

New York State Education Department:
1003(g) School Improvement Grant (SIG)

RFP# GC16-015: **Reposted 7/18/16 with clarification highlighted on pages 6-9**

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 their Priority Schools. This grant allows for six federally-designated or state-determined models to do so: *Turnaround, Restart, Transformation, Innovation and Reform Framework, Evidence-based, and Early Learning Intervention*. A secondary purpose of the SIG is to support the 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 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 under a charter management organization (CMO), 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 Management Organization (EMO), 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.†

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.‡

* An LEA that is eligible for services under subpart 1 or 2 of part B of title VI of the ESEA is allowed to modify one element of the Transformation or Turnaround model so long as the modification meets the intent and purpose of the original element.

† 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.

‡ An LEA that is eligible for services under subpart 1 or 2 of part B of title VI of the ESEA is allowed to modify one element of the Transformation or Turnaround model so long as the modification meets the intent and purpose of the original element.

Innovation and Reform Framework

Select one of three NYSED-proposed design pathways: College and Career Readiness School Design, Family and Community School Design, or Individualized Learning School Design, and partner specifically with an Educational Partnership Organization (EPO) to jointly launch a whole-school redesign.

Evidence-based

Implement, in partnership with a strategy developer, an evidence-based whole-school reform strategy that meets United States Department of Education (USDE) [What Works Clearinghouse](#) evidence standards.

Early Learning Intervention

Replace the principal and offer full-day kindergarten, establish or expand a high-quality preschool program, and implement an approved APPR plan that would serve as a rigorous evaluation and support system.

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.

The 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 the 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 one that the LEA has designated as implementing a whole-school change model beginning in 2016-2017 and that is not currently receiving SIG 1003[g] or School Innovation Fund (SIF) grant funding. SIG 2 grantees end their award period on June 30, 2016 and are not eligible to apply for SIG 7 funds. For each eligible school proposing to implement a model other than *Closure*, LEAs are eligible for up to \$2.5 million, **commensurate to school size and need**, for the full term of the five-year grant. 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 of one year. In New York City, the eligible applicant is the NYC Department of Education on behalf of the individual Priority schools.

LEAs may submit multiple applications in response to this RFP, however; **only separate and complete applications for each eligible 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.

A full list of Priority Schools is available at:

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

Funding

Estimated funds available: **\$95,000,000**

Estimated number of awards: **Approximately 38**

**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 model other than *Closure*, the full project period for this grant is five 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, Transformation, Innovation and Reform Framework, Evidence-based, and Early Learning Intervention Model Project Period</i>	
Year-One Implementation Period	September 1, 2016 to June 30, 2017
Year-Two Implementation Period	July 1, 2017 to June 30, 2018
Year-Three Implementation Period	July 1, 2018 to June 30, 2019
Year-Four Implementation Period	July 1, 2019 to June 30, 2020
Year-Five implementation Period	July 1, 2020 to June 30, 2021

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	September 1, 2016 to June 30, 2017

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 model being proposed for each school. The LOI should be submitted electronically through the Review Room Portal available at the following link: <http://nysed-oirs.fluidreview.com/>.

The LOI should be received through Review Room by 3:00 p.m. on June 23, 2016. ***(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 that 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:

<http://nysed-oisr.fluidreview.com/>. In addition, one signed original plus one hardcopy **must** be mailed by postal service to:

New York State Education Department
Attn: School Improvement Grant
Office of Grants Management – Room 475 EBA
89 Washington Ave
Albany, New York 12234

Complete hardcopies of applications **must** be postmarked by July 20, 2016 and complete electronic copies must be submitted through the Review Room portal no later than 3:00 p.m. on July 20, 2016.

Review Room Electronic Submission Portal

The electronic Review Room submission portal <http://nysed-oisr.fluidreview.com/> will be live and accessible with instructions to applicants on June 20, 2016. Technical questions regarding electronic submission through the Review Room portal should be emailed to Antonio Parente at antonio.parente@nysed.gov.

Additional Information

- A pre-recorded applicant informational webinar will be posted at <http://www.p12.nysed.gov/funding/currentapps.html> on or about June 23, 2016.
- Questions about this RFP must be received by June 27, 2016, and submitted to: SIGAPP2016@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 July 6, 2016, at <http://www.p12.nysed.gov/funding/currentapps.html>. No individual responses will be provided.
- Technical questions related to submission through the electronic portal can be submitted at any time to Antonio Parente at antonio.parente@nysed.gov.

Annual Professional Performance Review (APPR) Requirement

Regardless of the SIG model selected, an LEA must maintain a demonstration of full implementation of an approved APPR plan in compliance with Education Law §3012-c or §3012-d as applicable, and Subpart 30-2 or 30-3 of the Rules of the Board of Regents as applicable, throughout the entire period of the grant.

Mandatory Application Requirements

- **Attachment A - Consultation and Collaboration Form:** This form must be completed in accordance with the instructions on the form, and submitted with the application both electronically and via hardcopy, with original signature in blue ink. Applications that are submitted without this form completed, in accordance with the instructions on the form, will be rejected.

- **Memorandum of Understanding:** If the model chosen for this school is a *Restart* or *Innovation and Reform Framework*, the LEA must provide in this application a Memorandum of Understanding, signed by both parties, which identifies joint-agreement and the scope of services of the EMO or EPO and the broad achievement outcomes for the school.
- **Attachment B - School-level Baseline Data and Target-Setting Chart:** All applications, with the exception of those choosing the *Closure* model, must submit a completed target-setting chart.

Program Requirements Specific to Each Model

LEA proposals must consider the following key elements specific to the following federal and state-determined intervention models.

Turnaround - LEA proposals selecting the *Turnaround* model must include the following federal requirements for this model:

- Replace the principal, and use locally adopted competencies to review and select staff for the school, rehiring no more than 50% of the existing staff;
- Implement such strategies as financial incentives, increased opportunities for promotion and career growth, and more flexible work conditions that are designed to recruit, place, and retain staff with the skills necessary to meet the needs of the students;
- Provide job-embedded professional development designed to build capacity and support staff; ensure continuous use of data to inform and differentiate instruction; and
- Provide increased learning time for staff and students, implement new governance structure, and grant operating flexibility to the school leader.

Restart - LEA proposals selecting the *Restart* model should refer to guidance on implementation of the model at

http://www.p12.nysed.gov/accountability/T1/titleia/sig1003g/1112/docs/implementationrestartmode1052411_1.pdf, and must include the following federal requirements:

- In accordance with Education Law 211-e, convert a school or close and reopen a school under a charter school operator, a Charter Management Organization (CMO), an Education Management Organization (EMO), or non-profit organization;
- Enroll, within the grades it serves, all former students who wish to attend the school; and
- Implement a rigorous review process through which an LEA examines a prospective restart operator's reform plans and strategies, and requires a prospective operator to demonstrate that its strategies are research-based and that it has the capacity to implement the strategies it is proposing.

Transformation - LEA proposals selecting the *Transformation* model must include the following federal requirements for this model:

- Replace the principal; identify and reward school leaders and teachers who improve student achievement outcomes and remove those who do not; and implement strategies to recruit and retain high-quality staff;
- Provide additional time for students to learn core academic content by extending the school day, week and/or year; provide more time for teachers to collaborate; and

- Provide the school with sufficient operating flexibility (including in staffing, calendars/time, and budgeting) to implement fully a comprehensive approach to substantially improve student achievement outcomes.

Innovation and Reform Framework – A unique feature of this model is the requirement that LEA proposals for a total redesign of an existing school must be positioned around one of three NYSED-proposed innovative design pathways described below. The particular innovative design pathway proposed and the scope of the redesign must be clearly identified, reasonable, and justified as a valid and well-reasoned solution to address the identified school’s needs.

When selecting a pathway within this State-Determined Model: Innovation and Reform Framework, an applicant must address, in an acceptable manner, all of the requirements of a whole-school reform model which is designed to:

- (a) Improve student academic achievement or attainment;
- (b) Be implemented for all students in a school; and
- (c) Address, at a minimum and in a comprehensive and coordinated manner, each of the following;
 1. School leadership
 2. Teaching and learning in at least one full academic content area (including professional learning for educators)
 3. Student non-academic support
 4. Family and community engagement

To address these whole-school reform model requirements in an acceptable manner, an applicant is expected to develop a comprehensive and coordinated application, aligning all details in the three RFP sections: District-level Plan, School-level Plan, and Budget Forms and Narrative. As per the Method of Award section (RFP pages 20-21) only those applications that receive a final average score of 65 or higher will be considered for funding. In the event of a tie score, the applicant with the highest combined score for Section II D. School Leadership and G. Organizational Plan will be ranked higher. To achieve a final average score of 65 or higher, an application earns points in each of those three RFP sections according to the Quality Rating Guide (RFP page 74).

