

**Teacher Leader Quality Partnership Program
Educational Leadership Program Enhancement Project
2015-2018**

Introduction:

The No Child Left Behind Act of 2001 (NCLB) amends the Elementary and Secondary Education Act of 1965 (ESEA) by making significant changes in the major Federal programs supporting schools' efforts to educate their students. The New York State Department of Education is working to develop a Cohesive Leadership System in New York State. NYSED's plan for a Cohesive Leadership System in New York State is premised upon the recognition of a growing body of research that evidences the strong correlation between school leadership and improved student learning.

Purpose/Goal:

The Cohesive Leadership System brings together four interconnected strands, including: 1) adopting a common set of leadership standards; 2) professional development for educational leaders; 3) school leadership evaluation and assessment; and 4) professional development of certified teachers to become highly effective school principals or assistant principals in high-need schools.

The Educational Leadership Program Enhancement Project is intended to be a catalyst for the kind of collaboration that can generate significant and sustainable improvements in providing aspiring educational leaders with the knowledge and skills required to successfully lead in high needs schools.

The Educational Leadership Program Enhancement Project offers an opportunity to meet these ambitious goals by seeding model programs for the development of educational leaders.

See [Application Guidelines](#) for additional details.

General Eligibility:

Applicants are Institutions of Higher Education (IHE) and their schools (or departments) of education working in partnership with eligible high need public school districts (see Appendix B). All applicants must be public or private institutions located in New York State currently offering registered Educational Leadership programs leading to New York State certification as a School Building Leader (SBL). All applicants must belong to a partnership that includes at least the following three partners:

- A. An institution of higher education and its school (or department) of education,
- B. A school of arts and sciences (see definition in Appendix A) or a department or division within a school of arts and sciences, and
- C. A high-need LEA [at least 50 percent of all partner LEAs meet the federal definition of “high-need”] (see definition in Appendix A, and see Appendix B for instructions on how to determine which schools and districts meet this definition).

Funding Projections for 2012-2015:

Appropriations for the 2015 – 2016 programs are expected to be approximately \$1,365,347. Awards in each of the funding years will be determined by the level of funding provided by the Federal Government.

First Year Project Period: Projects for the first year may begin as early as **September 1, 2015**, and must be completed by **August 31, 2018**. Expenses incurred prior to September 1, 2015, or after August 31, 2016, will not be reimbursed.

Important Dates:

Applications must be postmarked by **Tuesday 26, May 2015**

Questions regarding this grant must be e-mailed to TDPR@NYSED.GOV by **Monday 4, May 2015**.

A Question and Answers Summary will be posted at: <http://www.highered.nysed.gov/kiap/> no later than **Monday 11, May 2015**.

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The University of the State of New York
THE STATE EDUCATION DEPARTMENT

Office of Postsecondary Access, Support and Success (OPASS)
New York State Education Department
Room 505W, Education Building
Albany, NY 12234

GUIDELINES
for Submission of Proposals for

TITLE II, PART A, SUBPART 3 — HIGHER EDUCATION PARTNERSHIP GRANTS:
TEACHER/LEADER QUALITY PARTNERSHIPS PROGRAM (TLQP)

Educational Leadership Program Enhancement

PROPOSAL SUBMISSION DEADLINE

Tuesday 26, May 2015

Title II, Part A, Subpart 3
No Child Left Behind Act of 2001
P.L. 107-110

New York State Education Department Educational Leadership Program Enhancement Project

Purpose

The New York State Education Department (NYSED) is working to improve the quality of educational leadership programs across New York State. As part of this initiative NYSED is seeking applications for the Educational Leadership Program Enhancement Project. The purpose of this program is to develop centers of educational leadership excellence in institutions of higher education that will serve as model programs for developing highly effective School Building Leader(s) (**SBL**).

The New York State Education Department is seeking proposals from institutions of higher education to enhance and expand leadership programs with an emphasis on high quality clinical experiences that provide candidates with the depth and breadth of relevant experience to enable candidates to become highly effective school leaders.

Program proposals must include evidence-based practices for effective school leadership development and conform to standards originally developed by the Interstate School Leaders Licensure Consortium (ISLLC Standards), and include enhanced full time clinical internship experiences.

