbox"/>
SED Comments:			
Has the applicant submitted all of the documents listed above? <input type="checkbox"/> Yes <input type="checkbox"/> No			
Reviewer: _____		Date: _____	

PROPOSAL NARRATIVE –*Turnaround, Restart, and Transformation Models*

Applicants seeking to implement the Closure model should not respond to this portion of the project narrative. This proposal narrative applies specifically to *Turnaround, Restart, and Transformation* model applications, and contains three sections: I. District-level Plan (20 points); II. School-level Plan (60 points); and III. SIG Budget (20 points). The District-level Plan, School-level Plan, and SIG Budget Documents together make up the full SIG plan for these models. The sections of proposal narrative are further broken down into the following categories with the accompanying final point values:

I. District-level Plan (20 points)	Points
A. District Overview	--
B. Operational Autonomies	4
C. District Accountability and Support	6
D. Teacher and Leader Pipeline	4
E. External Partner Recruitment, Screening, and Matching to Priority Schools	2
F. Enrollment and Retention Policies, Practices, and Strategies	2
G. District-level Labor and Management Consultation and Collaboration	2
Total points for section I	20
II. School-level Plan (60 points)	Points
A. School Overview	2
B. Assessing the Needs of the School Systems, Structures, Policies, and Students	4
C. School Model Selection and Rationale	4
D. School Leadership	8
E. Instructional Staff	8
F. Partnerships	6
G. Organizational Plan	8
H. Educational Plan	8
I. Training, Support, and Professional Development	4
J. Communication and Stakeholder Involvement/Engagement	4
K. Project Plan and Timeline	4
Total points for section II	60
III. SIG Budget (20 points)	Points
A. Budget Narrative and Budget Forms	20
Total points for section III	20
TOTAL POINTS	100

The proposal narrative should not exceed 50 pages (not including required charts and forms). It should be typed, single-spaced, letter-sized, (8.5" X 11") page with 1" margins on all sides. Font may NOT be less than 12 pt Times New Roman font at 100%. Charts and forms do not require 12pt Times New Roman font. The proposal narrative submission must be organized under the same headings in the same order as are identified in this section. The complete project and budget narratives, including budgets, charts, and forms, will be posted on the NYSED website and shared with stakeholders upon request.

I. District-level Plan- *Turnaround, Restart, and Transformation Models*

A. District Overview

The LEA must demonstrate a commitment to success in the turnaround of its lowest achieving schools and the capacity to implement the model proposed. The district overview must contain the following elements:

- i. Describe the district motivation/intention as well as the theories of action guiding key district strategies to support its lowest achieving schools and ensuring that all students graduate high school ready for college and careers.
- ii. Provide a clear and cogent district approach and set of actions in supporting the turnaround of its lowest achieving schools and its desired impact on Priority Schools.
- iii. Describe the evidence of district readiness to build upon its current strengths and identify opportunities for system-wide improvement in its Priority Schools.

B. Operational Autonomies

The LEA must provide operational autonomies for Priority Schools in exchange for greater accountability for performance results in the following areas: 1) staffing; 2) school-based budgeting; 3) use of time during and after school; 4) program selection; and 5) educational partner selection. In addition to providing quality responses to each element requested in this section of the Project Narrative, the Priority School must have school-level autonomy in at least two of these areas for an acceptable rating in this category. Applications that provide quality responses and that are granted anywhere from 3 to 5 of these autonomies will receive a rating of exemplary for this category. The LEA must respond to each of the following:

- i. Describe the operational autonomies the LEA has created for the Priority School in this application. Articulate how these autonomies are different and unique from those of the other schools within the district and what accountability measures the district has put in place in exchange for these autonomies.
- ii. Provide as evidence formally adopted Board of Education policies and/or procedures for providing the school the appropriate autonomy, operating flexibility, resources, and support to reduce barriers and overly burdensome compliance requirements.
- iii. Submit as additional evidence, supporting labor-management documentation such as formally executed thin-contracts or election-to-work agreements, or school-based options, that state the conditions for work that match the design needs of Priority School.

C. District Accountability and Support

The LEA must have the organizational structures and functions in place at the district-level to provide quality oversight and support for its identified Priority Schools in the implementation of their SIG plans. The LEA plan for accountability and support must contain each of the following elements:

- i. Identify specific senior leadership that will direct and coordinate district's turnaround efforts and submit an organizational chart (or charts) identifying the management structures at the district-level that are responsible for providing oversight and support to the LEA's lowest achieving schools.
- ii. Describe in detail how the structures identified in "i" of this section function in a coordinated manner, to provide high quality accountability and support. Describe and discuss the specific cycle of planning, action, evaluation, and feedback, and adaptation between the district and the school leadership. This response should be very specific about the type, nature, and frequency of interaction between the district personnel with school leadership and identified external partner organizations in this specific Priority School application.
- iii. For each planned interaction, provide a timeframe and identify the specific person responsible for delivery.

D. Teacher and Leader Pipeline

The LEA must have a clear understanding of the type and nature of teachers and leaders that are needed to create dramatic improvement in its lowest-achieving schools. In addition, the LEA must have a coherent set of goals and actions that lead to the successful recruitment, training, and retention of teachers and leaders who are effective in low-achieving schools. The LEA's plan must include each of the following elements:

- i. Identify and describe recruitment goals and strategies for high poverty and high minority schools to ensure that students in those schools have equal access to high-quality leaders and teachers.
- ii. Describe the district processes for altering hiring procedures and budget timelines to ensure that the appropriate number and types of teachers and principals can be recruited and hired in time to bring schools through dramatic change.
- iii. Identify and describe any district-wide training programs designed to build the capacity of leaders to be successful in leading dramatic change in low-achieving schools. In addition, describe how these programs are aligned to the specific implementation of the model chosen (*Turnaround, Restart, or Transformation*). Provide a history of these or similarly purposed programs in the district, how they are or have been funded, and identify whether the school principals chosen to lead the new school designs proposed in this application have emerged as a direct result of these programs. Please identify the goals in terms of quantity and quality of effective leader development.*
- iv. Identify and describe any district-wide training programs designed to build the capacity of teachers to be effective specifically in low-achieving schools. Provide a history of these programs in the district, how they are or have been funded, and identify whether the instructional staff chosen for the new school designs proposed in this application have emerged as a direct result of these programs. If the programs are newly proposed, please identify the goals in terms of quantity and quality of effective teacher development.*
- v. Identify in chart form, the district-offered training events for items “iii & iv” above, scheduled during the year-one implementation period (June 1, 2014 to June 30, 2015). For each planned event, identify the specific agent/organization responsible for delivery, the desired measurable outcomes, and the method by which outcomes will be analyzed and reported. Provide a rationale for each planned event and why it will be critical to the successful implementation of the SIG plan.

*The district-wide training and professional development programs to be identified in this section are those that are offered by the district to a group or cluster of like schools (*Turnaround, Restart, Transformation*) and/or to cohorts of teachers and leaders who will serve in them (e.g., training for turnaround leaders; training for teachers who need to accelerate learning in Priority Schools where students are several levels below proficiency; training for school climate and culture in Priority Schools, etc.). School-specific and embedded training and professional-development should be detailed in Section II. I.

E. External Partner Recruitment, Screening, and Matching

The LEA must have a rigorous process for identifying, screening, selecting, matching, and evaluating partner organizations that provide critical services to Priority Schools.

- i. Describe the rigorous process and formal LEA mechanisms for identifying, screening, selecting, matching, and evaluating external partner organizations that are providing support to this Priority school.
- ii. Describe the LEA processes for procurement and budget timelines (or any modifications to standard processes) that will ensure this Priority School will have access to effective external partner support prior to or directly at the start of the year-one implementation period.
- iii. Describe the role of the district and the role of the school principal in terms of identifying, screening, selecting, matching, and evaluating partner organizations supporting this school. Describe the level of choice that the school principal has in terms of the educational partners available and how those options are accessible in a timeline that matches the preparation and start-up of the new school year.

F. Enrollment and Retention Policies, Practices, and Strategies

The LEA must have clear policies, practices, and strategies for managing student enrollment and retention to ensure that Priority Schools are not receiving disproportionately high numbers of students with disabilities, English-language learners, and students performing below proficiency.

- i. Identify and describe similarities and differences in the school enrollment of SWDs, ELLs, and students performing below proficiency in this Priority School as compared with other schools within the district. Discuss the reasons why these similarities and differences exist.
- ii. Describe the district policies and practices that help to ensure SWDs, ELLs, and students performing below proficiency have increasing access to diverse and high quality school programs across the district.

- iii. Describe specific strategies employed by the district to ensure that Priority schools in the district are not receiving or incentivized to receive disproportionately high numbers of SWDs, ELLs, and students performing below proficiency.

G. District-level Labor and Management Consultation and Collaboration

The LEA/school must fully and transparently consult and collaborate with recognized district leaders of the principals’ and teachers’ labor unions about district Priority Schools and the development and implementation of the plan proposed for this specific Priority School proposed in this application. The evidence of consultation and collaboration provided by the LEA must contain each of the following elements:

- i. Describe in detail the steps that have occurred to consult and collaborate in the development of the district and school-level implementation plans.
- ii. Complete the Consultation and Collaboration Form and submit with this application (Attachment A).

II. School-level Plan – *Turnaround, Restart, Transformation*

A. School Overview

The LEA/school must demonstrate a clear and organized synopsis of the major quality design elements of the school. In addition, the executive summary should be suitable in substance and grammar for sharing with the general public, including essential stakeholders such as families, students, and school-level educators. This executive summary may also be used by NYSED to share school plans with stakeholders statewide, other LEAs, and will be posted to the NYSED website. The school overview must address each of the following elements:

- i. Provide and describe the clear vision, mission, and identify one to three goals of the proposed model, to be achieved at the end of three years of implementation of this plan. (Specific goals/targets for student achievement should be identified in Attachment B).
- ii. Explain how the school plans to achieve its vision, mission, and goals by identifying and describing its research-based key design elements specific to the model chosen, core strategies, and key partnership organizations to assist in the plan implementation.