While the whole-school reform model requirements are embedded throughout all sections of the RFP, they are prominent in the School-Level Plan (RFP pages 30-35):

- (a) Improve student academic achievement or attainment: Item C: Determining Goals and Objectives (RFP page 31); Item E: Instructional Staff (RFP page 32; and Item H: Educational Plan: (i) curriculum, (ii) instruction, (iii) use of time, and (iv) data-driven instruction/inquiry (RFP page 33);
- (b) Be implemented for all students in a school: Item A: Assessing the Needs of the School Systems, Structures, Policies and Students: (i) Use school data and descriptive language, to describe the school’s student population, and the unique needs of sub-groups (e.g.: underperforming sub-groups, 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).
- (c) Address, at a minimum and in a comprehensive and coordinated manner, each of the following;
 1. School leadership: Item D: School Leadership (RFP pages 31-32); and Item G: Organizational Plan (RFP page 33); and Item I: Training, Support, and Professional Development (RFP page 34);

2. Teaching and learning in at least one full academic content area (including professional learning for educators: Item E: Instructional Staff (RFP page 32); Item G: Organizational Plan (RFP page 33); and Item I: Training, Support, and Professional Development (RFP page 34);
3. Student non-academic support: Item H: Educational Plan: (v) Student Support and (vi) School Climate and Discipline (RFP page 33);
4. Family and community engagement: Item B: School Model and Rationale (RFP pages 30-31); Item H: Educational Plan: (vii) Parent and Community Engagement (RFP page 34); and Item J: Community and Stakeholder Involvement and Agreement (RFP page 34).

Applicants for each pathway must complete the entire District-level Plan and School-level Plan sections which address design parameters of the whole-school reform model including a needs assessment, rationale of model selected, goals and objectives, principal and supporting leadership, effective partnerships, job-embedded professional development and support, teacher recruitment and retention relevant to the selected pathway, and an educational plan that addresses the curriculum, instruction, use of time, data-driven instruction/inquiry, student support services, school climate, and family/community engagement. All applicants, despite the SIG model selected (except for Closure), must also complete the entire District-level Plan and School-level Plan sections, as described later in this document, which address these design parameters of the whole-school reform model.

The unifying elements around this model include the following specifications: (1) each school must partner with an Educational Partnership Organization (EPO) to jointly launch its innovative whole-school redesign; (2) the chosen pathway must include intentional innovative activities and/or services which provide students with a skill set that is in addition to a sound educational plan; (3) the pathway must draw support from multiple stakeholder groups with vested interest in realizing increased student achievement at the school.

Districts interested in implementing a holistic and seamless approach among its schools may consider the use of a cluster for the purpose of sharing resources among SIG and Non-SIG schools. All schools participating in the cluster **will** be named within the application, which clearly reflects a coordinated vertical approach. Each SIG eligible school named within the application must also submit a separate application in order to be considered for a SIG 7 award. Non-SIG schools are not eligible for a SIG 7 award, but may be named within the cluster. All schools in the cluster must be designated as Title I or Title I eligible schools. A SIG eligible school can create activities which support other schools. For example, a SIG eligible high school can create professional development activities, hire instructional coaches, or purchase behavioral intervention systems and share these resources with the schools that feed into the SIG eligible high school using its SIG funds.

- Professional learning opportunities designed to meet cluster needs may be provided to all schools in the cluster with funds from the SIG grantee award.
- Cluster coordinated identification and purchase of behavioral intervention systems, instructional programs, materials, and equipment may be provided with SIG grantee award funds.
- Staff involved in collaborative and/or vertical planning times that are off contract hours may be compensated with a stipend or wage with funds awarded to the SIG grantee.
- Instructional Coaches, Graduation Coaches, Social Workers, and Family and Community Coordinators may be paid with funds from the SIG grantee award and have flexibility to serve all schools in the cluster.
- Plans for rewards and incentives may be designed to include cluster goals and achievements and may be paid with SIG grantee award funds.

- Other coordinated cluster elements may be considered for SIG grantee award funding with SEA approval based on allowability and reasonableness.

Pathway 1: College and Career Readiness School Design: Selecting this pathway means that students are provided with intentional activities and opportunities to prepare them to be college and career ready. Career and Technical Education (CTE) reflects a continuum of education that is committed to student career development and planning in preparation for postsecondary education and the workplace. A comprehensive concentration of groups of courses or units of study, when combined, will make up a school design that includes rigorous academic content closely aligned with career and technical subject matter that uses the State learning standards of career development and occupational studies as a framework (8 NYCRR §100.1(l) and offers multiple pathways towards college and career readiness (§100.2 and 100.5).

Targeted populations **will** be provided with the opportunities to experience academic and career-focused success at an early grade level. High-quality Career and Technical Education (CTE) programs, like P-TECH programs, provide opportunities for students to demonstrate and reinforce both academic and technical skills as well as experiences in project and work-based learning where on-the-job mentoring can play a critical role in developing life-long, transferable and professional employability skills for a constantly global economy.

- An elementary school program **will** focus on a comprehensive reading model and approach to literacy mastery. Students reading at grade level by third grade, by age 8, the age at which reading to learn becomes essential. When provided frequent, quality reading experiences in the home, and high-quality instruction in school, nearly every child can learn to read by third grade.
- A middle school program **will** provide supports to prepare students to take dual enrollment and college-credit bearing courses in a college or career pathway high school. Outreach in middle school helps students and families make decisions on education and careers. There **will** be intentional activities for all students with a focus on those who have been traditionally under-represented in both college and career readiness activities and entering college, based on data review.
- At the high school level, there **will** be intentional activities for college entrance preparation for all students with a focus on those who have been traditionally under-represented in both college and career readiness activities and entering college, based on data review. Such activities **will** include, but not be limited to, administering the PSAT for all students at the 8th, 9th, or 10th grades, using the AP Potential Report to objectively place students in advanced placement and/or honors courses; and administer the SAT or ACT for all students at 11th and/or 12th grade during the instructional day.
- There **will** be the provision of early college activities. For example, schools can partner with an Institution of Higher Education (IHE) to provide all students with the opportunity to earn college credits tuition-free along with a high school diploma. This partnership would provide intense academic and social supports to attain college readiness, and continue these supports throughout the students' high school tenure to ensure their mastery of college level work and their development of a college-going culture. The program **will** be

comprehensive in nature, begin in 9th grade, and offer a minimum of 24 college-level credits.

Additional guidance for this design framework may be found at <http://www.p12.nysed.gov/turnaround/CollegePathways.html>.

Additional guidance for this design framework may be found at: <http://www.p12.nysed.gov/turnaround/CareerandTechnicalEducationCTE.html>. When on this website, an elementary school can select NYSED CTE from the menu. Once on NYSED CTE, it can then select Learning Standards for the Elementary School level to view the Career, Universal, and Integrated Standards 1-2-3; the CDOS Resource Guide and Curriculum to assist schools in developing their Goals/Objectives/Curriculum; and then select Career Plans for students in K through Grade 4. One can also select this information for the middle and high school grades.

Pathway 2: Family and Community School Design: Schools will partner with one or more agencies with an integrated focus on rigorous academics and the fostering of a positive and supportive learning environment, and a range of school-based and school-linked programs and services that lead to improved student learning, stronger families, and healthier communities. Programming will be based on community-wide needs assessments, and overseen by a community school site coordinator. Programs, services, and resources may address parent and family engagement and involvement, adult education, nutrition, medical, dental, mental health, social services, early childhood, career and technical education, workforce development, community and economic development, expanded learning opportunities, and professional development specific to the unique needs of the students and families. The school will be accessible to the community before and/or after school hours.

Examples of activities can include supporting parents and other adult caregivers in strengthening home literacy and to provide students with broader opportunities to read with adults; training parents and caregivers to use effective tutoring and joint book-reading strategies; offering a parent advocate and advocacy services; disseminating information and tools; deliver development and training opportunities for families; provide family outreach material in the “home” language; and build family knowledge on specific strategies to enhance school success.