Eligible Applicants

Applicants are Institutions of Higher Education (IHE), and their schools (or departments) of education, working in partnership with eligible high need public school districts (see Appendix B). All applicants must be public or private institutions located in New York State currently offering registered Educational Leadership programs leading to New York State certification as a School Building Leader (SBL). All applicants must belong to a partnership that includes at least the following three partners:

- A. An institution of higher education and its school (or department) of education,
- B. A school of arts and sciences (see definition in Appendix A) or a department or division within a school of arts and sciences, and
- C. A high-need LEA [at least 50 percent of all partner LEAs meet the federal definition of “high-need”] (see definition in Appendix A, and see Appendix B for instructions on how to determine which schools and districts meet this definition).

Funding

Grants will be for three years, September 1, 2015 through August 31, 2018. Awards will be made up to **\$250,000** per year. It is estimated that approximately \$1,365,347 will be available for these projects for funding year 2015-2016.

Of this amount, \$250,000 is set-aside for for-profit institutions. Subsequent funding beyond the first program year is contingent upon demonstrated success in meeting

program goals and objectives and continued availability of federal funding. The contract period is September 1, 2015 to August 31, 2018.

Only **one Educational Leadership Program Enhancement Project** will be funded at an institution.

No one member of the partnership may use **more than 50 percent** of the awarded funds.

Applicants must provide evidence of at **least a 10 percent match of the requested contract award** from institutional and other sources [see Attachment VI], in real costs and/or in-kind contributions (for information on forms that matching funds can take, see Section XII, F, 1, below).

Project Period

Projects may begin as early as **September 1, 2015**, and must be completed by **August 31, 2016**. Expenses incurred prior to September 1, 2015, or after August 31, 2016, will not be reimbursed.

Application Submission

Interested institutions must submit **one original and three copies** of the application for funding. The applications must be **postmarked** no later than **Tuesday 26, May 2015** **sent** to the following address:

Not-for-Profit Applicants	For-Profit Applicants
New York State Education Department Office of Postsecondary Access, Support and Success (OPASS) New York State Education Department Room 505W, Education Building Albany, NY 12234 David Lovell (518) 486-6848	New York State Education Department TLQP – Educational Leadership Program Enhancement RFP Attn: Alice Peters-Baker Contract Administration Unit Room 501W EB 89 Washington Avenue Albany, NY 12234

(Facsimile copies of applications are NOT acceptable)

The original must be clearly identified and signed in blue ink with the original signature of the Chief Executive Officer (or designee) of the institution. If these documents are signed by a designee, the CEO must submit a letter naming the designated signatory.

An application for funding meets the deadline requirement if it has a legible postmark,

shipping label, invoice, or receipt from the U.S. Postal Service or a commercial carrier bearing the date of **Tuesday 26, May 2015**, or earlier. Private metered postmarks **will not** be accepted as proof of meeting the required deadline. Hand-delivered applications must be received at the office of NYSED, Office of Postsecondary Access, Support and Success by 3:00 p.m. on **Tuesday 26, May 2015**. **Proposals received after the deadline will not be considered.**

New Prequalification Requirement

The State of New York has implemented a new statewide prequalification process (described in <http://www.grantsreform.ny.gov/Grantees>) designed to facilitate prompt contracting for not-for-profit vendors. All not-for-profit vendors are required to pre-qualify prior to grant application. This includes all currently funded not-for-profit institutions that have already received an award and are in the middle of the program cycle. The pre-qualification must be completed by all not-for-profit organizations prior to the application due date in order to qualify for an award under this grant.

Non-Mandatory Notice of Intent

The Notice of Intent is not a requirement for submitting a complete application by the application date; however, NYSED strongly encourages all prospective applicants to submit an NOI to ensure a timely and thorough review and rating process. A non-profit applicant's NOI will also help to facilitate timely review of their prequalification materials. The notice of intent is a simple email notice stating your organization's (use the legal name) intent to submit an application for this grant. Please also include your organization's NYS Vendor ID. The due date is May 15, 2015. Please send the NOI to TDPR@NYSED.GOV.

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- A. Definitions
 - B. High-need Districts
 - 1. Instructions
 - 2. List of High-Need Districts
 - C. Schools Under Registration Review (SURR)
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GUIDELINES FOR THE EDUCATIONAL LEADERSHIP PROGRAM ENHANCEMENT

I. BACKGROUND

The No Child Left Behind Act of 2001 (NCLB) amends the Elementary and Secondary Education Act of 1965 (ESEA) by making significant changes in the major Federal programs supporting schools' efforts to educate their students. As a whole, NCLB emphasizes greater flexibility and local control, more accountability for results, expanded options for parents, and an increased focus on effective teaching methods based on proven, scientifically based professional research. Part A of Title II authorizes Improving Teacher Quality State Grants, a state formula grant program.