B. Assessing the Needs of the School Systems, Structures, Policies, and Students

The LEA/school must demonstrate a critical and honest assessment of structural/systems gaps and needs, as well as student achievement gaps and needs that are identified as the result of a systemic analysis process. The assessment of needs section must address each of the following elements:

- i. Complete the School-level Baseline Data and Target-Setting Chart (Attachment B).
- ii. Use statistics and descriptive language, to describe the population of students the school serves, and the unique needs of sub-groups (e.g.: students with disabilities, English language learners, students from households that are eligible for free or reduced lunch, first-generation college-goers, and/or students traditionally underrepresented in college).
- iii. Describe the systematic in-depth diagnostic school review of the school conducted by the district, a Joint Intervention Team (JIT), Integrated Intervention Team (ITT), or related outside education experts to determine its existing capacity, strengths, and needs.
- iv. Describe the results of this systematic school review, including the existing capacity, strengths, and needs to dramatically improve student achievement.
- v. Discuss how the LEA/school will prioritize these identified needs in the implementation of the SIG plan.

C. School Model and Rationale

The LEA/school must propose and present the SIG plan as a plausible solution to the challenges and needs identified in the previous section, as well as the appropriate fit for the particular school and community. The SIG plan and rationale must contain descriptions of the following elements:

- i. Describe the rationale for the selected model (*Turnaround, Restart, or Transformation*), the research-based key design

elements and other unique characteristics of the new school design. The rationale should reference the identified needs, student population, core challenges, and school capacity and strengths discussed above.

- ii. Describe the process by which this model was chosen, including all steps taken to engage the school staff, leadership, labor unions, and community stakeholders in the design and decision-making processes for model selection and plan development.

D. School Leadership

The LEA/school must have the mechanisms in place to replace the existing principal and select/assign a new school principal and supporting leaders that possess the strengths and capacity to drive the successful implementation of the SIG Plan. (While the replacement of the principal is not a requirement of *Restart*, the LEA and EPO should have the mechanism to replace the existing principal if through a screening process by the LEA / EPO, principal replacement is determined to be the best approach to ensuring school and student success.) Whether the principal is being replaced or not, the LEA must make the case by providing a clear rationale and supporting evidence that the principal identified is likely to be successful in effectively implementing the SIG plan. The selection and identification of the school principal and supporting school leadership must contain the following elements:

- i. Identify and describe the specific characteristics and core competencies of the school principal that are necessary to meet the needs of the school and produce dramatic gains in student achievement.
- ii. Identify the specific school principal by name and include in this narrative a short biography, an explanation of the leadership pipeline from which she/he came, as well as the rationale for the selection in this particular school. In addition, provide an up-to-date resume and track record of success in leading the improvement of low-performing schools; OR
- iii. If the specific persons who will serve in this position are not yet known, describe the action steps necessary to put leadership in place, and identify the formal LEA/school mechanisms that enable this personnel action. The principal selected to lead the school must be in place no later than July 1, 2014, to ensure sufficient time to lead summer activities in preparation for the beginning of the school year. Identify any barriers or obstacles to accomplishing these tasks, as well as strategies for overcoming them. If the principal selected to lead the school is not in place by July 1, 2014, or does not meet the quality standards set forth in this application, the SIG will be suspended immediately and the LEA will be at risk of having the grant terminated.
- iv. Provide the specific job description and duties, aligned to the needs of the school, for the following supporting leadership positions; 1) assistant principal/s who will serve in the building; 2) School Implementation Manager (SIM), if the school is utilizing one.
- v. Describe and discuss the current supporting leadership profile of the school in terms of quality, effectiveness, and appropriateness to the model proposed and needs of the students. Identify specific individuals who will remain in supporting leadership positions from the previous administration and discuss the strategies employed by the new school principal and the LEA/school to ensure buy-in and support from the entire leadership team. Identify any barriers or obstacles to obtaining leadership buy-in or support as well as strategies for overcoming them.

E. Instructional Staff

The LEA/school must have the mechanisms in place to assign the instructional staff to the school that have the strengths and capacity necessary to meet the needs of the school and its students.* This section must contain the following elements:

- i. Identify the total number of instructional staff in the building and number of staff identified as highly effective, effective, developing and ineffective (HEDI) based on the school's approved APPR system.
- ii. Describe and discuss the current school-specific staffing picture in terms of quality, effectiveness, and appropriateness for the needs of students in this school. In addition, describe the specific quantitative and qualitative change that is needed in this school's staffing between the time of application and the start-up of model implementation, and throughout the implementation period of the grant.
- iii. For each key instructional staff to be employed at the start of model implementation identify and describe the characteristics and core competencies necessary to meet the needs of its students.
- iv. Describe the process and identify the formal LEA/school mechanisms that enable all instructional staff to be screened, selected, retained, transferred, and/or recruited. Identify any barriers or obstacles to assigning the appropriate staff as required by the model and new school design, as well as strategies for overcoming them.

*This standard and the actions that accompany it are required regardless of the model chosen. If the Turnaround model is chosen for the Priority School in this application, responses to this section should be planned/proposed in the context of the requirements for that model, retaining no more than 50% of existing instructional staff. A new school staff meeting the Turnaround requirement must be in place prior to September 1, 2014. If Turnaround staffing requirements are not met by September 1, 2014 SIG funding will be immediately suspended and the LEA will be at risk of having the grant terminated.

F. Partnerships

The LEA/school must be able to establish effective partnerships for areas where the LEA/school lacks specific capacity on their own to deliver. The external partnership/s may vary in terms of role and relationship to the governance of the school. For example the type and nature of educational partner may range from a community-based organization providing wrap-around services with no formal governance functions to an Education Partner Organization (EPO) that has a direct role in governing the school. In either case, the partnerships articulated in this section should be those that are critical to the successful implementation of the school. LEA/schools are encouraged to have a few targeted and purposeful partnerships with a shared goal of college and career readiness, rather than a large variety of disconnected partner groups/services with multiple goals. For partnerships selected to support the implementation of the SIG/SURR plan, the LEA/school must provide a response to each of the following elements:

- i. Identify by name, the partner organizations that will be utilized to provide services critical to the implementation of the new school design. Additionally, provide the rationale for the selection of each. Explain specifically, the role they will play in the implementation of the new school design.*
- ii. Complete the Evidence of Partner Effectiveness Chart (Attachment C). This evidence should be able to be validated by an external source that each partner organization selected has a proven track-record of success in implementing school turnaround strategies that result in measured and timely successes with respect to the school's needs.
- iii. For any key external partner funded through this plan, provide a clear and concise description of how the LEA/school will hold the partner accountable for its performance.

*If the model chosen for this school is a *Restart*, the LEA must provide a Memorandum of Understanding, signed by both parties, which identifies joint-agreement and the scope of services of the EPO and the broad achievement outcomes for the school. The LEA/school must be able to establish effective partnerships to address areas where the school lacks the capacity to improve. The external partnership/s may vary in terms of role and relationship to the governance of the school. If the model chosen for this school is a *Restart*, the LEA must provide a Memorandum of Understanding, signed by both parties, which identifies joint-agreement and the scope of services of the EPO and the broad achievement outcomes for the school. The fully executed EPO-district contract, signed by both parties, in full accordance with Education Law 211-e must be received by NYSED no later than August 1, 2014. If the fully executed EPO-district contract is not in full accordance with Education Law 211-e, submitted and in place by the date identified, the LEA will be at risk of having the grant terminated.

G. Organizational Plan

The LEA/school must provide a sound plan for how the school will be operated, beginning with its governance and management. It should present a clear picture of the school's operating priorities, delegation of responsibilities, and relationships with key stakeholders. The organizational plan must contain the following elements:

- i. Submit an organizational chart (or charts) identifying the management and team structures, and lines of reporting. (If a *Restart* model is being proposed, be sure to include the specific role of the EPO in governance and decision making that is compliant with education law).
- ii. Describe how the structures function in day-to-day operations (e.g., the type, nature, and frequency of interaction, data-sources used to drive discussion and decision making, manner in which the results of interactions are communicated and acted upon, etc.).
- iii. Describe in detail, the plan for implementing the annual professional performance review (APPR) of all instructional staff within the school. Include in this plan an identification of who will be responsible for scheduling, conducting, and reporting the results of pre-observation conferences, classroom observations, and post-observation conferences.
- iv. Provide a full calendar schedule of the events listed in "iii" for the 2014-2015 school year that reaches all instructional personnel who will staff the building.

H. Educational Plan

The LEA/school must provide an educationally sound and comprehensive plan for the school. The LEA/school must provide a detailed educational plan with a description of each of the following elements:

- i. Curriculum. Describe the curriculum to be used with the model, including the process to be used to ensure that the curriculum aligns with the New York State Learning Standards, inclusive of the Common Core State Standards and the New York State Testing Program (see: <http://engageny.org/common-core-curriculum-assessments>).
- ii. Instruction. Describe the instructional strategies to be used in core courses and common-branch subjects in the context of the 6 instructional shifts for Mathematics and 6 instructional shifts for ELA. Provide details of how the events of instruction in additional required and elective courses will be arranged to reflect all of these instructional shifts. Describe a plan to accelerate learning in academic subjects by making meaningful improvements to the quality and quantity of instruction (Connect with iii below.).
- iii. Use of Time. Present the daily proposed school calendar showing the number of days the school will be in session and sample daily class schedule showing daily hours of operation and allocation of time for core instruction, supplemental instruction, and increased learning time activities. Describe a logical and meaningful set of strategies for the use of instructional time that leads to a pedagogically sound restructuring of the daily/weekly/monthly schedule **to increase learning time by extending the school day and/or year**. The structure for learning time described here should be aligned with the Board of Regents standards for Expanded Learning Time, as outlined here: <http://www.regents.nysed.gov/meetings/2012Meetings/April2012/412bra5.pdf>
- iv. Data-Driven Instruction/Inquiry (DDI). Describe the school's functional cycle of Data-Driven Instruction/Inquiry (DDI). Present the schedule for administering common interim assessments in ELA and Math. Describe procedures, and schedule of space and time (e.g., through common planning time, teacher-administrator one-on-one meetings, group professional development, etc.) provided to the teachers for the examination of interim assessment data and test-in-hand analysis. Describe the types of supports and resources that will be provided to teachers, as the result of analysis. (See <http://engageny.org/data-driven-instruction> for more information on DDI).
- v. Student Support. Describe the school-wide framework for providing academic, social-emotional, and student support to the whole school population. List the major systems for the identification of students at-risk for academic failure, disengagement/drop-out, and health issues and then present the key interventions chosen to support them. Describe the school's operational structures and how they function to ensure that these systems of support operate in a timely and effective manner. Student support programs described here should be aligned with Part 100.2 Regulations on implementing Academic Intervention Services, accessible at <http://www.p12.nysed.gov/part100/pages/1002.html#ee>.
- vi. School Climate and Discipline. Describe the strategies the model will employ to develop and sustain a safe and orderly school climate. Explain the school's approach to student behavior management and discipline for both the general student population and those students with special needs.
- vii. Parent and Community Engagement. Describe the formal mechanisms and informal strategies for how the school will encourage parent/family involvement and communication to support student learning, and how it will gauge parent and community satisfaction. Programs and initiatives described should be aligned with the Title I requirements for parental involvement, as well as Part 100.11 regulations outlining requirements for shared decision-making in school-based planning; accessible at <http://www.p12.nysed.gov/part100/pages/10011.html>.