Additional guidance for this design framework may be found at: *Building Community Schools: A Guide for Action* at: <http://www.p12.nysed.gov/turnaround/CommunitySchools.html>

Pathway 3: Individualized Learning School Design: A school provides high quality and personalized learning experiences. Program designs can incorporate alternative schedules such as a year-round schedule, balanced calendar, or iterations of extended school years. Alternative schedules could also address overaged/under-credited students. Program designs can also include virtual, blended learning, online, or digital design. In these cases, instructional interaction occurs through digital and/or internet-connected technology. A blended school design provides a combination of face-to-face and digital instructional interaction, and offers flexibility of time and place of instruction, in order to meet individual student learning needs. An effective virtual, blended learning, online, or digital school design provides high-quality

college or career-prep courses to earn a high school diploma and college credit; ensures digital learning involves high quality instructional interactions between teacher and student, student and content, and other students; provides administrators and teachers with substantial, ongoing, and job-embedded professional development to better utilize technology for teaching; includes a comprehensive and transparent assessment system; and complies with Commissioner’s regulations for online learning. Additional guidance for Virtual/Blended/Online learning may be found at: <http://www.p12.nysed.gov/turnaround/BlendedLearning.html>.

Evidence-based – In partnership with a whole-school reform model developer, a proposal must have evidence of effectiveness that includes at least one study that meet [What Works Clearinghouse](#) evidence standards and that found a statistically favorable impact on student academic achievement or attainment outcome. Proposals must demonstrate an LEA’s commitment to evaluate the evidence supporting the strategy it proposes to implement, which includes a sample population and/or setting similar to the school being served. Strategies must be selected from the federally-approved list which may be found at <http://www2.ed.gov/programs/sif/index.html>. For the purposes of this model, a “whole-school reform model developer” is defined as an entity or individual that maintains proprietary rights for the proposed strategy and/or has a demonstrated record of success in implementing the strategy in low-achieving schools.

Early Learning Intervention – LEA proposals for an early learning intervention in an elementary school must include the following federal requirements for this model:

1. Replace the principal who led the school prior to the commencement of the early learning model; offer full-day kindergarten; implement or expand a high-quality preschool program (see federal definition and requirements at <http://www2.ed.gov/programs/sif/index.html>); and provide educators with time for joint planning across grades to facilitate effective teaching and learning;
2. Implement *all* of the requirements of the *transformation* model in the identified Priority elementary school (with the exception of increased learning time at the preschool and kindergarten levels); implement the same rigorous, transparent, and equitable evaluation and support systems for teachers and principals required under the *Transformation* model. The system must be used to identify and reward teachers and leaders who, in implementing this model, have increased student achievement; and identify and remove those teachers and leaders who have failed to improve their instructional practice;
3. Implement such strategies as financial incentives, flexible work conditions, and increased opportunities for promotion and/or career growth in order to recruit, place and retain teachers and leaders with the skills necessary to meet the needs of the school; and
4. Ensure high staff qualifications for the pre-school program, including a teacher with a bachelor’s degree in early childhood education or equivalent; have pre-school class sizes of no more than 20, and meet a child to instructor ratio of no more than 10 to 1.

Additional program requirements specific to the intervention models - *Turnaround, Restart, Transformation, Innovation and Reform Framework, Evidence-based, Early Learning Intervention, and Closure* - can be found at the following United States Department of Education (USDE) guidance web-site links: <https://www.federalregister.gov/articles/2015/02/09/2015-02570/final-requirements-school-improvement-grants-title-i-of-the-elementary-and-secondary-education-act> and the March 2015 Federal Guidance document posted at <http://www.p12.nysed.gov/turnaround/SIGOnlineToolkit.html>

SIG Plan Standards - *Turnaround, Restart, Transformation, Innovation and Reform Framework, Evidence-based and Early Learning Intervention 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 intervention models. The chart below identifies the SIG plan requirements common to *Turnaround, Restart, Transformation, Innovation and Reform Framework, Evidence-based and Early Learning Intervention* models proposed:

SIG Plan Standards for <i>Turnaround, Restart, Transformation, Innovation and Reform Framework, Evidence-based and Early Learning Intervention</i> Models	
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 <i>acceptable</i> 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 <i>exemplary</i> 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
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 chosen SIG model 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.
Determining Goals and Objectives	The LEA/school must determine and present broad goals directly aligned to the in-depth diagnostic review and model selection, as well as specific objectives that have been developed to guide key strategies in a time-specific and measurable manner. The LEA/school must demonstrate evidence of extensive backwards planning.
School Leadership	The LEA/school must have the mechanisms in place to replace the existing principal, where applicable, 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. Please refer to, “Competencies for Determining Priority School Leaders” which may be found at: http://www.p12.nysed.gov/turnaround/CompetenciesforDeterminingPrioritySchoolLeaders.html
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 <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, replacing at least 50% of instructional staff prior to the first year implementation. If the <i>Turnaround</i> model staffing requirement is not met within 30 days of receipt of the preliminary award letter, the SIG funding will be suspended immediately and the LEA will be at risk of having the grant terminated.
Partnerships	<p>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 in this application a Memorandum of Understanding, signed by both parties, which identifies joint-agreement and the scope of services of the EMO and the broad achievement outcomes for the school. The fully executed EMO-district contract, signed by both parties, in full accordance with Education Law 211-e must be received by NYSED within 30 days of receipt of the preliminary award letter. If the fully executed EMO-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> <p>If the model chosen for this school is Innovation and Reform Framework, the LEA must provide in this application 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, must be received by NYSED within 30 days of receipt of the preliminary award letter.</p>
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/interactions 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, model selection 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. The plan must include activities designed to build capacity of instructional staff and school leadership, as well as reinforce sustainability of overall school

	improvement efforts beyond the timeframe of the five-year funding period.
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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 within a 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 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> Model	
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 <i>Closure</i> 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 <i>Closure</i> 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.

Application Budget Documents

- Budget Narrative – The budget narrative, described in the Proposal Narrative sections of this RFP, should identify and explain SIG funded costs for the entire five-year implementation project period for *Turnaround, Restart, Transformation, Innovation and Reform Framework, Evidence-based* and *Early Learning Intervention* models; and one year of implementation for *Closure* models).
- Budget Summary Chart (Attachment D) - This chart summarizes the budget for the entire five-year implementation project period for *Turnaround, Restart, Transformation, Innovation and Reform Framework, Evidence-based* and *Early Learning Intervention* models; and one year of implementation for *Closure* models).
- FS-10 for the year-one implementation period (September 1, 2016 to June 30, 2017).

Maximum Funding Amounts for Turnaround, Restart, Transformation, Innovation and Reform Framework, Evidence-based and Early Learning Intervention models

- The year-one implementation period total SIG funding request may be no greater than \$500,000.
- The year-two implementation period total SIG funding request may be no greater than \$500,000.
- The year-three implementation period total SIG funding request may be no greater than \$500,000.
- The year-four implementation period total SIG funding request may be no greater than \$500,000.
- The year-five implementation period total SIG funding request may be no greater than \$500,000.
- 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 Amount for Closure Model

- The one-year closure period SIG funding request 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

Grant funds must supplement, not supplant, existing district funding sources.

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, extended/expanded learning time, 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. 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 Titles 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 links:

<https://www.federalregister.gov/articles/2015/02/09/2015-02570/final-requirements-school-improvement-grants-title-i-of-the-elementary-and-secondary-education-act> and the March 2015 Federal Guidance document posted at <http://www.p12.nysed.gov/turnaround/SIGOnlineToolkit.html>

Please also review NYSED's Fiscal Guidelines for Federal and State Grants found here: <http://www.oms.nysed.gov/cafe/guidance/guidelines.html>.

Payment Schedule

Upon grant award, an initial first payment equal to 20 percent of the approved year one budget will be issued. Interim payments are generated by the submission of form FS-25 Request for Funds. FS-25s must be submitted directly to the NYSED Grants Finance office at the address listed on the form. FS-25s are submitted based on actual expenditures to date plus anticipated expenditures needed for the next month.

Any final payment for a grant period will be made after an FS-10-F /Final Expenditure Report Long Form is submitted to Grants Finance and reviewed. The FS-10-F for each grant period ending June 30 is due in Grants Finance no later than 90 days after the end of the grant 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 progress monitoring telephone calls 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, quarterly and/or 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
- Chronic absenteeism 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

Formative Assessment Data

- NYSED-approved assessments used to measure student growth, inform instructional practice, and identify professional development needs.
- School-developed and/or LEA-directed formative assessments used by the school to determine the likelihood of meeting academic achievement targets.
- School-developed and/or LEA-directed formative assessments used to determine the impact of instructional practice.