The New York State Department of Education is working to develop a Cohesive Leadership System in New York State. The NYSED's plan for a Cohesive Leadership System in New York State is premised upon the recognition of a growing body of research that evidences the strong correlation between school leadership and improved student learning. The guiding vision for this Cohesive Leadership System is to create a world class system for school leadership to build upon a foundation of research-based practices to improve teaching and student learning at every phase within the leadership continuum. This partnership and process has been informed by the expertise of a number of professional organizations including:

- The School Administrators Association of New York State
- New York State Council of School Superintendents
- Council of School Supervisors and Administrators
- New York City Leadership Academy
- New York City Department of Education
- Collegiate Association for Developing Educational Administrators
- Metropolitan Council for Educational Administration Programs

The Cohesive Leadership System brings together four interconnected strands, including: 1) adopting a common set of leadership standards; 2) professional development for educational leaders; 3) school leadership evaluation and assessment; and 4) development of certified teachers to become highly effective school principals or assistant principals to serve in high-need schools.

Regents Reform Agenda

The Educational Leadership Enhancement Project shall, to the extent practicable, bolster the entire Board of Regents Reform Agenda, but focus primarily on improving school leader preparation and effectiveness by emphasizing the following key skills and abilities:

1. leadership in an environment that supports instructional focus on the Common Core Standards and related new assessments;
2. an understanding of and implementation strategies for data-driven instruction;

improvement of teacher effectiveness by recruiting, developing, and retaining effective teachers while utilizing New York State's rigorous new evaluation system in support of this goal; and

3. instructional leadership and support of learning for all students, including English language learners, students with disabilities and those far below grade level.

This **Educational Leadership Program Enhancement Project** Request for Proposal will focus on the development of certified teachers to become highly effective School Building Leaders to serve in high-need schools.

This competition places an emphasis on funding effective programs and practices that are grounded on “scientifically based research.” Research is considered “scientifically based” if it emphasizes constructing and testing theories by means of data obtained through observation and experimentation, presents studies with detail and clarity, and adheres to the principle that studies should not be “researcher-specific,” i.e., that other researchers should be able to build on or to replicate them (see Appendix A for a full definition).

Applicants include Institutions of Higher Education (IHE) working in partnership with eligible high need public school districts (see Appendix B). All applicants must be public or private institutions located in New York State currently offering registered Educational Leadership programs leading to New York State certification as a School Building Leader (SBL). All applicants must belong to a partnership that includes at least the following three partners:

- A An institution of higher education and its school (or department) of education,
- B A school of arts and sciences (see definition in Appendix A) or a department or division within a school of arts and sciences, and
- C A high-need LEA [at least 50 percent of all partner LEAs meet the federal definition of “high-need”] (see definition in Appendix A, and see Appendix B for instructions on how to determine which schools and districts meet this definition).

All applications must include:

Formal partnership agreements with:

1. An institution of higher education and its school (or department) of education (the applicant),
2. a school of arts and sciences (for definition of “school of arts and sciences,” see Appendix A), and
3. a minimum of one high-need local education agency (LEA) that meets the following definition of “high-need”(see Appendix B):
 - serving not fewer than 10,000 children below the poverty line, or having at least 20 percent of the children served be from families below the poverty line; and
 - having a high percentage of teachers not teaching in the academic subjects or at the grade levels for which they have training, or having a

high percentage of teachers with emergency, temporary, or provisional certification or licensing. (See Appendix B for information on how to determine whether a specific LEA satisfies this criterion, and see the first page of Appendix A concerning the status of provisional certification.)

Partnerships may also include:

1. Another LEA, a public charter school, an educational service agency, another IHE, a school of arts and sciences within this IHE, the school of education within this IHE, and other non-profit educational and cultural organizations.
2. Professional associations, community organizations, business, American Indian Nations, or other organizations.

Funded programs will provide innovative models to recruit and develop high quality educational leaders particularly in high-need schools and districts. These highly-qualified School Building Leaders when certified will be prepared to assist all students in meeting high performance standards in the core academic subject areas.

II. STATE AND NATIONAL CONTEXT

New York State, as most states, has a projected shortage of school leaders. However, simply increasing the number of individuals certified as school building leaders or school district leaders is not the answer. The question of quantity is secondary to the most important consideration, quality. A certified school administrator is not analogous to a qualified school leader. Quality matters most. Indeed, a growing body of research including a meta-analysis of thirty years of educational research conducted by Mid-continent Research for Education and Learning (McREL) has shown a substantial relationship between leadership and student achievement (Marzano, Waters, & McNulty, 2003).