I. Training, Support, and Professional Development

The LEA/school must have a coherent school-specific framework for training, support, and professional development clearly linked to the identified SIG plan and student needs. The framework articulated must contain each of the following elements:

- i. Describe the process by which the school leadership/staff were involved in the development of this plan.
- ii. Implementation Period. Identify in chart form, the planned training, support, and professional development events scheduled during the year-one implementation period (June 1, 2014, to June 30, 2015). For each planned event, identify the specific agent/organization responsible for delivery, the desired measurable outcomes, and the method by which outcomes will be analyzed and reported. Provide in the project narrative, a rationale for each planned event and why it will be critical to the successful implementation of the SIG plan.
- iii. Describe the schedule and plan for regularly evaluating the effects of training, support, and professional development, including any subsequent modifications to the plan as the result of evaluation, tying in any modification processes that may be the result of professional teacher observations and/or the results of common student interim assessment data.

The training, support, and professional development plan to be described in this section should be job-embedded, school-specific, and linked to student instructional and support data, as well as teacher observation and interim benchmark data. For the

purposes of this grant, job-embedded professional development is defined as professional learning that occurs at a school as educators engage in their daily work activities. It is closely connected to what teachers are asked to do in the classroom so that the skills and knowledge gained from such learning can be immediately transferred to classroom instructional practices. Job-embedded training, support, and professional development can take many forms; including but not limited to classroom coaching, structured common planning time, meeting with mentors, consultation with external partners or outside experts, observations of classroom practice.

J. Communication and Stakeholder Involvement/Engagement

The LEA/school must fully and transparently consult and collaborate with key education stakeholders about the school's Priority status and on the implementation of the SIG plan. The plan for consultation and collaboration provided by the LEA/school must contain the following elements:

- i. Describe in detail, the methods, times, and places that will be used for regularly and systematically updating parents, families, the community and other stakeholders on the implementation of the SIG plan.

K. Project Plan Narrative/Timeline

The LEA/school must provide a project plan that provides a detailed and specific, measurable, realistic, and time-phased set of actions and outcomes that reasonably lead to the effective implementation of the SIG plan. The project plan must contain each of the following elements:

- i. Identify and describe the key strategies for year-one implementation period (June 1, 2014, to June 30, 2015) that are aligned to the goals identified in Section II. A. School Overview.
- ii. Identify the "early wins" that will serve as early indicators of a successful SIG plan implementation and foster increased buy-in and support for the plan.
- iii. Identify the leading indicators of success that will be examined on no less than a monthly and/or quarterly basis. Describe how these data indicators will be collected, how and who will analyze them, and how and to whom they will be reported.

III. SIG Budget

A. Budget Narrative and Budget Forms

The LEA/school must provide appropriate and complete required budget items identified below:

- i. An FS-10 for the year-one implementation period (June 1, 2014, to June 30, 2015).
- ii. A complete Budget Summary Chart for the entire project period (three years of implementation) (Attachment D).
- iii. A Budget Narrative that identifies and explains all proposed costs for district and school-level activities for the entire project period (three years of implementation). **In addition, applicants should identify all other sources of income that will support and sustain the whole-school change described in this application.** Organize costs in the Budget Narrative by the major project activity they serve, based on each category of the proposal narrative, for the entire grant term. For each major activity, identify the line item costs associated and provide an explanation/justification for the cost that closely connects to the project activity, goals, and outcomes identified. For each major activity, describe the LEA's strategies for sustaining these actions or for how/why the district/school practice that will result from the activity can be sustained past the whole project period of the grant. Clearly describe and justify any specific district-level administration and support expenses to be funded by SIG at no more than 10% of the total SIG funding request.

The budget items must be clear and obvious about how the proposed activities are **directly** impacting the school-level implementation of the SIG plan proposed in this application. The proposed expenditures must be reasonable and necessary to support the proposal's initiatives and goals. They must also be supplemental to and must not supplant core activities currently provided or to be provided through other funding sources.

SUBMISSION CHECKLIST - *Closure Models*

Documents for Submission	Checked – applicant	Checked – SED	
Application Cover Sheet <i>(with original signatures in blue ink)</i>	<input type="checkbox"/>	<input type="checkbox"/>	
Proposal Narrative	<input type="checkbox"/>	<input type="checkbox"/>	
Attachment A Consultation and Collaboration Form	<input type="checkbox"/>	<input type="checkbox"/>	
FS-10 Form for Year One Implementation Period. FS-10 available here: http://www.oms.nysed.gov/cafe/forms/	<input type="checkbox"/>	<input type="checkbox"/>	
Budget Narrative	<input type="checkbox"/>	<input type="checkbox"/>	
M/WBE Documents Package (containing original signatures)			
<input type="checkbox"/> Full Participation <input type="checkbox"/> Request Partial Waiver <input type="checkbox"/> Request Total Waiver			
Type of Form	Full Participation	Request Partial Waiver	Request Total Waiver
M/WBE Cover Letter	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
M/WBE 100 Utilization Plan	<input type="checkbox"/>	<input type="checkbox"/>	N/A
M/WBE 102 Notice of Intent to Participate	<input type="checkbox"/>	<input type="checkbox"/>	N/A
EEO 100 Staffing Plan and Instructions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
M/WBE 105 Contractor’s Good Faith Efforts	N/A	<input type="checkbox"/>	<input type="checkbox"/>
M/WBE 101 Request for Waiver Form and Instructions	N/A	<input type="checkbox"/>	<input type="checkbox"/>
SED Comments: Has the applicant submitted all of the documents listed above? <input type="checkbox"/> Yes <input type="checkbox"/> No Reviewer: _____ Date: _____			

PROPOSAL NARRATIVE - *Closure Model*

Applicants seeking to implement *Turnaround, Restart, or Transformation* models should not respond to this proposal narrative. This proposal narrative applies specifically to *Closure* model applications, and contains one section only. The project narrative is further broken down into the following categories with the accompanying point values:

Closure Plan (100 points)	Points
A. District Organizational Capacity	10
B. Assessing the Needs of the School	10
C. School Overview, Model Selection, and Rationale	10
D. Communication, Collaboration, and Stakeholder Involvement/Engagement	10
E. School Choice Options and Student Transfers	20
F. Project Plan Narrative/Timeline	20
G. Budget Narrative and Forms	20
Total points for <i>Closure Plan</i>	100

The proposal narrative should not exceed 20 pages (not including required charts and forms). It should be typed, single-spaced, letter-sized, (8.5" X 11") page with 1" margins on all sides. Font may NOT be less than 12 pt Times New Roman font at 100%. Charts and forms do not require 12pt Times New Roman font. The proposal narrative submission must be organized under the same headings in the same order as are identified in this section. The complete project and budget narratives, including budgets, charts, and forms, will be posted on the NYSED website and shared with stakeholders upon request.

SIG Plan – <i>Closure</i>
A. District Organizational Capacity
The LEA must have the organizational structures and functions in place at the district-level to provide high quality oversight over the closure process and support for the schools that will accept transferring students from the closing school. The LEA organizational capacity response must contain each of the following elements: <ul style="list-style-type: none"> i. Identify specific senior leadership that will direct and coordinate school closure of the Priority School identified in this application and submit an organizational chart (or charts) identifying the management/support structures at the district-level that are responsible for providing oversight <u>and</u> support to these schools. ii. Describe in detail how the structures identified in "i" of this section function in a coordinated manner, to provide effective implementation of the Closure process.
B. Assessing the Needs of the School
The LEA must demonstrate a critical and honest assessment of structural/systems gaps and needs, as well as student achievement needs, specific to the Priority School identified for Closure in this application. The identified needs should be the result of a systemic analysis process that is both valid and reliable. The assessment of needs section must address each of the following elements:

- i. Use statistics and descriptive language, to describe the population of students the school serves, and the unique needs of sub-group (e.g., students with disabilities, English language learners, students from households that are eligible for free or reduced lunch, first-generation college-goers, and/or students traditionally underrepresented in college).
- ii. Describe the systematic in-depth diagnostic school review of the school conducted by the district, a Joint Intervention Team (JIT), Integrated Intervention Team (ITT), or related outside education experts to determine its existing capacity, strengths, and needs.
- iii. Describe the results of this systematic school review, including the existing capacity, strengths, and needs to dramatically improve student achievement.

C. School Overview, Model Selection, and Rationale

The LEA must propose and present the selection of a Closure model as a plausible and best-case solution to the challenges and needs identified in the previous section, as well as the appropriate fit for this particular school and community. The rationale for the Closure model and plan must contain information-rich descriptions of the following elements:

- i. Describe the rationale for the selected Closure model. The rationale should reference the identified needs, student population, core challenges, and school capacity and strengths discussed above.