Additional Requirements Post-Award

- If the model initially approved in this application is *Turnaround*, the full school-staff roster successfully meeting the 50% staffing requirement must be in place within 30 days of receipt of the preliminary award letter. If *Turnaround* staffing requirements are not met within 30 days of receipt of the preliminary award letter, SIG funding will be immediately suspended and the LEA will be at risk of having the grant terminated.
- If the model selected requires the replacement of a principal, then the principal selected to lead the school must be in place within 30 days of receipt of the preliminary award letter. If the principal selected to lead the school is not in place within 30 days of receipt of the preliminary award letter, 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.
- If the model initially approved in this application is *Restart*, the fully executed EMO-District contract, signed by both parties, which identifies the scope of services of the EMO, the specific autonomies the EMO will have, and the mechanism for the district to hold the EMO accountable in accordance with Education Law 211-e, must be received by NYSED within 30 days of receipt of the preliminary award letter. NYSED will accept contracts prior to that date in the order they are received to ensure timely review. For SIG purposes, NYSED must approve the EMO-District contract in order to continue grant funding.
- If the model initially approved in this application is *Innovation and Reform Framework*, the fully executed EPO-District contract, signed by both parties, which identifies the scope of services of the EPO, must be received by NYSED within 30 days of receipt of the preliminary award letter. NYSED will accept contracts prior to that date 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.
- For all models other than *Closure*, an LEA must submit, and NYSED must approve, a new FS-10 and Continuation Plan for each school prior to the completion of each funding period in order to continue funding for the subsequent funding 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.

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 30% 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@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 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, Innovation and Reform Framework, Evidence-based, Early Learning Intervention, or Closure*) being proposed in each separate application or the application will be rejected as incomplete.

All eligible 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

Only those applications that receive a final average score of 65 or higher will be considered for funding. Applications will be separated into three categories: 1) eligible New York City applications proposing models other than *Closure*; 2) eligible applications in Rest of State (RoS) proposing models other than *Closure*; and 3) eligible applications proposing the *Closure* model. Applications will be placed in the appropriate category and ranked according to their final average score from highest to lowest.

\$600,000 will be set aside to award any fundable *Closure* model applications. Fifty-six percent (56%) of the remaining available funding will be used to award applications in the NYC category, based on the fact that NYC represents 56% of the eligible schools. Forty-four percent (44%) of the remaining available funding will be used to award applications in the RoS category.

Funding will be awarded to qualifying applications in each category in descending order. Awards will be made in each category until there are no remaining fundable applications or until funds are exhausted. Any leftover funds in a category will be pooled to make awards to any remaining fundable non-*Closure* applicants in either NYC or RoS in a statewide ranking. If there are remaining funds that are insufficient to award the next application in full, that applicant will be given the option of receiving partial funding for a reduced plan.

In the event of a tie score, the applicant with the highest combined score for Section II D. School Leadership and G. Organizational Plan will be ranked higher.

If any funded LEAs withdraw or become ineligible within the first 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 fifteen (15) calendar days from notification of non-award to request a debriefing by mail at the following address:

NYS Education Department
Contract Administration Unit
89 Washington Avenue
Room 501W EB
Albany, NY 12234

NYSED staff will summarize the comments identified by the raters. This will be mailed 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.

NYSED's Reservation of Rights

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

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.

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"/>	Innovation and Reform Framework <input type="checkbox"/>		
Closure <input type="checkbox"/>	Evidence-based <input type="checkbox"/>	Early Learning Intervention <input type="checkbox"/>	College/Career <input type="checkbox"/>	Family and Community <input type="checkbox"/>	Individualized Learning <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, Assurances, Certifications, Appendix A, and Appendix A-1G 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, Transformation, Innovation and Reform Framework, Evidence-based and Early Learning Intervention 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 (required)	<input type="checkbox"/>	<input type="checkbox"/>
Attachment B (required) 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>(required only if proposing Restart or Innovation 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, Transformation, Innovation and Reform Framework,
Evidence-based and Early Learning Intervention 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, Transformation, Innovation and Reform Framework, Evidence-based, and Early Learning Intervention* 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	4
D. Teacher and Leader Pipeline	4
E. External Partner Recruitment, Screening, and Matching to Priority Schools	4
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. Assessing the Needs of the School Systems, Structures, Policies, and Students	4
B. School Model Selection and Rationale	4
C. Determining Goals and Objectives	6
D. School Leadership	6
E. Instructional Staff	6
F. Partnerships	6
G. Organizational Plan	4
H. Educational Plan	8
I. Training, Support, and Professional Development	6
J. Communication and Stakeholder Involvement/Engagement	4
K. Project Plan and Timeline	6
Total points for section II	60
III. SIG Budget Forms and Budget Narrative (20 points)	Points
A. Alignment with Program Goals and Objectives	10
B. School Size and Need	4
C. Impact on School-Level Implementation	4
D. Sustainability	2
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 should 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, may be posted on the NYSED website and shared with stakeholders upon request.

I. District-level Plan - Turnaround, Restart, Transformation, Innovation and Reform Framework, Evidence-based and Early Learning Intervention

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. Describe in detail the manner by which the district ensures that all federal requirements of a school's chosen model are fulfilled and continue to be fulfilled throughout the duration of the grant.
- ii. 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.
- iii. 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, 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.
- iv. 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 implementation of the specific model chosen (*Turnaround, Restart, Transformation, Innovation and Reform Framework, Evidence-based, or Early Learning Intervention*). 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 (September 1, 2016 to June 30, 2017). 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, Innovation and Reform Framework, Evidence-based, or Early Learning Intervention*) 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.). NYSED’s Strengthening Teacher and Leader Effectiveness (STLE) grant may provide suitable examples of the types of training and professional development expected in this section. See <https://www.engageny.org/resource/improving-practice>. 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 (and/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 pre-implementation period and subsequent implementation periods.
- 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.
- iv. If the model chosen is *Restart*, the LEA/school must describe in detail the rigorous review process that includes a determination by the LEA that the selected CMO or EMO is likely to produce strong results for the school. See federal definition of ‘strong results’ at <http://www2.ed.gov/programs/sif/index.html>. Federal Register, vol. 80, no. 26, pg. 7242.

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, Innovation and Reform Framework, Evidence-based and Early Learning Intervention

A. 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. This section must address each of the following elements:

- i. Use school data and descriptive language, to describe the school's student population, and the unique needs of sub-groups (e.g.: underperforming sub-groups, 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 most recent systematic in-depth diagnostic review of the school conducted by the district, and the school data used (e.g.: a Joint Intervention Team (JIT), Integrated Intervention Team (ITT), and/or related outside education experts) to determine its existing capacity, strengths, and needs. If a Family and Community School Design pathway is selected within the Innovation and Reform Framework, also describe the community-wide needs assessment.
- iii. Discuss evidence of community and family input in this review.
- iv. Describe the results of this systematic school review, specifically the capacity, strengths, and needs to dramatically improve student achievement.
- v. Discuss how the LEA/school will prioritize these identified needs to implement the SIG model and plan.

B. School Model and Rationale

The LEA/school must propose a SIG plan as a plausible solution to the challenges and needs previously identified. This section must address each of the following elements:

- i. Describe the rationale for the selected model (*Turnaround, Restart, Transformation, Innovation and Reform Framework, Evidence-based, or Early Learning Intervention*). The rationale should reference the identified needs, student population, core challenges, and school capacity and strengths discussed in Section A.

- ii. Refer to the description of the model on pages 5-10 and describe the research-based key design elements and other unique characteristics that will comprise this model.
- iii. Describe the process by which this model was chosen, including how the school staff, leadership, labor unions, families, and community stakeholders were engaged in both the design and the decision-making processes.