Without highly qualified, committed, creative, and visionary educational leaders, our students will not meet the highest educational standards, furthermore they will not be prepared for the challenges and opportunities they will encounter in this highly competitive global economy. In the 21st century, more than ever before, our school leaders' knowledge and capabilities will be of critical importance. As we seek to prepare all students to reach rigorous learning standards, we must recognize the obstacles we face.

There are large numbers of teachers and School Building Leaders retiring across New York State. New teachers replacing those who retire, or those who leave the profession, will need leadership and support so that they can become highly effective educators who can help all of our students to reach challenging learning standards. In addition to the staffing needs, the external environment, most specifically the economic challenges that we will face as a state and as a nation, will put even greater pressures on our schools. Economic pressures will exacerbate poverty in already stressed communities and schools will see an increase in students with greater needs than ever before. In a time when the needs and challenges are many, educators will be asked to do more with

less. The economic downturn will have an effect on school funding at the local, state, and national levels. These challenges will require talented, creative leaders with the vision and commitment to develop programs and resources to meet these challenges and help each student to be a successful learner and productive citizen.

These conditions provide a window of opportunity for making major improvements in the ways we recruit and prepare educational leaders for our schools and provide them with ongoing support and professional development. We need to identify and support effective leadership preparation practices and to benchmark these practices into Educational Leadership programs throughout the State.

III. MISSION AND PROGRAM PURPOSES

The mission of leadership education is to prepare and support educational leaders to help all students achieve high standards of learning.

PROGRAM PURPOSES

The purpose of this **Educational Leadership Program Enhancement Project** will be to identify, cultivate, train, and support a new generation of educators to lead our schools into the future. Cultivating new, inspiring, and prepared leaders will require a better understanding of what it means to be an effective school building leader and a fresh approach to support those looking to become educational leaders.

The **Educational Leadership Program Enhancement Project** is intended to be a catalyst for the kind of collaboration that can generate significant and sustainable improvements in providing aspiring educational leaders with the knowledge and skills required to successfully lead in high needs schools.

NYSED's goals for the Educational Leadership Program Enhancement Project are for program providers to select SBL candidates who have a demonstrated track record of success with high-need student populations, and are committed to careers as school leaders serving these students, and then place these candidates intensive clinical experiences with principals who have track records of success leading schools, particularly those with secondary grades, that have high-need populations (i.e., "achieving high-need schools"). Program providers must ensure that in addition to the clinical experience, SBL candidates will receive coursework and rich opportunities to reflect on their experiences together as a cohort of SBL candidates and subsequently build on these experiences in order to reinforce skill development and readiness for full-time leadership roles.

High-quality leadership development requires strong collaboration among a number of different partners. Faculties in educational leadership programs must work closely with high needs school districts in their region to fully understand the strengths and challenges of the area schools, so that new leaders are ready to build upon those strengths and effectively address those challenges. This collaboration will ensure that educational leaders have the ability to support teachers to gain the deep content knowledge and strong teaching skills they need to help all students learn. Veteran teachers and principals need a strong voice in the way in which new principals are

prepared, and college and university faculty need first-hand experience in today's schools. In addition to gaining a theoretical knowledge, aspiring school leaders must spend significant time in working in intensive full-time internship experiences in schools under the guidance of experienced principals and other educational leaders as their mentors. Aspiring educational leaders must use innovative strategies to solve complex, real-world problems at the school level during this internship phase so that they have the experience, judgment, and confidence to be ready to lead dynamic, safe, successful schools in which all students can reach the highest learning standards.

The **Educational Leadership Program Enhancement Project** offers an opportunity to meet these ambitious goals by seeding model programs for the development of educational leaders. Applicants are expected to creatively use their knowledge of research and best practices to improve school leaders' pedagogical skills and to design leadership preparation programs that will address the needs of high-need school districts.

The **Educational Leadership Program Enhancement Project** supports improvements to educational leadership preparation programs so that they are more responsive to regional needs, and develop leaders focused on increasing student achievement. The elements identified below are seen as important quality indicators for effective preparation programs in Educational Leadership. **A successful Educational Leadership Program Enhancement Project:**