D. Communication, Collaboration and Stakeholder Involvement/Engagement

The LEA must fully and transparently consult and collaborate with recognized district and local leaders of the LEAs labor unions, parent organizations, and the local school community on the development and implementation of the plan to close the Priority School identified in this application. The evidence of consultation and collaboration provided by the LEA/school must contain each of the following elements:

- i. Describe in detail, the steps that have occurred to consult and collaborate in the development of the rationale for Closure with the following three groups of stakeholders: 1) LEA and school's collective bargaining unit leaders, 2) parents, and 3) community members.
- ii. Any consultation and collaboration correspondence must be documented using the Consultation and Collaboration Form found in this application (Attachment A).

E. School Choice Options and Student Transfers

The LEA must have the mechanisms to transfer students from the closing Priority School and clear options for enrolling them in higher achieving schools within one year or less. The evidence presented for school choice options and student transfers must contain each of the following elements:

- i. Identify the higher achieving school options that will be made available to students from the closing Priority School. Provide a summary of academic data and other supporting information to demonstrate that these options are higher achieving and accessible to students from the closing school.
- ii. Describe the formal mechanisms and procedures by which the LEA will allow families and students to choose from among multiple higher-achieving schools, at least one of which is located within reasonable proximity to the closed school.

F. Project Plan Narrative/Timeline

The LEA must provide a detailed and specific, measurable, realistic, and time-phased set of actions and outcomes that reasonably lead to the effective closure of the school and the transfer of its students into the higher achieving school options identified in the proposal narrative. The Project Plan Narrative/Timeline should be comprehensive and suitable for publication. The Project Plan Narrative/Timeline must contain each of the following elements:

- i. Describe the goals and key strategies for the year-one implementation period (June 1, 2014, to June 30, 2015) in preparation for and completion of the school's Closure.
- ii. Identify the specific, measurable, and time-phased actions/outcomes on the part of the district, school leadership, external partners, and teaching, and/or support personnel that are aligned to the key strategies for implementation work. Include action steps and strategies for: downsizing teachers and other staff within the closing school; effectively

transferring students to higher achieving options; and providing support to higher performing schools who will receive students transferring from the closing school.

- iii. For each specific action/outcomes, identify the specific person or group that will be accountable for its completion.

G. Budget Narrative and Budget Forms

The LEA/school must provide appropriate and complete required budget items identified below:

- i. An FS-10 for the year-one implementation period (June 1, 2014, to June 30, 2015).
- ii. A Budget Narrative that identifies and explains all proposed costs for district and school-level activities for the entire project period (one year of implementation). Organize costs in the Budget Narrative by the major project activity they serve, based on each category of the project narrative, for the entire grant term. For each major activity, identify the line item costs associated and provide an explanation/justification for the cost that closely connects to the project activity, goals, and outcomes identified. For each major activity, describe the LEAs strategies for sustaining these actions or for how/why the district/school practice that will results from the activity can be sustained past the grant. Clearly describe and justify any specific district-level administration and support expenses to be funded by SIG at no more than 10% of the total SIG funding request.

The budget items must be clear and obvious about how the proposed activities are directly impacting the school-level implementation of the SIG plan proposed in this application. The proposed expenditures must be reasonable and necessary to support the proposal's initiatives and goals. They must also be supplemental to and must not supplant core activities currently provided or to be provided through other funding sources.

Attachment A Consultation and Collaboration Documentation Form

The U.S. Department of Education School Improvement Grant guidelines, under Section 1003 (g) require LEAs to consult and/or collaborate with various groups in the development of this SIG application. This form must be completed and submitted to NYSED as a part of this complete SIG application in order to document that appropriate consultation/collaboration has occurred or was attempted with constituency groups as follows:

1. Representatives of constituency groups who sign the form under their name/title are affirming that appropriate consultation has occurred. (The signature does not indicate agreement).
2. For representatives or constituency groups who have consulted with the LEA but whose signatures are unobtainable, supporting documentation providing evidence of consultation and collaboration efforts (e.g., meeting agendas, minutes and attendance rosters, etc.) must be maintained by the LEA and a summary of such documentation must be completed in the "Summary Documentation" box and submitted to NYSED on this form.

Principals Union President / Lead	Date	Summary Documentation if Signature is Unobtainable If the signature of the constituent identified above is unobtainable, provide a summary and description of the supporting documentation that provides evidence of consultation and collaboration on the Priority School identified in this SIG application.
Signature (in blue ink)		
Type or print name		
Teachers Union President / Lead	Date	Summary Documentation if Signature is Unobtainable If the signature of the constituent identified above is unobtainable, provide a summary and description of the supporting documentation that provides evidence of consultation and collaboration on the Priority School identified in this SIG application.
Signature (in blue ink)		
Type or print name		
Parent Group President / Lead	Date	Summary Documentation if Signature is Unobtainable If the signature of the constituent identified above is unobtainable, provide a summary and description of the supporting documentation that provides evidence of consultation and collaboration on the Priority School identified in this SIG application.
Signature (in blue ink)		
Type or print name		

Attachment B
School-level Baseline Data and Target-Setting Chart

SCHOOL-LEVEL BASELINE DATA AND TARGET SETTING CHART	Unit	District Average	Baseline Data	Target for 2014-15	Target for 2015-16	Target for 2016-17
I. Leading Indicators						
a. Number of minutes in the school year	min					
b. Student participation in State ELA assessment	%					
c. Student participation in State Math assessment	%					
d. Drop-out rate	%					
e. Student average daily attendance	%					
f. Student completion of advanced coursework						
g. Suspension rate	%					
h. Number of discipline referrals	num					
i. Truancy rate	%					
j. Teacher attendance rate	%					
k. Teachers rated as “effective” and “highly effective”	%					
l. Hours of professional development to improve teacher performance	num					
m. Hours of professional development to improve leadership and governance	num					
n. Hours of professional development in the implementation of high quality interim assessments and data-driven action	num					
II. Academic Indicators						
a. ELA performance index	PI					
b. Math performance index	PI					
c. Student scoring “proficient” or higher on ELA assessment	%					
d. Students scoring “proficient” or higher on Math assessment	%					
e. Average SAT score	score					
f. Students taking PSAT	num					
g. Students receiving Regents diploma with advanced designation	%					
h. High school graduation rate	%					
i. Ninth graders being retained	%					
j. High school graduates accepted into two or four year colleges	%					

**Bi-monthly telephone calls will be conducted with LEA’s to consider interim data and progress being made toward yearly targets.*

Attachment C Evidence of Partner Effectiveness Chart

Partner Organization Name and Contact Information and description of type of service provided.	Schools the partner has successfully supported in the last three years (Attach additional trend-summary evidence of the academic success of each school, as well as any other systematic evaluation data to demonstrate the impact of partner-services.)	References / Contacts (Include the names and contact information of school and district personnel who can provide additional validation of the successful performance of the partner in the increase of academic performance and turnaround of the identified schools.)
	1.	1.
	2.	2.
	3.	3.
	4.	4.
	5.	5.
	6.	6.
	7.	7.
	8.	8.
	9.	9.
	10.	10.
	1.	1.
	2.	2.
	3.	3.
	4.	4.
	5.	5.
	6.	6.
	7.	7.
	8.	8.
	9.	9.
	10.	10.

Partner Organization Name and Contact Information and description of type of service provided.	Schools the partner has successfully supported in the last three years (Attach additional trend-summary evidence of the academic success of each school, as well as any other systematic evaluation data to demonstrate the impact of partner-services.)	References / Contacts (Include the names and contact information of school and district personnel who can provide additional validation of the successful performance of the partner in the increase of academic performance and turnaround of the identified schools.)
	1.	1.
	2.	2.
	3.	3.
	4.	4.
	5.	5.
	6.	6.
	7.	7.
	8.	8.
	9.	9.
	10.	10.
Partner Organization Name and Contact Information and description of type of service provided.	Schools the partner has successfully supported in the last three years (Attach additional trend-summary evidence of the academic success of each school, as well as any other systematic evaluation data to demonstrate the impact of partner-services.)	References / Contacts (Include the names and contact information of school and district personnel who can provide additional validation of the successful performance of the partner in the increase of academic performance and turnaround of the identified schools.)
	1.	1.
	2.	2.
	3.	3.
	4.	4.
	5.	5.
	6.	6.
	7.	7.
	8.	8.
	9.	9.
	10.	10.

Attachment D - (1003g) Budget Summary Chart

Agency Code											
Agency Name											
Year 1 Implementation Period (June 1, 2014 - June 30, 2015)			Year 2 Implementation Period (July 1, 2015 - June 30, 2016)			Year 3 Implementation Period (July 1, 2016 - June 30, 2017)					
Categories	Code	Costs	Categories	Code	Costs	Categories	Code	Costs			
Professional Salaries	15		Professional Salaries	15		Professional Salaries	15				
Support Staff Salaries	16		Support Staff Salaries	16		Support Staff Salaries	16				
Purchased Services	40		Purchased Services	40		Purchased Services	40				
Supplies and Materials	45		Supplies and Materials	45		Supplies and Materials	45				
Travel Expenses	46		Travel Expenses	46		Travel Expenses	46				
Employee Benefits	80		Employee Benefits	80		Employee Benefits	80				
Indirect Cost (IC)	90		Indirect Cost (IC)	90		Indirect Cost (IC)	90				
BOCES Service	49		BOCES Service	49		BOCES Service	49				
Minor Remodeling	30		Minor Remodeling	30		Minor Remodeling	30				
Equipment	20		Equipment	20		Equipment	20				
Total			Total			Total					

Total Project Period (June 1, 2014 - June 30, 2017)		
Categories	Code	Costs
Professional Salaries	15	
Support Staff Salaries	16	
Purchased Services	40	
Supplies and Materials	45	
Travel Expenses	46	
Employee Benefits	80	
Indirect Cost (IC)	90	
BOCES Service	49	
Minor Remodeling	30	
Equipment	20	
Total Project Budget		

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 = M/WBE 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 contract
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	NYS ESD Certified		
ADDRESS	MBE _____		\$ _____
CITY, ST, ZIP	WBE _____		
PHONE/E-MAIL			
FEDERAL ID No.			
NAME	NYS ESD Certified		
ADDRESS	MBE _____		\$ _____
CITY, ST, ZIP	WBE _____		
PHONE/E-MAIL			
FEDERAL ID No.			