C. Determining Goals and Objectives

The LEA/school must determine and present broad goals directly aligned to the in-depth diagnostic review and model selection, as well as specific objectives that have been developed to guide key strategies in a time-specific and measurable manner. This section should demonstrate effort on the part of the LEA/school to backward plan key components of school turnaround specific to the school and must address each of the following elements:

- i. Identify, describe and present at least one goal and corresponding objective(s) directly related to academic achievement in the area of English language arts (ELA). Provide the means by which the objective(s) will be assessed. For all schools having primary-grade students, one objective must discuss how all children will be able to read at grade level by age 8.
- ii. Identify and present at least one goal and corresponding objective(s) directly related to academic achievement in the area of mathematics. Provide the means by which the objective(s) will be assessed.
- iii. As applicable, identify and present additional goal(s) and corresponding objective(s) directly aligned and specific to the needs assessment of the school and the school improvement model selected. Provide the means by which the objective(s) will be assessed.
- iv. Complete the School-level Baseline Data and Target-Setting Chart (Attachment B).

For the purposes of this RFP, *goals* are intended to be broad and to guide the formation of (more specific) objectives. An *objective* is a statement of intended outcomes that is clear, focused, measurable, and achievable in a specified time frame. In addition, it should be noted that more than one objective may apply to a given goal.

D. School Leadership

The LEA/school must have the mechanisms in place to replace the existing principal, if applicable based on the selected model, 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 all models, the LEA and EPO/EMO should have the mechanism to replace the existing principal if through a screening process by the LEA/EPO/EMO, principal replacement is determined to be the best approach to ensuring school and student success.) The LEA must provide a clear rationale and supporting evidence that the principal identified is likely to be successful in effectively implementing the SIG plan and model. This section must address each of 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, produce dramatic gains in student achievement, and implement the selected SIG model. Please refer to, “Competencies for Determining Priority School Leaders” which may be found at: <http://www.p12.nysed.gov/turnaround/CompetenciesforDeterminingPrioritySchoolLeaders.html>.
- ii. Provide the school principal’s name and a short biography which includes an explanation of the leadership pipeline from which s/he came, the rationale for the selection in this particular school, and how this principal’s capabilities are aligned to the selected SIG model. 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 person who will serve in this position is 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 within 30 days of receipt of preliminary award letter, 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. **Note: If the principal selected to lead the school is not in place within 30 days of receipt of the preliminary award letter, 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, of 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 school's current supporting leadership profile 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 address each of the following elements:

- i. Identify the total number of instructional staff in the building, and the 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 to the needs of students in this school and the selected SIG model. 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 and the selected SIG model.
- 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. Include in the description how the school recruits and develops a more diverse workforce aligned to its student population.

*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 within 30 days of receipt of preliminary award letter. If *Turnaround* staffing requirements are not met within 30 days of receipt of preliminary award letter 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 Management Organization (EMO) 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 shared goals, rather than a large variety of disconnected partner groups/services with multiple goals. This section must address each of the following elements:

- i. Identify by name, the partner organizations that will provide services critical to the implementation of the SIG model. Provide the rationale for the selection of each partner. Explain the role each will play in the implementation of the new school design.*
- ii. Complete the Evidence of Partner Effectiveness Chart (Attachment C). Each partner selected should have 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 and selected SIG model
- iii. While some partners may be funded by other sources, for those funded by SIG clearly describe how the LEA/school will hold the partner accountable for its performance.

*If the model chosen for this school is either *Restart* or *Innovation and Reform Framework*, the LEA must provide in this application a Memorandum of Understanding, signed by both parties, which identifies joint-agreement and the scope of services of the EPO/EMO 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 *Restart*, the fully executed EMO-district contract, signed by both parties, in full accordance with Education Law 211-e must be received by NYSED within 30 days of receipt of the preliminary award letter. If the fully executed EMO-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. If the model chosen for this school is *Innovation and Reform Framework*, the fully executed EPO-district contract, signed by both parties, must be received by NYSED within 30 days of receipt of the preliminary award letter.

G. Organizational Plan

The LEA/school must provide a sound plan for how the school will operate, 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. This section must address each of the following elements:

- i. Submit a school 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 EMO 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 APPR events listed in "iii" for the 2016-2017 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 educational plan for the school. This section must address each of the following elements:

- i. Curriculum. Describe the curriculum to be used with the selected SIG 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/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, underperforming subgroups, 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.
- 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. As applicable, discuss preventing youth violence and providing second chances.

- 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>. If you selected the Family and Community School Design pathway, discuss the parent, family, and community engagement components listed on page 9.

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. This section must address 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 (September 1, 2016 to June 30, 2017). The professional development must be aligned to the needs of the students and to the SIG model. 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. NYSED's Strengthening Teacher and Leader Effectiveness (STLE) grant may provide suitable examples of the types of training and professional development expected in this section. See <https://www.engageny.org/resource/improving-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 status of the SIG plan. This section must address each of the following elements:

- i. Describe in detail, the process (methods and frequency) that will be used to regularly and systematically update parents, families, the community and other stakeholders on the implementation status of the SIG model and plan. This process should also include, but is not limited to, analyses of evidence of success or challenges with implementing the model and plan by referencing leading indicator data.

K. Project Plan Narrative/Timeline

The LEA/school must provide a project plan and timeline 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 and are directly aligned to the components of the selected model. This section must address each of the following elements:

- i. Identify and describe the key strategies for year-one implementation period (September 1, 2016 to June 30, 2017) that are aligned to the goals and objectives identified throughout Section II, with specific reference to student academic achievement, staffing, professional development, partnerships and stakeholder involvement.
- ii. Identify the "early wins" that will serve as early indicators of a successful SIG plan implementation period and foster increased buy-in and support for the plan. In addition, provide evidence of focused strategies aimed specifically at long-term capacity building and sustainability.

- iii. Identify the leading indicators of success that will be examined on no less than a bi-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.
- iv. Describe the means by which the key strategies identified throughout Sections I and II ensure that each of the required elements of the selected model have been met.

III. SIG Budget Forms and Budget Narrative
Applicants must submit:

- i. An FS-10 for the year-one implementation period (September 1, 2016 to June 30, 2017).
- ii. A complete Budget Summary Chart for the entire five-year implementation project period (Attachment D).
- iii. Budget Narrative that describes expenditures identified in Section III, item i.

A. Alignment with Program Goals and Objectives

The budget materials must identify and explain all proposed costs for district and school-level activities for the entire five-year implementation project period. The proposed expenditures must be reasonable and necessary to support the proposal's initiatives and goals/objectives.

- i. Describe in detail the means by which these funds serve to support the model selected, and address the federal requirements specific to the model.
- ii. 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.
- iii. Demonstrate how the expenses are supplemental to and do not supplant existing district funding sources.

B. School Size and Need

Demonstrate and describe how the LEA has ensured that the budget request is commensurate to the size and need of the particular school.

C. Impact on School-Level Implementation

The LEA/school should ensure that budget items are **directly** impacting the school-level implementation of the SIG plan proposed in this application.

- i. 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.

D. Sustainability

In the Budget Narrative, identify all other sources of income that will support and sustain the whole-school change described in this application.

- i. Organize costs by the major project activity they serve, based on each category of the proposal narrative, for the entire grant term. 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.

SUBMISSION CHECKLIST - Closure Models

Documents for Submission	Checked – applicant	Checked – SED
Application Cover Sheet <i>(with original signatures in <u>blue ink</u>)</i>	<input type="checkbox"/>	<input type="checkbox"/>
Proposal Narrative	<input type="checkbox"/>	<input type="checkbox"/>
Attachment A Consultation and Collaboration Form (required)	<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? Yes No

Reviewer: _____ Date: _____

PROPOSAL NARRATIVE - Closure Model

Applicants seeking to implement *Turnaround, Restart, Transformation, Innovation Framework, Evidence-based* and *Early Learning Intervention* 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 Closure Plan	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 – Closure
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 <i>Closure</i> 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 <i>Closure</i> 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 <i>Closure</i> 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 <i>Closure</i> 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-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).
- 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 (September 1, 2016 to June 30, 2017) 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 (September 1, 2016 to June 30, 2017).
- 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: collective bargaining units, school leaders, teachers, parents, and community members.

The superintendent's signature below verifies that there was appropriate consultation with school stakeholder groups including collective bargaining units, school leaders, teachers, parents, and community members.