- A. Is focused on high quality teaching and improving student learning that incorporates activities and effective strategies that promote learning and future achievement for all students (Attachment V Goal # 1, 2, 3); and
- B. Is aligned with research-based best practices (Attachment V Goal # 2, 4); and
- C. Is aligned with ISLLC Standards as the program foundation (see <http://coe.fgcu.edu/faculty/valesky/isllcstandards.htm> for ISLLC Standards) (Attachment V Goal # 2, 5); and
- D. Is integrated with the systemic reform efforts of New York State's high need schools and school districts (Attachment V Goal # 1, 2, 3, 4, 5); and
- E. Provides for an authentic, rigorous, full-time clinical internship (Attachment V Goal # 1, 3); and
- F. Integrates theoretical and practical knowledge throughout all learning experiences (Attachment V Goal # 1, 2, 4, 5); and
- G. Uses authentic measures to assess program candidates (Attachment V Goal # 3); and
- H. Has faculty committed to and capable of delivering the program (Attachment V Goal # 2, 4, 5); and
- I. Includes proactive activities to recruit highly effective certified teachers with leadership potential (Attachment V Goal # 1); and
- J. Bases selection of candidates on demonstrated success (Attachment V Goal # 3); and
- K. Ensures meaningful and active practitioner partnerships working closely with dedicated program faculty (Attachment V Goal # 3, 4, 5); and
- L. Plans for sustainability of successful elements (Attachment V Goal # 5); and

- M. Is evaluated using a variety of performance indicators (Attachment V Goal # 5); and
- N. Promotes supportive learning structures for students (Attachment V Goal # 1, 2, 4); and
- O. Is committed to sharing best practices with the field (Attachment V Goal # 2, 4).

IV. INSTITUTIONAL ELIGIBILITY

Eligible applicants are Institutions of Higher Education (IHE) working in partnership with eligible high need public school districts (see Appendix B). All applicants must be public or private institutions located in New York State currently offering registered Educational Leadership programs leading to New York State certification as a School Building Leader (SBL). All applicants must belong to a partnership that includes at least the following three partners:

- A. An institution of higher education and its school (or department) of education (the applicant),
- B. A school of arts and sciences (see definition in Appendix A) or a department or division within a school of arts and sciences, and
- C. A high-need LEA [at least 50 percent of all partner LEAs meet the federal definition of “high-need”] (see definition in Appendix A, and see Appendix B1 for instructions on how to determine which schools and districts meet this definition).

Funded projects should be conducted at facilities that will, to the greatest extent possible, meet the accessibility needs of individuals with disabilities who will participate in project activities. Help in meeting special accommodation needs, such as interpreters, assistive listening devices, large print or Braille materials can be obtained from the Section 504 Coordinator or the Coordinator of Services for Students with Disabilities at your college or university.

V. PARTICIPANT ELIGIBILITY

Projects may offer professional development activities leading to NYS Building Leader Certification for elementary, middle, secondary, and vocational school teachers currently certified in New York State.

VI. PARTNERSHIP AGREEMENTS

All applicants must belong to a partnership that includes **at least the following three partners:**

1. An institution of higher education and its school (or department) of education that is currently offering registered Educational Leadership programs leading to New York State certification as a School Building Leader (SBL).

An IHE School of Education or Department of Education that is operating under a corrective action plan may not function as a partner in the Educational Leadership Program Enhancement Project

2. A school of arts and sciences (see definition in Appendix A) or a department or division within a school of arts and sciences. The School of Education and the college of arts and sciences may be within the same IHE, but need not be.
3. A high-need LEA (see Appendix B for instructions on how to determine which schools and districts meet this definition);

In addition, applicants are encouraged to establish partnerships with one or more of the following:

- a. Professional organizations or networks
- b. Community based organizations
- c. Business organizations
- d. American Indian Nations
- e. Other

Each of the three required partners in a **Educational Leadership Program Enhancement Project** must have a programmatic role, and a formal cooperative agreement, represented by a signed memorandum of agreement (MOA), is required for every partner—both required or principal partners and all additional partners—participating in each project. Each MOA must outline the roles and responsibilities of that particular partner, as well as the specific services, materials and/or fiscal resources to be provided. (The form to use for the MOAs is provided in Appendix F.)

Because a partnership must have at least the three primary partners to be eligible for a contract award, **all applications will contain at a minimum the following:**

- **A memorandum of agreement (MOA)** between the IHE school or department of education and at least one high-need school, or school district, and an IHE school of arts and sciences (see definition in Appendix A) or a department or division within a school of arts and sciences partner that will provide specific resources for the operation of a **Educational Leadership Program Enhancement Project**. These resources may include the cost of providing substitute teachers or of providing reimbursement for tuition expenses or tuition waivers or they may take the form of in-kind contributions such as release time for teachers or other school leaders, mentors for new teachers, classroom space and/or technology resources, etc.
- **A copy of the Comprehensive Report page** that shows that the partner LEA (or if there is more than one, at least 50% of the partner LEAs) to be high-need.