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 _____

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

M/WBE 100

**M/WBE SUBCONTRACTORS AND SUPPLIERS
NOTICE OF INTENT TO PARTICIPATE**

New York State Education Department:

Local Education Agency (LEA) 1003(g) School Improvement Grant Application
Under 1003(g) of the Elementary and Secondary Education Act of 1965

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):

Local Education Agency (LEA) 1003(g) School Improvement Grant Application

Under 1003(g) of the Elementary and Secondary Education Act of 1965

_____ 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 102

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

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.

WBE Waiver - A waiver of the WBE goal for this procurement is requested.

Total **Partial** _____ %

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: _____

FOR AUTHORIZED USE ONLY

TITLE OF PREPARER:

TELEPHONE:

EMAIL:

REVIEWED BY: _____

DATE: _____

WAIVER GRANTED **YES** **NO**

TOTAL WAIVER PARTIAL WAIVER

ESD CERTIFICATION WAIVER NOTICE OF DEFICIENCY

CONDITIONAL WAIVER

COMMENTS:

M/WBE 101

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.

EQUAL EMPLOYMENT OPPORTUNITY - STAFFING PLAN (Instructions on Page 2)

Applicant Name: _____

Telephone: _____

Address: _____

Federal ID No.: _____

City, State, ZIP: _____

Project No: _____

Report includes:

Work force to be utilized on this contract OR

Applicant's total work force

Enter the total number of employees in each classification in each of the EEO-Job Categories identified.

EEO - Job Categories	Total Work Force	Race/Ethnicity - report employees in only one category																	
		Hispanic or Latino		Not-Hispanic or Latino															
				Male					Female										
		Male	Female	White	African-American or Black	Native Hawaiian or Other Pacific Islander	Asian	American Indian or Alaska Native	Two or More Races	Disabled	Veteran	White	African-American	Native Hawaiian or Other Pacific Islander	Asian	American Indian or Alaska Native	Two or More Races	Disabled	Veteran
Executive/Senior Level Officials and Managers																			
First/Mid-Level Officials and Managers																			
Professionals																			
Technicians																			
Sales Workers																			
Administrative Support Workers																			
Craft Workers																			
Operatives																			
Laborers and Helpers																			
Service Workers																			
TOTAL																			

PREPARED BY (Signature): _____

DATE: _____

NAME AND TITLE OF PREPARER: _____

TELEPHONE/EMAIL: _____

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

Assurances and Waivers 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

Waiver for the use of Title I Funding for Whole School Programs

If the LEA identified in this application is a Title I school for specific targeted activities only, signing the certification on the application cover page acts as a waiver request to use specific targeted activity funds from this grant for whole-school change programming.

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.

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).

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, national origin, sexual orientation, age, disability, genetic predisposition or carrier status, or marital 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
<http://esd.ny.gov/MWBE/directorySearch.html>

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 NEW YORK 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.

Rev. December 2012

APPENDIX A-1 G

General

- 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.

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.

Appendix A-2

American Recovery and Reinvestment Act of 2009 (ARRA) ADDITIONAL CONTRACT RECORD KEEPING REQUIREMENTS

This contract, is funded, in whole or in part, by the American Recovery and Reinvestment Act of 2009 (ARRA). The United States Office of Management and Budget (OMB) has released, "Implementing Guidance for Reports on Use of Funds Pursuant to the American Recovery and Reinvestment Act of 2009." (M-09-21) This guidance provides detailed information on reporting requirements included in Section 1512 of the Recovery Act.

Recipient vendors receiving ARRA funding will be required to submit quarterly information which will include at a minimum the following information:

- Vendor name and zip code of Vendor headquarters;
- Expenditures (per quarter and cumulative);
- Expenditure description; and
- Estimates on jobs created or retained via the expenditure of these funds by the Vendor.

Additional data may be required from vendors as a result of guidance issued by OMB.

Vendors will be required to submit the ARRA data in a form and format to be determined by the New York State Education Department (NYSED). NYSED anticipates that the reporting information will be provided to Vendors no later than August 30th. There will be no additional compensation for this reporting activity and it is anticipated that the Quarterly Reporting forms will be required in both paper and electronic formats.

An employee of any non-federal employer receiving ARRA funds may not be discharged, demoted, otherwise discriminated against as a reprisal for disclosing to law enforcement and other officials information that the employee reasonably believes is evidence of:

- Gross mismanagement;
- Gross waste of covered funds;
- A danger to public health and safety;
- An abuse of authority; or
- A violation of law.

(1003g) School Improvement Grant (SIG) Application Scoring Guide
Turnaround, Restart, and Transformation Models

I. District-level Plan (20 points)	Points	Quality Rating Guide 4 Exemplary The whole response to the category reflects a thorough understanding of key issues and indicates capacity of an LEA and school to effectively oversee and implement the model activities. The response addresses <i>all</i> required elements within the category with specific and accurate information that shows thorough preparation and presents a clear, realistic picture of how the school expects to operate. 3 Acceptable The whole response to the category indicates solid preparation and a grasp of key issues that would be considered reasonably comprehensive and provides evidence that the LEA and school have the capacity to effectively implement the plan. The response addresses <i>all</i> required elements within the category with clear and accurate information, even though it may require additional specificity, support or elaboration of elements in certain categories. 2 Approaching The whole response to the category addresses a majority of the elements within in a manner that reflects solid preparation, comprehensiveness, and capacity to implement; but either fails to provide certain elements or provides all elements but in varying quality (some stronger, some weaker) lacking detail, preparation, or otherwise raises concerns about the capacity of the LEA and school to implement the plan. 1 Insufficient The whole response to the category lacks meaningful detail; demonstrates lack of preparation; or otherwise raises substantial concerns about the applicant’s capacity to meet the requirements in practice.
A. District Overview	NA	
B. Operational Autonomies	4	
C. District Accountability and Support	6	
D. Teacher and Leader Pipeline	4	
E. External Partner Recruitment, Screening, and Matching to Priority Schools	2	
F. Enrollment and Retention Policies, Practices, and Strategies	2	
G. District-level Labor and Management Consultation and Collaboration	2	
Total points awarded for section I	20	
II. School-level Plan (60 points)	Points	
A. School Overview	2	
B. Assessing the Needs of the School Systems, Structures, Policies, and Students	4	
C. School Model Selection and Rationale	4	
D. School Leadership	8	
E. Instructional Staff	8	
F. Partnerships	6	
G. Organizational Plan	8	
H. Educational Plan	8	
I. Training, Support, and Professional Development	4	
J. Communication and Stakeholder Involvement/Engagement	4	
K. Project Plan and Timeline	4	
Total points awarded for section II	60	
III. SIG Budget (20 points)	Points	
A. Budget Narrative and Budget Forms	20	
Total points awarded for section III	20	
Key Terms <u>Quality Rating Guide</u> This rating guide (column to the right) guides the reviewer in assigning a numerical rating to each section of the Project Narrative. <u>Reviewer Rating</u> This is the numerical value (4, 3, 2, or 1) that a reviewer will assign to each section, based on the Quality Rating Guide. <u>Factor</u> The factor by which the reviewer rating will be multiplied. This assigns the “weight” to each section in order to match the total point values identified for each scored section of the Project Narrative. <u>Section Score</u> This number represents the final weighted score for each section, which is calculated by multiplying the reviewer rating by the factor.		

1003g School Improvement Grant (SIG) Scoring Rubric – Turnaround, Restart, and Transformation Models

Project Narrative Category	Category Standards	Reviewer Rating (4,3,2,or 1)	Factor	Section Score
I. District-Level Standards				
A. District Overview	<p>The LEA must demonstrate a commitment to success in the turnaround of its lowest achieving schools and the capacity to implement the model proposed. The district overview must contain the following elements:</p> <ul style="list-style-type: none"> i. Describe the district motivation/intention as well as the theories of action guiding key district strategies to support its lowest achieving schools and ensuring that all students graduate high school ready for college and careers. ii. Provide a clear and cogent district approach and set of actions in supporting the turnaround of its lowest achieving schools and its desired impact on Priority Schools. iii. Describe the evidence of district readiness to build upon its current strengths and identify opportunities for system-wide improvement in its Priority Schools. 	NA	NA	NA
B. Operational Autonomies	<p>The LEA must provide operational autonomies for Priority Schools in exchange for greater accountability for performance results in the following areas: 1) staffing; 2) school-based budgeting; 3) use of time during and after school; 4) program selection; and 5) educational partner selection. In addition to providing quality responses to each element requested in this section of the Project Narrative, the Priority School must have school-level autonomy in at least two of these areas for an acceptable rating in this category. Applications that provide quality responses and that are granted anywhere from 3 to 5 of these autonomies will receive a rating of exemplary for this category. The LEA must respond to each of the following:</p> <ul style="list-style-type: none"> i. Describe the operational autonomies the LEA has created for the Priority School in this application. Articulate how these autonomies are different and unique from those of the other schools within the district and what accountability measures the district has put in place in exchange for these autonomies. ii. Provide as evidence formally adopted Board of Education policies and/or procedures for providing the school the appropriate autonomy, operating flexibility, resources, and support to reduce barriers and overly burdensome compliance requirements. iii. Submit as additional evidence, supporting labor-management documentation such as formally executed thin-contracts or election-to-work agreements, or school-based options, that state the conditions for work that match the design needs of Priority School. 		1	