_____ (Signature)
_____ (Printed Name of Superintendent)
_____ (Date)

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 2016-17	Target for 2017-18	Target for 2018-19	Target for 2019-20	Target for 2020-21
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. Chronic absenteeism 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	%							
g. Students receiving Regents diploma with advanced designation	%							

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

h. High school graduation rate	%							
i. Ninth graders being retained	%							
j. High school graduates accepted into two or four year colleges	%							

**Telephone calls will be conducted with LEAs to consider interim data and progress being made toward yearly targets.*

Attachment C
Evidence of Partner Effectiveness Chart

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.
	•	2.
	•	3.
	•	4.
	•	5.
	•	6.
	•	7.
	•	8.
	•	9.
	•	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 (September 1, 2016 - June 30, 2017)			Year 2 Implementation Period (July 1, 2017 - June 30, 2018)			Year 3 Implementation Period (July 1, 2018 - June 30, 2019)						
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						

Year 4 Implementation Period (July 1, 2019 - June 30, 2020)			Year 5 Implementation Period (July 1, 2020 - June 30, 2021)			TOTAL Project Period (September 1, 2016 - June 30, 2021)						
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						

M/WBE Documents
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 30% 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 (30%)		0.30
10.	Line 8 multiplied by Line 9 =MWBE goal amount		

*If not included in #5

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

NAME OF GRANT PROGRAM _____

NAME OF APPLICANT _____

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

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

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

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

M/WBE UTILIZATION PLAN

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

Bidder/Applicant's Name _____ Telephone/Email: _____/_____

Address _____ Federal ID No.: _____

City, State, Zip _____ RFP No.: _____

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

PREPARED BY (Signature) _____ DATE _____

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

NAME AND TITLE OF PREPARER: _____
(print or type)

TELEPHONE/E-MAIL _____

DATE _____

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 SUBCONTRACTORS AND SUPPLIERS
NOTICE OF INTENT TO PARTICIPATE**

New York State Education Department:

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):

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

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

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

The estimated dollar amount of the agreement \$ _____

Signature of Authorized Representative of M/WBE Firm _____

Date _____

Printed or Typed Name and Title of Authorized Representative _____

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

PROJECT/CONTRACT # _____

I, _____
(Bidder/Applicant)

_____ of _____
(Title) (Company)

_____ () _____
(Address) (Telephone Number)

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

(1) Copies of its solicitations of certified minority- and women-owned business enterprises and any responses thereto;

(2) If responses to the contractor's solicitations were received, but a certified minority- or woman-owned business enterprise was not selected, the specific reasons that such enterprise was not selected;

(3) Copies of any advertisements for participation by certified minority- and women-owned business enterprises timely published in appropriate general circulation, trade and minority- or women-oriented publications, together with the listing(s) and date(s) of the publication of such advertisements;

(4) Copies of any solicitations of certified minority- and/or women-owned business enterprises listed in the directory of certified businesses;

(5) The dates of attendance at any pre-bid, pre-award, or other meetings, if any, scheduled by the State agency awarding the State contract, with certified minority- and women-owned business enterprises which the State agency determined were capable of performing the State contract scope of work for the purpose of fulfilling the contract participation goals;

(6) Information describing the specific steps undertaken to reasonably structure the contract scope of work for the purpose of subcontracting with, or obtaining supplies from, certified minority- and women-owned business enterprises.

(7) Describe any other action undertaken by the bidder to document its good faith efforts to retain certified minority - and women- owned business enterprises for this procurement.

Submit additional pages as needed.

Authorized Representative Signature

Date

M/WBE CONTRACTOR UNAVAILABLE CERTIFICATION

RFP#/PROJECT NAME _____

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

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

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

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

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

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

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

REQUEST FOR WAIVER FORM

BIDDER/APPLICANT NAME:

TELEPHONE:

ADDRESS:

EMAIL:

FEDERAL ID NO.:

CITY, STATE, ZIPCODE:

RFP#/PROJECT NO.:

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

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

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

Total

Partial _____%

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

Total

Partial _____%

Waiver Pending ESD Certification

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

Subcontractor/Supplier Name: _____

Date of application filing: _____

PREPARED BY (*Signature*): _____

DATE: _____

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

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

REQUIREMENTS AND DOCUMENT SUBMISSION INSTRUCTIONS

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

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

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

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

6. WAGE AND HOURS PROVISIONS. If this is a public work contract covered by Article 8 of the Labor Law or a building service contract covered by Article 9 thereof, neither Contractor's employees nor the employees of its subcontractors may be required or permitted to work more than the number of hours or days stated in said statutes, except as otherwise provided in the Labor Law and as set forth in prevailing wage and supplement schedules issued by the State Labor Department. Furthermore, Contractor and its subcontractors must pay at least the prevailing wage rate and pay or provide the prevailing supplements, including the premium rates for overtime pay, as determined by the State Labor Department in accordance with the Labor Law. Additionally, effective April 28, 2008, if this is a public work contract covered by Article 8 of the Labor Law, the Contractor understands and agrees that the filing of payrolls in a manner consistent with Subdivision 3-a of Section 220 of the Labor Law shall be a condition precedent to payment by the State of any State approved sums due and owing for work done upon the project.

7. NON-COLLUSIVE BIDDING CERTIFICATION. In accordance with Section 139-d of the State Finance Law, if this contract was awarded based upon the submission of bids, Contractor affirms, under penalty of perjury, that its bid was arrived at independently and without collusion aimed at restricting competition. Contractor further affirms that, at the time Contractor submitted its bid, an authorized and responsible

person executed and delivered to the State a non-collusive bidding certification on Contractor's behalf.

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

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

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

11. IDENTIFYING INFORMATION AND PRIVACY NOTIFICATION.

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

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

12. EQUAL EMPLOYMENT OPPORTUNITIES FOR MINORITIES AND WOMEN.

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

(a) The Contractor will not discriminate against employees or applicants for employment because of race, creed, color, national

origin, sex, age, disability or marital status, shall make and document its conscientious and active efforts to employ and utilize minority group members and women in its work force on State contracts and will undertake or continue existing programs of affirmative action to ensure that minority group members and women are afforded equal employment opportunities without discrimination. Affirmative action shall mean recruitment, employment, job assignment, promotion, upgradings, demotion, transfer, layoff, or termination and rates of pay or other forms of compensation;

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

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

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

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

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

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

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

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

18. PROHIBITION ON PURCHASE OF TROPICAL HARDWOODS. The Contractor certifies and warrants that all wood products to be used under this contract award will be in accordance with, but not limited to, the specifications and provisions of Section 165 of the State Finance Law, (Use of Tropical Hardwoods) which prohibits purchase and use of tropical hardwoods, unless specifically exempted, by the State or any governmental agency or political subdivision or public benefit corporation. Qualification for an exemption under this law will be the responsibility of the contractor to establish to meet with the approval of the State.

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

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

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

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

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

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

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

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

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

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

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

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

21. RECIPROCITY AND SANCTIONS PROVISIONS.

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

Development for a current list of jurisdictions subject to this provision.

22. COMPLIANCE WITH 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.

26. IRAN DIVESTMENT ACT.

By entering into this Agreement, Contractor certifies in accordance with State Finance Law §165-a that it is not on the "Entities Determined to be Non-Responsive Bidders/Offerers pursuant to the New York State Iran Divestment Act of 2012" ("Prohibited Entities List") posted at: <http://www.ogs.ny.gov/about/regs/docs/ListofEntities.pdf>

Contractor further certifies that it will not utilize on this Contract any subcontractor that is identified on the Prohibited Entities List. Contractor agrees that should it seek to renew or extend this Contract, it must provide the same certification at the time

the Contract is renewed or extended. Contractor also agrees that any proposed Assignee of this Contract will be required to certify that it is not on the Prohibited Entities List before the contract assignment will be approved by the State.

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

compliance, recovering damages, or declaring the Contractor in default.

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

(January 2014)

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.

Responsibility Provisions

- A. **General Responsibility Language**
The Contractor shall at all times during the Contract term remain responsible. The Contractor agrees, if requested by the Commissioner of Education or his or her designee, to present evidence of its continuing legal authority to do business in New York State, integrity, experience, ability, prior performance, and organizational and financial capacity.
- B. **Suspension of Work (for Non-Responsibility)**
The Commissioner of Education or his or her designee, in his or her sole discretion, reserves the right to suspend any or all activities under this Contract, at any time, when he or she discovers information that calls into question the responsibility of the Contractor. In the event of such suspension, the Contractor will be given written notice outlining the particulars of such suspension. Upon issuance of such notice, the Contractor must comply with the terms of the suspension order. Contract activity may resume at such time as the Commissioner of Education or his or her designee issues a written notice authorizing a resumption of performance under the Contract.
- C. **Termination (for Non-Responsibility)**
Upon written notice to the Contractor, and a reasonable opportunity to be heard with appropriate SED officials or staff, the Contract may be terminated by the Commissioner of Education or his or her designee at the Contractor's expense where the Contractor is determined by the Commissioner of Education or his or her designee to be non-

responsible. In such event, the Commissioner or his or her designee may complete the contractual requirements in any manner he or she may deem advisable and pursue available legal or equitable remedies for breach.