VII. REQUIREMENTS FOR FUNDING

Prequalification for Individual Applications

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

Proposals received from not-for-profit applicants that have not Registered and are not Prequalified in the Grants Gateway on the proposal due date of 3:00 PM on 05/26/15 cannot be evaluated. Such proposals will be disqualified from further consideration

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

1) **Register for the Grants Gateway.**

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

2) **Complete your Prequalification Application.**

- Log in to the [Grants Gateway\(https://grantsgateway.ny.gov/IntelliGrants_NYSGG/login2.aspx\)](https://grantsgateway.ny.gov/IntelliGrants_NYSGG/login2.aspx) **If this is your first time logging in**, you will be prompted to change your password at the bottom of your Profile page. Enter a new password and click SAVE.

- Click the *Organization(s)* link at the top of the page and complete the required fields including selecting the State agency you have the most grants with. This page should be completed in its entirety before you SAVE. A *Document Vault* link will become available near the top of the page. Click this link to access the main Document Vault page.
- Answer the questions in the *Required Forms* and upload *Required Documents*. This constitutes your Prequalification Application. Optional Documents are not required unless specified in this Request for Proposal.
- Specific questions about the prequalification process should be referred to your agency representative at prequal@mail.nysed.gov or to the Grants Reform Team at grantsreform@budget.ny.gov.

3) Submit Your Prequalification Application

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

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

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

Payee Information Form/NYSED Substitute W-9 – The Payee Information Form is a packet containing the Payee Information Form itself and an accompanying NYSED Substitute W-9. The NYSED Substitute W-9 may or may not be needed from your agency. Please follow the specific instructions provided with the form. The Payee Information Form is used to establish the

identity of the applicant organization and enables it to receive federal (and/or State) funds through the NYSED. An on-line version of the packet is available at <http://www.oms.nysed.gov/cafe/forms/PIform.pdf>

VIII. ACTIVITIES ELIGIBLE FOR FUNDING

Funding under this **Educational Leadership Program Enhancement Project** includes activities such as:

- curriculum development for educational leadership courses
- funding for partner districts to cover the cost of replacement teachers to allow leadership program participants to participate in enhanced clinical internship experiences
- supervision of leadership program participants during clinical internships
- mentoring of leadership program participants
- conferences and symposia for leadership program participants
- project related travel for program directors as directed by the NYS Department of Education
- collaborative work between and among partners
- professional development for partnership members

IX. REQUIREMENTS FOR FUNDING

The following four items are program requirements for this grant. **Projects must:**

- A. document through Memoranda of Agreement (MOAs), that the project has the three required partners and demonstrate how it will meet the leadership development needs of at least one school and/or district that meets the federal definition of “high-need” (see Appendix A for definition of “high-need” and Appendices B and C for information on determining whether a school or district meets this definition; **attach to the application a copy of the Comprehensive Report page that shows this LEA to be high-need**);

AND

- B. include in the application **MOAs for all partners**, documenting through them that at least 50 percent of all partner LEAs meet the federal definition of “high-need” and providing corroboration by attaching the appropriate page(s) from the Comprehensive Report for each high-need LEA (see Instructions to Appendix B);

AND

- C. all project participants (Leadership Program Candidates) must engage in all requisite course work to meet the criteria for taking the New York State School Building Leader or New York State School District Leaders Examination AND engage in a rigorous, relevant, full time clinical experience to fulfill all or part of their administrative internship requirement.

AND

- D. the course work and clinical experience activities must explicitly address increasing student achievement of the Common Core Standards and/or the State's student assessment plan (for information on Learning Standards and assessments, see this Link:
www.p12.nysed.gov/cte/cdlearn

X. **FUNDING PRIORITIES**

The following characteristics will be given strong consideration during the proposal review process:

- A. documentation of substantial collaboration among the three required partners, including the involvement of teachers, administrators, and the school and/or district professional development planning team in the planning, implementation, and evaluation of proposed activities
- B. detailed School Building Leader certification program participant selection process, including defined acceptance criteria and recommendations
- C. full-time authentic, rigorous, clinical internships meeting the requirements for NYS certification as a School Building Leader
- D. use of ISLLC Standards as program foundation (See <http://coe.fgcu.edu/faculty/valesky/isllcstandards.htm>)
- E. activities that are grounded on scientifically-based research (for definition, see Appendix A) and include substantial opportunities for active learning.
- F. integration of theoretical and practical knowledge throughout all learning experiences
- G. rigorous educational leadership program evaluation
- H. methods for sharing of best practices and dissemination of program result