<p>C. District Accountability and Support</p>	<p>The LEA must have the organizational structures and functions in place at the district-level to provide quality oversight and support for its identified Priority Schools in the implementation of their SIG plans. The LEA plan for accountability and support must contain each of the following elements:</p> <ul style="list-style-type: none"> i. Identify specific senior leadership that will direct and coordinate district’s turnaround efforts and submit an organizational chart (or charts) identifying the management structures at the district-level that are responsible for providing oversight <u>and</u> support to the LEA’s lowest achieving schools. ii. Describe in detail how the structures identified in “i” of this section function in a coordinated manner, to provide high quality accountability and support. Describe and discuss the specific cycle of planning, action, evaluation, and feedback, and adaptation between the district and the school leadership. This response should be very specific about the type, nature, and frequency of interaction between the district personnel with school leadership and identified external partner organizations in <u>this specific</u> Priority School application. iii. For each planned interaction, provide a timeframe and identify the specific person responsible for delivery. 		<p>1.5</p>	
<p>D. Teacher and Leader Pipeline</p>	<p>The LEA must have a clear understanding of the type and nature of teachers and leaders that are needed to create dramatic improvement in its lowest-achieving schools. In addition, the LEA must have a coherent set of goals and actions that lead to the successful recruitment, training, and retention of teachers and leaders who are effective in low-achieving schools. The LEA’s plan must include each of the following elements:</p> <ul style="list-style-type: none"> i. Identify and describe recruitment goals and strategies for high poverty and high minority schools to ensure that students in those schools have equal access to high-quality leaders and teachers. ii. Describe the district processes for altering hiring procedures and budget timelines to ensure that the appropriate number and types of teachers and principals can be recruited and hired in time to bring schools through dramatic change. iii. Identify and describe any district-wide training programs designed to build the capacity of leaders to be successful in leading dramatic change in low-achieving schools. In addition, describe how these programs are aligned to the specific implementation of the model chosen (<i>Turnaround, Restart, or Transformation</i>). Provide a history of these or similarly purposed programs in the district, how they are or have been funded, and identify whether the school principals chosen to lead the new school designs proposed in this application have emerged as a direct result of these programs. Please identify the goals in terms of quantity and quality of effective leader development.* 		<p>1</p>	

	<ul style="list-style-type: none"> iv. Identify and describe any district-wide training programs designed to build the capacity of teachers to be effective specifically in low-achieving schools. Provide a history of these programs in the district, how they are or have been funded, and identify whether the instructional staff chosen for the new school designs proposed in this application have emerged as a direct result of these programs. If the programs are newly proposed, please identify the goals in terms of quantity and quality of effective teacher development.* v. Identify in chart form, the district-offered training events for items “iii & iv” above, scheduled during the year-one implementation period (June 1, 2014 to June 30, 2015). For each planned event, identify the specific agent/organization responsible for delivery, the desired measurable outcomes, and the method by which outcomes will be analyzed and reported. Provide a rationale for each planned event and why it will be critical to the successful implementation of the SIG plan. <p>*The district-wide training and professional development programs to be identified in this section are those that are offered by the district to a group or cluster of like schools (<i>Turnaround, Restart, Transformation</i>) and/or to cohorts of teachers and leaders who will serve in them (e.g., training for turnaround leaders; training for teachers who need to accelerate learning in Priority Schools where students are several levels below proficiency; training for school climate and culture in Priority Schools, etc.). School-specific and embedded training and professional-development should be detailed in Section II. I.</p>			
<p>E. External Partner Recruitment, Screening, and Matching to Priority Schools</p>	<p>The LEA must have a rigorous process for identifying, screening, selecting, matching, and evaluating partner organizations that provide critical services to Priority Schools.</p> <ul style="list-style-type: none"> i. Describe the rigorous process and formal LEA mechanisms for identifying, screening, selecting, matching, and evaluating external partner organizations that are providing support to this Priority school. ii. Describe the LEA processes for procurement and budget timelines (or any modifications to standard processes) that will ensure this Priority School will have access to effective external partner support prior to or directly at the start of the year-one implementation period. iii. Describe the role of the district and the role of the school principal in terms of identifying, screening, selecting, matching, and evaluating partner organizations supporting this school. Describe the level of choice that the school principal has in terms of the educational partners available and how those options are accessible in a timeline that matches the preparation and start-up of the new school year. 		.5	
<p>F. Enrollment and Retention Policies, Practices, and Strategies</p>	<p>The LEA must have clear policies, practices, and strategies for managing student enrollment and retention to ensure that Priority Schools are not receiving disproportionately high numbers of students with disabilities, English-language learners, and students performing</p>		.5	

	<p>below proficiency.</p> <ul style="list-style-type: none"> i. Identify and describe similarities and differences in the school enrollment of SWDs, ELLs, and students performing below proficiency in this Priority School as compared with other schools within the district. Discuss the reasons why these similarities and differences exist. ii. Describe the district policies and practices that help to ensure SWDs, ELLs, and students performing below proficiency have increasing access to diverse and high quality school programs across the district. iii. Describe specific strategies employed by the district to ensure that Priority schools in the district are not receiving or incentivized to receive disproportionately high numbers of SWDs, ELLs, and students performing below proficiency. 			
G. District-level Labor and Management Consultation and Collaboration	<p>The LEA/school must fully and transparently consult and collaborate with recognized district leaders of the principals’ and teachers’ labor unions about district Priority Schools and the development and implementation of the plan proposed for this specific Priority School proposed in this application. The evidence of consultation and collaboration provided by the LEA must contain each of the following elements:</p> <ul style="list-style-type: none"> i. Describe in detail the steps that have occurred to consult and collaborate in the development of the district and school-level implementation plans. ii. Complete the Consultation and Collaboration Form and submit with this application (Attachment A). 		.5	
II. School-Level Standards				
A. School Overview	<p>The LEA/school must demonstrate a clear and organized synopsis of the major quality design elements of the school. In addition, the executive summary should be suitable in substance and grammar for sharing with the general public, including essential stakeholders such as families, students, and school-level educators. This executive summary may also be used by NYSED to share school plans with stakeholders statewide, other LEAs, and will be posted to the NYSED website. The school overview must address each of the following elements:</p> <ul style="list-style-type: none"> i. Provide and describe the clear vision, mission, and <u>identify one to three goals</u> of the proposed model, to be achieved at the end of three years of implementation of this plan. (Specific goals/targets for student achievement should be identified in Attachment B). ii. Explain how the school plans to achieve its vision, mission, and goals by identifying and describing its research-based key design elements specific to the model chosen, core strategies, and key partnership organizations to assist in the plan implementation. 		.5	

<p>B. Assessing the Needs of the School Systems, Structures, Policies, and Students</p>	<p>The LEA/school must demonstrate a critical and honest assessment of structural/systems gaps and needs, as well as student achievement gaps and needs that are identified as the result of a systemic analysis process. The assessment of needs section must address each of the following elements:</p> <ul style="list-style-type: none"> i. Complete the School-level Baseline Data and Target-Setting Chart (Attachment B). ii. Use statistics and descriptive language, to describe the population of students the school serves, and the unique needs of sub-groups (e.g.: students with disabilities, English language learners, students from households that are eligible for free or reduced lunch, first-generation college-goers, and/or students traditionally underrepresented in college). iii. Describe the systematic in-depth diagnostic school review of the school conducted by the district, a Joint Intervention Team (JIT), Integrated Intervention Team (ITT), or related outside education experts to determine its existing capacity, strengths, and needs. iv. Describe the results of this systematic school review, including the existing capacity, strengths, and needs to dramatically improve student achievement. v. Discuss how the LEA/school will prioritize these identified needs in the implementation of the SIG plan. 		1	
<p>C. School Model and Rationale</p>	<p>The LEA/school must propose and present the SIG plan as a plausible solution to the challenges and needs identified in the previous section, as well as the appropriate fit for the particular school and community. The SIG plan and rationale must contain descriptions of the following elements:</p> <ul style="list-style-type: none"> i. Describe the rationale for the selected model (Turnaround, Transformation, or <i>Restart</i>), the research-based key design elements and other unique characteristics of the new school design. The rationale should reference the identified needs, student population, core challenges, and school capacity and strengths discussed above. ii. Describe the process by which this model was chosen, including all steps taken to engage the school staff, leadership, labor unions, and community stakeholders in the design and decision-making processes for model selection and plan development. 		1	
<p>D. School Leadership</p>	<p>The LEA/school must have the mechanisms in place to replace the existing principal and select/assign a new school principal and supporting leaders that possess the strengths and capacity to drive the successful implementation of the SIG Plan. (While the replacement of the principal is not a requirement of <i>Restart</i>, the LEA and EPO should have the mechanism to replace the existing principal if through a screening process by the LEA / EPO, principal</p>		2	

	<p>replacement is determined to be the best approach to ensuring school and student success.) Whether the principal is being replaced or not, the LEA must make the case by providing a clear rationale and supporting evidence that the principal identified is likely to be successful in effectively implementing the SIG plan. The selection and identification of the school principal and supporting school leadership must contain the following elements:</p> <ul style="list-style-type: none"> i. Identify and describe the specific characteristics and core competencies of the school principal that are necessary to meet the needs of the school and produce dramatic gains in student achievement. ii. Identify the specific school principal by name and include in this narrative a short biography, an explanation of the leadership pipeline from which she/he came, as well as the rationale for the selection in this particular school. In addition, provide an up-to-date resume and track record of success in leading the improvement of low-performing schools; <u>OR</u> iii. If the specific persons who will serve in this position are not yet known, describe the action steps necessary to put leadership in place, and identify the formal LEA/school mechanisms that enable this personnel action. The principal selected to lead the school must be in place no later than July 1, 2014, to ensure sufficient time to lead summer activities in preparation for the beginning of the school year. Identify any barriers or obstacles to accomplishing these tasks, as well as strategies for overcoming them. If the principal selected to lead the school is not in place by July 1, 2014, or does not meet the quality standards set forth in this application, the SIG will be suspended immediately and the LEA will be at risk of having the grant terminated. iv. Provide the specific job description and duties, aligned to the needs of the school, for the following supporting leadership positions; 1) assistant principal/s who will serve in the building; 2) School Implementation Manager (SIM), if the school is utilizing one. v. Describe and discuss the current supporting leadership profile of the school in terms of quality, effectiveness, and appropriateness to the model proposed and needs of the students. Identify specific individuals who will remain in supporting leadership positions from the previous administration and discuss the strategies employed by the new school principal and the LEA/school to ensure buy-in and support from the entire leadership team. Identify any barriers or obstacles to obtaining leadership buy-in or support as well as strategies for overcoming them. 			
E. Instructional Staff	<p>The LEA/school must have the mechanisms in place to assign the instructional staff to the school that have the strengths and capacity necessary to meet the needs of the school and its students.* This section must contain the following elements:</p> <ul style="list-style-type: none"> i. Identify the total number of instructional staff in the building and number of staff 		2	