Safeguards for Services and Confidentiality

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

Rev. 5/12/14

Assurances for School Improvement Grants

- Use its School Improvement Grant to implement fully and effectively an intervention in each Tier I and Tier II, or each priority school that the LEA commits to serve consistent with the final requirements.
- Establish annual goals for student achievement on the State's assessments in both reading/language arts and mathematics and measure progress on the leading indicators in order to monitor each Tier I and Tier II school, or priority school that it serves with school improvement funds, and establish goals (approved by the SEA) to hold accountable its Tier III schools that receive school improvement funds.
- Report to the SEA school-level data, including baseline data for the year prior to SIG implementation.
- Ensure that each Tier I and Tier II school, or each priority school that it commits to serve receives all of the State and local funds it would receive in the absence of the school improvement funds and that those resources are aligned with the interventions.

Please refer to the Federal Register Volume 8, No. 26 for additional information about School Improvement Grants: <http://www2.ed.gov/programs/sif/index.html>

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

Turnaround, Restart, Transformation, Innovation and Reform Framework, Evidence-based, or Early Learning Intervention Models

I. District-level Plan (20 points)		Points	Quality Rating Guide 4 Exemplary The whole response to the category reflects a <i>thorough</i> understanding of key issues and indicates capacity of an LEA and school to effectively oversee and implement the model activities. The response addresses <u>all</u> required elements within the category with specific, evidence-based 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 <i>solid</i> 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 <u>all</u> 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 <i>majority</i> of the elements within the category 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; submits requested attachments that are incomplete; or otherwise raises substantial concerns about the applicant’s capacity to meet the requirements in practice. 0 Inadequate/Incomplete The whole response fails to address essential elements of the category; and/or fails to provide requested attachments.
A.	District Overview	NA	
B.	Operational Autonomies	4	
C.	District Accountability and Support	4	
D.	Teacher and Leader Pipeline	4	
E.	External Partner Recruitment, Screening, and Matching to Priority Schools	4	
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.	Assessing the Needs of the School Systems, Structures, Policies, and Students	4	
B.	School Model Selection and Rationale	4	
C.	Determining Goals and Objectives	6	
D.	School Leadership	6	
E.	Instructional Staff	6	
F.	Partnerships	6	
G.	Organizational Plan	4	
H.	Educational Plan	8	
I.	Training, Support, and Professional Development	6	
J.	Communication and Stakeholder Involvement/Engagement	4	
K.	Project Plan and Timeline	6	
Total points awarded for section II		60	
III. SIG Budget Forms and Budget Narrative (20 points)		Points	
A.	Alignment with Program Goals and Objectives	10	
B.	School Size and Need	4	
C.	Impact on School-Level Implementation	4	
D.	Sustainability	2	
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, 1, or 0) that a reviewer will assign to each section, based on the Quality Rating Guide (below). <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, Transformation, Innovation and Reform Network,
Evidence-based, or Early Learning Intervention 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 <i>acceptable</i> 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 <i>exemplary</i> 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. 		1	

	<p>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.</p>			
C. District Accountability and Support	<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. Describe in detail the manner by which the district ensures that all federal requirements of a school's chosen model are fulfilled and continue to be fulfilled throughout the duration of the grant. ii. 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. iii. 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, 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. iv. For each planned interaction, provide a timeframe and identify the specific person responsible for delivery. 		1	
D. Teacher and Leader Pipeline	<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 <i>leaders</i> to be successful in leading dramatic change in low-achieving 		1	

	<p>schools. In addition, describe how these programs are aligned to the implementation of the specific model chosen (<i>Turnaround, Restart, Transformation, Innovation and Reform Framework, Evidence-based, or Early Learning Intervention</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> <p>iv. Identify and describe any district-wide training programs designed to build the capacity of <i>teachers</i> 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.*</p> <p>v. Identify in chart form, the district-offered training events for items “iii & iv” above, scheduled during the <u>year-one implementation period (September 1, 2016 to June 30, 2017)</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 a rationale for each planned event and why it will be critical to the successful implementation of the SIG plan.</p> <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, Innovation and Reform Framework, Evidence-based, or Early Learning Intervention</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.). NYSED’s Strengthening Teacher and Leader Effectiveness (STLE) grant may provide suitable examples of the types of training and professional development expected in this section. See https://www.engageny.org/resource/improving-practice. School-specific and embedded training and professional-development should be detailed in Section II. I.</p>			
E. External Partner Recruitment, Screening, and Matching to Priority Schools	<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> <p>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.</p> <p>ii. Describe the LEA processes for procurement and budget timelines (and/or any</p>		1	

	<p>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 pre-implementation period and subsequent implementation periods.</p> <ul style="list-style-type: none"> 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. iv. If the model chosen is <i>Restart</i>, the LEA/school must describe in detail the rigorous review process that includes a determination by the LEA that the selected CMO or EMO is likely to produce strong results for the school. See federal definition of ‘strong results’ at http://www2.ed.gov/programs/sif/index.html. 			
<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 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. 		<p>.5</p>	
<p>G. District-level Labor and Management Consultation and Collaboration</p>	<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). 		<p>.5</p>	

II. School-Level Standards				
A. Assessing the Needs of the School Systems, Structures, Policies, and Students	<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. This section must address each of the following elements:</p> <ul style="list-style-type: none"> i. Use school data and descriptive language, to describe the school’s student population, and the unique needs of sub-groups (e.g.: underperforming sub-groups, 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 most recent systematic in-depth diagnostic review of the school conducted by the district, and the school data used (e.g.: a Joint Intervention Team (JIT), Integrated Intervention Team (ITT), and/or related outside education experts) to determine its existing capacity, strengths, and needs. If a Family and Community School Design pathway is selected within the Innovation and Reform Framework, also describe the community-wide needs assessment. iii. Discuss evidence of community and family input in this review. iv. Describe the results of this systematic school review, specifically the capacity, strengths, and needs to dramatically improve student achievement. v. Discuss how the LEA/school will prioritize these identified needs to implement the SIG model and plan. 		1	
B. School Model and Rationale	<p>The LEA/school must propose a SIG plan as a plausible solution to the challenges and needs previously identified. This section must address each of the following elements:</p> <ul style="list-style-type: none"> i. Describe the rationale for the selected model (<i>Turnaround, Restart, Transformation, Innovation and Reform Framework, Evidence-based, or Early Learning Intervention</i>). The rationale should reference the identified needs, student population, core challenges, and school capacity and strengths discussed in Section A. ii. Refer to the description of the model on pages 5-10 and describe the research-based key design elements and other unique characteristics that will comprise this model. iii. Describe the process by which this model was chosen, including how the school staff, leadership, labor unions, families, and community stakeholders were engaged in both the design and the decision-making processes. 		1	
C. Determining Goals and Objectives	<p>The LEA/school must determine and present broad goals directly aligned to the in-depth diagnostic review and model selection, as well as specific objectives that have been developed to guide key strategies in a time-specific and measurable manner. This section</p>		1.5	

	<p>should demonstrate effort on the part of the LEA/school to backward plan key components of school turnaround specific to the school and must address each of the following elements:</p> <ul style="list-style-type: none"> i. Identify, describe and present at least one goal and corresponding objective(s) directly related to academic achievement in the area of English language arts (ELA). Provide the means by which the objective(s) will be assessed. For all schools having primary-grade students, one objective must discuss how all children will be able to read at grade level by age 8. ii. Identify and present at least one goal and corresponding objective(s) directly related to academic achievement in the area of mathematics. Provide the means by which the objective(s) will be assessed. iii. As applicable, identify and present additional goal(s) and corresponding objective(s) directly aligned and specific to the needs assessment of the school and the school improvement model selected. Provide the means by which the objective(s) will be assessed. iv. Complete the School-level Baseline Data and Target-Setting Chart (Attachment B). <p>For the purposes of this RFP, <i>goals</i> are intended to be broad and to guide the formation of (more specific) objectives. An <i>objective</i> is a statement of intended outcomes that is clear, focused, measurable, and achievable in a specified time frame. In addition, it should be noted that more than one objective may apply to a given goal.</p>			
D. School Leadership	<p>The LEA/school must have the mechanisms in place to replace the existing principal, if applicable based on the selected model, 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 all models, the LEA and EPO/EMO should have the mechanism to replace the existing principal if through a screening process by the LEA/EPO/EMO, principal replacement is determined to be the best approach to ensuring school and student success.) The LEA must provide a clear rationale and supporting evidence that the principal identified is likely to be successful in effectively implementing the SIG plan and model. This section must address each of 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, produce dramatic gains in student achievement, and implement the selected SIG model. Please refer to, “Competencies for Determining Priority School Leaders” which may be found at: http://www.p12.nysed.gov/turnaround/CompetenciesforDeterminingPrioritySchoolLeaders.html. ii. Provide the school principal’s name and a short biography which includes an 		1.5	