XI. **OTHER CONSIDERATIONS IN ALLOCATING AWARDS**

In allocating awards, consideration will also be given to the following:

- A. overall quality and comprehensiveness of the proposed project;
- B. potential of the proposed project to serve as an effective model in preparing current and prospective educational leaders to meet the needs of a diverse student population;
- C. adherence to the format and program requirements delineated in the guidelines;
- D. reasonableness of the budget in relation to the proposed activities; and
- E. availability of funding through federal appropriation

XII. BUDGET

A. Use of Funds

- 1. Activities funded under an **Educational Leadership Program Enhancement Project** will be administered pursuant to a written agreement between the State Education Department and the applicant institution.
- 2. No **Educational Leadership Program Enhancement Project** funds may be used for purposes which have not been described in the proposal.

B. Allowable Expenses

Allowable direct costs include the following:

- 1. Program administrative services, such as professional and nonprofessional salaries, fringe benefits, consultant fees, etc;
- 2. Costs to support certified teachers in meeting SBL certification requirements, provided that the professional development is designed to improve educational leadership skills and that participation is consistent with the LEA's overall plan for professional development;
- 3. Reimbursements to partner districts for the cost of replacement teachers to allow participants to engage in clinical internships meeting the requirements for NYS certification as a School Building Leader;
- 4. Program and instructional supplies and materials;
- 5. **Educational Leadership Program Enhancement Project** - related travel expenditures;

6. Equipment purchases that support the professional development activities for participants;
7. Recruitment materials and activities;
8. Needs analysis and program evaluation materials and activities;
9. Stipends for participants, as appropriate and allowable by statute and regulation; and
10. Activities related to collaborative planning, clinical internship experiences, and mentoring prospective administrators.

Note: *The use of **Educational Leadership Program Enhancement Project** funds for honoraria to individuals who provide approved service funded by the **Educational Leadership Program Enhancement Project** is permitted; however, an honorarium may not be paid to an individual whose salary is either wholly or partially **supported by Educational Leadership Program Enhancement Project** funds.*

C. Indirect Expenses

1. The TLQP **Educational Leadership Program Enhancement Project** Indirect Cost may not exceed 8%. Equipment, tuition, stipends, honoraria, and consultant fees over \$25,000 per consultant cannot be included in the basis for computing Indirect Cost.
2. Indirect expenses provided by the institution may not exceed 20 percent of the matching funds contributed by the institution and other sources.

D. Fringe Benefits

The fringe benefit rate used for grant-supported project staff should be the same rate used for other staff of the local agency. Rates cannot exceed the New York State rate, calculated annually and made available in the NYS Comptroller's Guide to Financial Operations (GFO), Section VII.9. The GFO can be accessed at <http://www.osc.state.ny.us/agencies/guide/MyWebHelp/> .

E. Budget Changes

An amendment that would result in a transfer of funds among program activities or budget cost categories that does not affect the amount, consideration, scope or other terms of such contract may be subject to the approval of the AG and OSC where the amount of such modification is, as a portion of the total value of the contract, equal to or greater than ten percent for contracts of less than five million dollars, or five percent for

contracts of more than five million dollars; and, in addition, such amendment may be subject to prior approval by the applicable State Agency as detailed in Attachment D (Payment and Reporting Schedule).

Note: *Failure to follow the procedures outlined above may result in the disallowance of all expenditures not previously approved.*

F. Institutional Funds

1. **Matching Funds**

A match of a minimum of 10% of the funding request is required.

Matching contributions may be applied from the institution's own resources; school resources, including other Title I & II professional development funds, or private sources. In-kind contributions such as release time, substitute teachers' per diem, equipment, laboratory and classroom space, staff and volunteer services, etc., may also be included. Other SED program funds such as grants from the Teacher Opportunity Corps or the Teachers of Tomorrow, may be used in this match, but may not duplicate services provided. All matching contributions must be used for activities related exclusively to the Educational Leadership Program Enhancement project, and institutional accounts must be structured to reflect this contribution by appropriate line item.

2. **Program Support**

The institutions participating in the partnership must provide sufficient space and resources for the effective operation of the program.

3. **Institutional Obligation**

Institutions approved for funding have an obligation to honor the institutional amount committed in support of the program in each budget category. This obligation will be reflected in the approved contract agreed to by the applicant institution. The budget, as a part of the contract, may be amended during the year only upon the written agreement of both parties, as stated in Section XII, E (Transfer of Funds).