	<p>identified as highly effective, effective, developing and ineffective (HEDI) based on the school’s approved APPR system.</p> <ul style="list-style-type: none"> ii. Describe and discuss the current school-specific staffing picture in terms of quality, effectiveness, and appropriateness for the needs of students in this school. In addition, describe the specific quantitative and qualitative change that is needed in this school’s staffing between the time of application and the start-up of model implementation, and throughout the implementation period of the grant. iii. For each key instructional staff to be employed at the start of model implementation identify and describe the characteristics and core competencies necessary to meet the needs of its students. iv. Describe the process and identify the formal LEA/school mechanisms that enable all instructional staff to be screened, selected, retained, transferred, and/or recruited. Identify any barriers or obstacles to assigning the appropriate staff as required by the model and new school design, as well as strategies for overcoming them. <p>*This standard and the actions that accompany it are required regardless of the model chosen. If the <i>Turnaround</i> model is chosen for the Priority School in this application, responses to this section should be planned/proposed in the context of the requirements for that model, retaining no more than 50% of existing instructional staff. A new school staff meeting the Turnaround requirement must be in place prior to September 1, 2014. If Turnaround staffing requirements are not met by September 1, 2014 SIG funding will be immediately suspended and the LEA will be at risk of having the grant terminated.</p>			
F. Partnerships	<p>The LEA/school must be able to establish effective partnerships for areas where the LEA/school lacks specific capacity on their own to deliver. The external partnership/s may vary in terms of role and relationship to the governance of the school. For example the type and nature of educational partner may range from a community-based organization providing wrap-around services with no formal governance functions to an Education Partner Organization (EPO) that has a direct role in governing the school. In either case, the partnerships articulated in this section should be those that are critical to the successful implementation of the school. LEA/schools are encouraged to have a few targeted and purposeful partnerships with a shared goal of college and career readiness, rather than a large variety of disconnected partner groups/services with multiple goals. For partnerships selected to support the implementation of the SIG/SURR plan, the LEA/school must provide a response to each of the following elements:</p> <ul style="list-style-type: none"> i. Identify by name, the partner organizations that will be utilized to provide services critical to the implementation of the new school design. Additionally, provide the rationale for the selection of each. Explain specifically, the role they will play in the implementation of the new school design.* ii. Complete the Evidence of Partner Effectiveness Chart (Attachment C). This evidence should be able to be validated by an external source that each partner 		1.5	

	<p>organization selected has a proven track-record of success in implementing school turnaround strategies that result in measured and timely successes with respect to the school's needs.</p> <p>iii. For any key external partner funded through this plan, provide a clear and concise description of how the LEA/school will hold the partner accountable for its performance.</p> <p>*If the model chosen for this school is a <i>Restart</i>, the LEA must provide a Memorandum of Understanding, signed by both parties, which identifies joint-agreement and the scope of services of the EPO and the broad achievement outcomes for the school. The LEA/school must be able to establish effective partnerships to address areas where the school lacks the capacity to improve. The external partnership/s may vary in terms of role and relationship to the governance of the school. If the model chosen for this school is a <i>Restart</i>, the LEA must provide a Memorandum of Understanding, signed by both parties, which identifies joint-agreement and the scope of services of the EPO and the broad achievement outcomes for the school. The fully executed EPO-district contract, signed by both parties, in full accordance with Education Law 211-e must be received by NYSED no later than August 1, 2014. If the fully executed EPO-district contract is not in full accordance with Education Law 211-e, submitted and in place by the date identified, the LEA will be at risk of having the grant terminated.</p>			
G. Organizational Plan	<p>The LEA/school must provide a sound plan for how the school will be operated, beginning with its governance and management. It should present a clear picture of the school's operating priorities, delegation of responsibilities, and relationships with key stakeholders. The organizational plan must contain the following elements:</p> <p>i. Submit an organizational chart (or charts) identifying the management and team structures, and lines of reporting. (If a <i>Restart</i> model is being proposed, be sure to include the specific role of the EPO in governance and decision making that is compliant with education law).</p> <p>ii. Describe how the structures function in day-to-day operations (e.g., the type, nature, and frequency of interaction, data-sources used to drive discussion and decision making, manner in which the results of interactions are communicated and acted upon, etc.).</p> <p>iii. Describe in detail, the plan for implementing the annual professional performance review (APPR) of all instructional staff within the school. Include in this plan an identification of who will be responsible for scheduling, conducting, and reporting the results of pre-observation conferences, classroom observations, and post-observation conferences.</p> <p>iv. Provide a full calendar schedule of the events listed in "iii" for the 2014-2015 school year that reaches all instructional personnel who will staff the building.</p>		2	
H. Educational Plan	<p>The LEA/school must provide an educationally sound and comprehensive plan for the school. The LEA/school must provide a detailed educational plan with a description of each of the following elements:</p> <p>i. <u>Curriculum</u>. Describe the curriculum to be used with the model, including the</p>		2	

	<p>process to be used to ensure that the curriculum aligns with the New York State Learning Standards, inclusive of the Common Core State Standards and the New York State Testing Program (see: http://engageny.org/common-core-curriculum-assessments).</p> <p>ii. <i>Instruction.</i> Describe the instructional strategies to be used in core courses and common-branch subjects in the context of the 6 instructional shifts for Mathematics and 6 instructional shifts for ELA. Provide details of how the events of instruction in additional required and elective courses will be arranged to reflect all of these instructional shifts. Describe a plan to accelerate learning in academic subjects by making meaningful improvements to the quality and quantity of instruction (Connect with iii below.).</p> <p>iii. <i>Use of Time.</i> Present the daily proposed school calendar showing the number of days the school will be in session and sample daily class schedule showing daily hours of operation and allocation of time for core instruction, supplemental instruction, and increased learning time activities. Describe a logical and meaningful set of strategies for the use of instructional time that leads to a pedagogically sound restructuring of the daily/weekly/monthly schedule to increase learning time by extending the school day and/or year. The structure for learning time described here should be aligned with the Board of Regents standards for Expanded Learning Time, as outlined here: http://www.regents.nysed.gov/meetings/2012Meetings/April2012/412bra5.pdf.</p> <p>iv. <i>Data-Driven Instruction/Inquiry (DDI).</i> Describe the school’s functional cycle of Data-Driven Instruction/Inquiry (DDI). Present the schedule for administering common interim assessments in ELA and Math. Describe procedures, and schedule of space and time (e.g., through common planning time, teacher-administrator one-on-one meetings, group professional development, etc.) provided to the teachers for the examination of interim assessment data and test-in-hand analysis. Describe the types of supports and resources that will be provided to teachers, as the result of analysis. (See http://engageny.org/data-driven-instruction for more information on DDI).</p> <p>v. <i>Student Support.</i> Describe the school-wide framework for providing academic, social-emotional, and student support to the whole school population. List the major systems for the identification of students at-risk for academic failure, disengagement/drop-out, and health issues and then present the key interventions chosen to support them. Describe the school’s operational structures and how they function to ensure that these systems of support operate in a timely and effective manner. Student support programs described here should be aligned with Part 100.2 Regulations on implementing Academic Intervention Services, accessible at http://www.p12.nysed.gov/part100/pages/1002.html#ee.</p> <p>vi. <i>School Climate and Discipline.</i> Describe the strategies the model will employ to develop and sustain a safe and orderly school climate. Explain the school’s approach</p>			
--	--	--	--	--

	<p>to student behavior management and discipline for both the general student population and those students with special needs.</p> <p>vii. <u>Parent and Community Engagement</u>. Describe the formal mechanisms and informal strategies for how the school will encourage parent/family involvement and communication to support student learning, and how it will gauge parent and community satisfaction. Programs and initiatives described should be aligned with the Title I requirements for parental involvement, as well as Part 100.11 regulations outlining requirements for shared decision-making in school-based planning; accessible at http://www.p12.nysed.gov/part100/pages/10011.html.</p>			
<p>I. Training, Support, and Professional Development</p>	<p>The LEA/school must have a coherent school-specific framework for training, support, and professional development clearly linked to the identified SIG plan and student needs. The framework articulated must contain each of the following elements:</p> <ul style="list-style-type: none"> i. Describe the process by which the school leadership/staff were involved in the development of this plan. ii. Implementation Period. Identify in chart form, the planned training, support, and professional development events scheduled during the <u>year-one implementation period (June 1, 2014, to June 30, 2015)</u>. For each planned event, identify the specific agent/organization responsible for delivery, the desired measurable outcomes, and the method by which outcomes will be analyzed and reported. Provide in the project narrative, a rationale for each planned event and why it will be critical to the successful implementation of the SIG plan. iii. Describe the schedule and plan for regularly evaluating the effects of training, support, and professional development, including any subsequent modifications to the plan as the result of evaluation, tying in any modification processes that may be the result of professional teacher observations and/or the results of common student interim assessment data. <p>The training, support, and professional development plan to be described in this section should be job-embedded, school-specific, and linked to student instructional and support data, as well as teacher observation and interim benchmark data. For the purposes of this grant, job-embedded professional development is defined as professional learning that occurs at a school as educators engage in their daily work activities. It is closely connected to what teachers are asked to do in the classroom so that the skills and knowledge gained from such learning can be immediately transferred to classroom instructional practices. Job-embedded training, support, and professional development can take many forms; including but not limited to classroom coaching, structured common planning time, meeting with mentors, consultation with external partners or outside experts, observations of classroom practice.</p>		<p>1</p>	