	<p>explanation of the leadership pipeline from which s/he came, the rationale for the selection in this particular school, and how this principal’s capabilities are aligned to the selected SIG model. In addition, provide an up-to-date resume and track record of success in leading the improvement of low-performing schools; <u>OR</u></p> <p>iii. If the specific person who will serve in this position is 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 within 30 days of receipt of preliminary award letter, 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. Note: If the principal selected to lead the school is not in place within 30 days of receipt of the preliminary award letter, 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.</p> <p>iv. Provide the specific job description and duties, aligned to the needs of the school, of 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.</p> <p>v. Describe and discuss the school’s current supporting leadership profile 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.</p>			
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 address each of the following elements:</p> <p>i. Identify the total number of instructional staff in the building, and the number of staff identified as highly effective, effective, developing and ineffective (HEDI) based on the school’s approved APPR system.</p> <p>ii. Describe and discuss the current school-specific staffing picture in terms of quality, effectiveness, and appropriateness to the needs of students in this school and the selected SIG model. 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.</p> <p>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 and the selected SIG model.</p>		1.5	

	<p>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. Include in the description how the school recruits and develops a more diverse workforce aligned to its student population.</p> <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 <i>Turnaround</i> requirement must be in place within 30 days of receipt of the preliminary award letter. If <i>Turnaround</i> staffing requirements are not within 30 days of receipt of the preliminary award letter 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 Management Organization (EMO) 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 shared goals, rather than a large variety of disconnected partner groups/services with multiple goals. This section must address each of the following elements:</p> <ul style="list-style-type: none"> i. Identify by name, the partner organizations that will provide services critical to the implementation of the SIG model. Provide the rationale for the selection of each partner. Explain the role each will play in the implementation of the new school design.* ii. Complete the Evidence of Partner Effectiveness Chart (Attachment C). Each partner selected should have 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 and selected SIG model iii. While some partners may be funded by other sources, for those funded by SIG clearly describe how the LEA/school will hold the partner accountable for its performance. <p>*If the model chosen for this school is either <i>Restart</i> or <i>Innovation and Reform Framework</i>, the LEA must provide in this application a Memorandum of Understanding, signed by both parties, which identifies joint-agreement and the scope of services of the EPO/EMO 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 <i>Restart</i>, the fully executed EMO-district contract, signed by both parties, in full accordance with Education</p>		1.5	

	Law 211-e must be received by NYSED within 30 days of receipt of the preliminary award letter. If the fully executed EMO-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. If the model chosen for this school is <i>Innovation and Reform Framework</i> , the fully executed EPO-district contract, signed by both parties, must be received by NYSED within 30 days of receipt of the preliminary award letter.			
G. Organizational Plan	<p>The LEA/school must provide a sound plan for how the school will operate, 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. This section must address each of the following elements:</p> <ul style="list-style-type: none"> i. Submit a school 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 EMO 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 APPR events listed in “iii” for the 2016-2017 school year that reaches all instructional personnel who will staff the building. 		1	
H. Educational Plan	<p>The LEA/school must provide an educationally sound and comprehensive educational plan for the school. This section must address each of the following elements:</p> <ul style="list-style-type: none"> i. <u>Curriculum</u>. Describe the curriculum to be used with the selected SIG 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. <u>Instruction</u>. 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. <u>Use of Time</u>. Present the daily proposed school calendar showing the number of 		2	

	<p>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. <u>Data-Driven Instruction/Inquiry (DDI)</u>. 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/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. <u>Student Support</u>. 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, underperforming subgroups, 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.</p> <p>vi. <u>School Climate and Discipline</u>. 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. As applicable, discuss preventing youth violence and providing second chances.</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. If you selected the Family and Community School Design pathway, discuss the parent, family, and community engagement components listed on page 9.</p>			
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<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. This section must address 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 year-one <u>implementation period (September 1, 2016 to June 30, 2017)</u>. The professional development must be aligned to the needs of the students and to the SIG model. 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. Note: The chart must include all elements in order to be considered complete. 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. NYSED’s Strengthening Teacher and Leader Effectiveness (STLE) grant may provide suitable examples of the types of training and professional development expected in this section. See https://www.engageny.org/resource/improving-practice.</p>		1.5	
<p>J. Communication and Stakeholder Involvement/Engagement</p>	<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 status of the SIG plan. This section must address each of the following elements:</p> <ul style="list-style-type: none"> i. Describe in detail, the process (methods and frequency) that will be used to regularly and systematically update parents, families, the community and other stakeholders on the implementation status of the SIG model and plan. This process should also 		1	

	include, but is not limited to, analyses of evidence of success or challenges with implementing the model and plan by referencing leading indicator data.			
K. Project Plan Narrative/Timeline	<p>The LEA/school must provide a project plan and timeline 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 and are directly aligned to the components of the selected model. This section must address each of the following elements:</p> <ul style="list-style-type: none"> i. Identify and describe the key strategies for year-one <u>implementation period (September 1, 2016 to June 30, 2017)</u> that are aligned to the goals and objectives identified throughout Section II, with specific reference to student academic achievement, staffing, professional development, partnerships and stakeholder involvement. ii. Identify the “early wins” that will serve as early indicators of a successful SIG plan implementation period and foster increased buy-in and support for the plan. In addition, provide evidence of focused strategies aimed specifically at long-term capacity building and sustainability. iii. Identify the leading indicators of success that will be examined on no less than a bi-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. iv. Describe the means by which the key strategies identified throughout Sections I and II ensure that each of the required elements of the selected model have been met. 		1.5	
III. SIG Budget Forms and Budget Narrative				
<p>Applicants must submit:</p> <ul style="list-style-type: none"> i. An FS-10 for the year-one <u>implementation period (September 1, 2016 to June 30, 2017)</u>. ii. A complete Budget Summary Chart for the entire five-year implementation project period (Attachment D). iii. Budget Narrative that describes expenditures identified in Section III, item i. 				
A. Alignment with Program Goals and Objectives	<p>The budget materials must identify and explain all proposed costs for district and school-level activities for the entire five-year implementation project period. The proposed expenditures must be reasonable and necessary to support the proposal’s initiatives and goals/objectives.</p> <ul style="list-style-type: none"> i. Describe in detail the means by which these funds serve to support the model selected, and address the federal requirements specific to the model. ii. 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. iii. Demonstrate how the expenses are supplemental to and do not supplant existing district funding sources. 		2.5	
B. School Size and Need	Demonstrate and describe how the LEA has ensured that the budget request is commensurate to the size and need of the particular school.		1	

C. Impact on School-Level Implementation	<p>The LEA/school should ensure that budget items are directly impacting the school-level implementation of the SIG plan proposed in this application.</p> <p>i. 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>		1	
D. Sustainability	<p>In the Budget Narrative, identify all other sources of income that will support and sustain the whole-school change described in this application.</p> <p>i. Organize costs by the major project activity they serve, based on each category of the proposal narrative, for the entire grant term. 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.</p>		.5	

(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 <i>thorough</i> 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, evidence-based 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 <i>solid</i> 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 <i>majority</i> 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 <i>raises concerns</i> 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; submits requested attachments that are incomplete; or otherwise <i>raises substantial concerns</i> about the applicant’s capacity to meet the requirements in practice.</p> <p>0 Inadequate/Incomplete The whole response fails to address essential elements of the category; and/or fails to provide requested attachments.</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, 1, or 0) 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 (September 1, 2016 to June 30, 2017)</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 <u>implementation period (September 1, 2016 to June 30, 2017)</u>. 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.			