J. Communication and Stakeholder Involvement/Engagement	<p>The LEA/school must fully and transparently consult and collaborate with key education stakeholders about the school’s Priority status and on the implementation of the SIG plan. The plan for consultation and collaboration provided by the LEA/school must contain the following elements:</p> <ul style="list-style-type: none"> i. Describe in detail, the methods, times, and places that will be used for regularly and systematically updating parents, families, the community and other stakeholders on the implementation of the SIG plan. 		1	
K. Project Plan Narrative/Timeline	<p>The LEA/school must provide a project plan that provides a detailed and specific, measurable, realistic, and time-phased set of actions and outcomes that reasonably lead to the effective implementation of the SIG plan. The project plan must contain each of the following elements:</p> <ul style="list-style-type: none"> i. Identify and describe the key strategies for <u>year-one implementation period (June 1, 2014, to June 30, 2015)</u> that are aligned to the goals identified in Section II. A. School Overview. ii. Identify the “early wins” that will serve as early indicators of a successful SIG plan implementation and foster increased buy-in and support for the plan. iii. Identify the leading indicators of success that will be examined on no less than a monthly and/or quarterly basis. Describe how these data indicators will be collected, how and who will analyze them, and how and to whom they will be reported. 		1	
III. SIG Budget				
A. Budget Narrative and Budget Forms	<p>The LEA/school must provide appropriate and complete required budget items identified below:</p> <ul style="list-style-type: none"> i. An FS-10 for the year-one implementation period (June 1, 2014, to June 30, 2015). ii. A complete Budget Summary Chart for the entire project period (three years of implementation) (Attachment D). iii. A Budget Narrative that identifies and explains all proposed costs for district and school-level activities for the entire project period (three years of implementation). In addition, applicants should identify all other sources of income that will support and sustain the whole-school change described in this application. Organize costs in the Budget Narrative by the major project activity they serve, based on each category of the proposal narrative, for the entire grant term. For each major activity, identify the line item costs associated and provide an explanation/justification for the cost that closely connects to the project activity, goals, and outcomes identified. For each major activity, describe the LEAs strategies for sustaining these actions or for how/why the district/school practice that will result from the activity can be sustained past the whole project period of the grant. Clearly describe and justify any 		5	

	<p>specific district-level administration and support expenses to be funded by SIG at no more than 10% of the total SIG funding request.</p> <p>The budget items must be clear and obvious about how the proposed activities are directly impacting the school-level implementation of the SIG plan proposed in this application. The proposed expenditures must be reasonable and necessary to support the proposal's initiatives and goals. They must also be supplemental to and must not supplant core activities to be provided through other funding sources.</p>			

(1003g) School Improvement Grant (SIG) Application Scoring Guide

Closure Model

Closure Plan (100 points)	Points	Quality Rating Guide
A. Organizational Capacity	10	<p>4 Exemplary The whole response to the category reflects a thorough understanding of key issues and indicates capacity of a LEA and school to effectively oversee and implement the model activities. The response addresses <i>all</i> required elements within the category with specific and accurate information that shows thorough preparation and presents a clear, realistic picture of how the school expects to operate.</p> <p>3 Acceptable The whole response to the category indicates solid preparation and a grasp of key issues that would be considered reasonably comprehensive and provides evidence that the LEA and school have the capacity to effectively implement the plan. The response addresses <i>all</i> required elements within the category with clear and accurate information, even though it may require additional specificity, support or elaboration of elements in certain categories.</p> <p>2 Approaching The whole response to the category addresses a majority of the elements within in a manner that reflects solid preparation, comprehensiveness, and capacity to implement; but either fails to provide certain elements or provides all elements but in varying quality (some stronger, some weaker) lacking detail, preparation, or otherwise raises concerns about the capacity of the LEA and school to implement the plan.</p> <p>1 Insufficient The whole response to the category lacks meaningful detail; demonstrates lack of preparation; or otherwise raises substantial concerns about the applicant’s capacity to meet the requirements in practice.</p>
B. Assessing the Needs of the School	10	
C. School Overview, Model Selection, and Rationale	10	
D. Communication, Collaboration, and Stakeholder Involvement	10	
E. School Choice Options and Student Transfers	20	
F. Project Plan Narrative and Timeline	20	
G. Budget Narrative and Budget Forms	20	
Total points awarded for Closure Plan	100	
<p>Key Terms</p> <p><u>Quality Rating Guide</u> This rating guide (below) guides the reviewer in assigning a numerical rating to each section of the Project Narrative.</p> <p><u>Reviewer Rating</u> This is the numerical value (4, 3, 2, or 1) that a reviewer will assign to each section, based on the Quality Rating Guide (below).</p> <p><u>Factor</u> This number is the factor by which the reviewer rating will be multiplied. This assigns the “weight” to each section in order to match the total point values identified in the Project Narrative section.</p> <p><u>Section Score</u> This number represents the final weighted score for each section, which is calculated by multiplying the reviewer rating by the factor.</p>		

(1003g) School Improvement Grant (SIG) Scoring Rubric – Closure Model

Project Narrative Category	Category Requirements	Reviewer Rating (4,3,2,or 1)	Factor	Section Score
Closure Category	Requirements			
A. Organizational Capacity	<p>The LEA must have the organizational structures and functions in place at the district-level to provide high quality oversight over the closure process and support for the schools that will accept transferring students from the closing school. The LEA organizational capacity response must contain each of the following elements:</p> <ul style="list-style-type: none"> i. Identify specific senior leadership that will direct and coordinate school closure of the Priority School identified in this application and submit an organizational chart (or charts) identifying the management/support structures at the district-level that are responsible for providing oversight <u>and</u> support to these schools. ii. Describe in detail how the structures identified in “i” of this section function in a coordinated manner, to provide effective implementation of the Closure process. 		2.5	
B. Assessing the Needs of the School	<p>The LEA must demonstrate a critical and honest assessment of structural/systems gaps and needs, as well as student achievement needs, specific to the Priority School identified for Closure in this application. The identified needs should be the result of a systemic analysis process that is both valid and reliable. The assessment of needs section must address each of the following elements:</p> <ul style="list-style-type: none"> i. Use statistics and descriptive language, to describe the population of students the school serves, and the unique needs of sub-group (e.g., students with disabilities, English language learners, students from households that are eligible for free or reduced lunch, first-generation college-goers, and/or students traditionally underrepresented in college). ii. Describe the systematic in-depth diagnostic school review of the school conducted by the district, a Joint Intervention Team (JIT), Integrated Intervention Team (ITT), or related outside education experts to determine its existing capacity, strengths, and needs. iii. Describe the results of this systematic school review, including the existing capacity, strengths, and needs to dramatically improve student achievement. 		2.5	
C. School Overview, Model Selection and	The LEA must propose and present the selection of a Closure model as a plausible		2.5	

Rationale	<p>and best-case solution to the challenges and needs identified in the previous section, as well as the appropriate fit for this particular school and community. The rationale for the Closure model and plan must contain information-rich descriptions of the following elements:</p> <ul style="list-style-type: none"> i. Describe the rationale for the selected Closure model. The rationale should reference the identified needs, student population, core challenges, and school capacity and strengths discussed above. 			
D. Communication, Collaboration and Stakeholder Involvement	<p>The LEA must fully and transparently consult and collaborate with recognized district and local leaders of the LEAs labor unions, parent organizations, and the local school community on the development and implementation of the plan to close the Priority School identified in this application. The evidence of consultation and collaboration provided by the LEA/school must contain each of the following elements:</p> <ul style="list-style-type: none"> i. Describe in detail, the steps that have occurred to consult and collaborate in the development of the rationale for Closure with the following three groups of stakeholders: 1) LEA and school’s collective bargaining unit leaders, 2) parents, and 3) community members. ii. Any consultation and collaboration correspondence must be documented using the Consultation and Collaboration Form found in this application (Attachment A). 		2.5	
E. School Choice Options and Student Transfers	<p>The LEA must have the mechanisms to transfer students from the closing Priority School and clear options for enrolling them in higher achieving schools within one year or less. The evidence presented for school choice options and student transfers must contain each of the following elements:</p> <ul style="list-style-type: none"> i. Identify the higher achieving school options that will be made available to students from the closing Priority School. Provide a summary of academic data and other supporting information to demonstrate that these options are higher achieving and accessible to students from the closing school. ii. Describe the formal mechanisms and procedures by which the LEA will allow families and students to choose from among multiple higher-achieving schools, at least one of which is located within reasonable proximity to the closed school. 		5	
F. Project Plan Narrative/Timeline	<p>The LEA must provide a detailed and specific, measurable, realistic, and time-phased set of actions and outcomes that reasonably lead to the effective closure of</p>		5	

	<p>the school and the transfer of its students into the higher achieving school options identified in the proposal narrative. The Project Plan Narrative/Timeline should be comprehensive and suitable for publication. The Project Plan Narrative/Timeline must contain each of the following elements:</p> <ul style="list-style-type: none"> i. Describe the goals and key strategies for the year-one <u>implementation period (June 1, 2014, to June 30, 2015)</u> in preparation for and completion of the school's Closure. ii. Identify the specific, measurable, and time-phased actions/outcomes on the part of the district, school leadership, external partners, and teaching, and/or support personnel that are aligned to the key strategies for implementation work. Include action steps and strategies for: downsizing teachers and other staff within the closing school; effectively transferring students to higher achieving options; and providing support to higher performing schools who will receive students transferring from the closing school. iii. For each specific action/outcomes, identify the specific person or group that will be accountable for its completion. 			
G. Budget Narrative and Budget Forms	<p>The LEA/school must provide appropriate and complete required budget items identified below:</p> <ul style="list-style-type: none"> i. An FS-10 for the year-one implementation period (June 1, 2014, to June 30, 2015). ii. A Budget Narrative that identifies and explains all proposed costs for district and school-level activities for the entire project period (one year of implementation). Organize costs in the Budget Narrative by the major project activity they serve, based on each category of the project narrative, for the entire grant term. For each major activity, identify the line item costs associated and provide an explanation/justification for the cost that closely connects to the project activity, goals, and outcomes identified. For each major activity, describe the LEAs strategies for sustaining these actions or for how/why the district/school practice that will results from the activity can be sustained past the grant. Clearly describe and justify any specific district-level administration and support expenses to be funded by SIG at no more than 10% of the total SIG funding request. <p>The budget items must be clear and obvious about how the proposed activities are directly impacting the school-level implementation of the SIG plan proposed in this application. The proposed expenditures must be reasonable and necessary to</p>		5	

	support the proposal's initiatives and goals. They must also be supplemental to and must not supplant core activities currently provided or to be provided through other funding sources.			