4. **Partnership Obligation**

All project partners must provide reasonable resources for the successful implementation of the program and have an obligation to honor the commitment outlined in a MOA. This obligation will be

reflected in the approved budget agreed to by SED and the applicant institution; the budget should indicate each contribution made by the partners and identify it by the appropriate line item as given on the budget form.

G. Proposed Budget for a Federal or State Project (FS-10)

The application must include a budget narrative for each category of expenditure that is required for the grant (Professional Salaries, Support Staff Salaries, Purchased Services, Supplies and Materials, Travel Expenses, Employee Benefits, Indirect Cost, BOCES Services, Minor Remodeling, and Equipment) and a Proposed Budget for a Federal or State project (FS-10) for the first year of the grant. The year one budget will be reviewed and scored. The narrative should include sufficient detail to allow reviewers to understand what the funds will be used for and the relationship between the proposed expenditure and project activities and goals.

The total from each of the Budget Category Forms must correspond to amounts shown on the Budget Summary Form. Please be sure to check all of your calculations for accuracy.

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

H. Payment Schedule

1. Non-Profit Institutions: Funds will be distributed using the SED grant/grant contract process. A first payment (20 percent of the approved budget) will be generated upon the approval of the grant contract by the Office of the State Comptroller for grant-contracts or approval of the project budget for grants. Thereafter, additional payments (up to 90 percent of the annual project amount) may be requested by the submission of an *FS-25: Request for Funds for a Federal or State Project* form. An *FS-25* may be submitted monthly based on actual cash needs for the project. All *FS-25s* must be submitted directly to the State Education Department's Grants Finance Office at the address listed on the form.
2. For-Profit Institutions: Funds will be distributed using the SED grant/grant contract process. For-profit institutions will not receive an initial payment; payments are made on a reimbursement basis only. Therefore, the applicant can receive interim payments (up to 90 percent of the annual project amount but only actual expenditures will be reimbursed).
3. All Institutions: Final payment will be issued based on the submission of a Final Expenditure Report/FS_10F Long Form to document total

actual expenditures for the project. If projects have received payments totaling 90% of the approved annual budget amount, the remaining balance of the project (10 percent) will be made when the *FS-10-F* processed by SED's Grants Finance Office. Forms are available on-line at <http://www.oms.nysed.gov/cafe/forms/>.

- * **Note: The *FS-10: Proposed Budget for a Federal or State Project* is fully approved when it has been signed by the institution's Chief Executive Officer or designee and approved and signed by the State Education Department, and approved by the Attorney General's Office and the Office of State Comptroller.**

XIII. PROJECT SCHEDULE

A. Operation Dates

1. Full proposals must be postmarked **by Tuesday 26, May 2015**.
2. **Educational Leadership Program Enhancement Project** funding is approved on an annual basis from September 1, 2015 to August 31, 2018. Projects may begin as early as September 1, and must be completed by August 31, of each year. Expenses incurred prior to September 1, of each year, or after August 31, of each year will not be reimbursed.

B. Required Reports

During each year of the project, institutions receiving an **Educational Leadership Program Enhancement Project** will be required to submit an Interim Report and a Final Report to the New York State Education Department. The Interim Report is due by mid-March of each funded year. The Final Report will provide information about all project operations and expenditures and identify project accomplishments for each program year. Annual Final Reports are due by October 31 of each year. A format for these Reports will be provided.

XIV. FORMAT FOR APPLICATION

Please adhere to the following instructions.

Required Signature(s)

The original signature of the Chief Executive Officer (or designee) of the institution must appear on the Statement of Assurances (Attachment II) Page in **blue** ink.

Partnership Agreements

Applicant information for all partnership agreements must be provided. A signed memorandum of agreement (MOA) is required for all **primary partners**. The original signature of all **primary partnership** agreements must appear on the MOA in **blue** ink.

Number of Copies

Please submit **one original and three** copies of the full proposal.

Checklist

Please use the Application Checklist to ensure that you send a complete application package.

Incomplete applications will **not** be considered for review.

Page Limits and Standards

You must limit the project narrative to no more than 20 double-spaced pages in a minimum 10 point font and all information requested in this section (excluding resumes, memoranda of agreement and course descriptions) must be contained within the narrative portion of the proposal. The narrative should present a cohesive document with each individual section related to all other sections. The name of the institution must appear in the top right corner of each page. A specific format is required for the information requested in **Attachment I**. This information should be provided on Attachment I and be included in the 20 page limit. Single-spacing may be used on Attachment I provided the typeface or font is at least 10 point size. **The Budget Narrative will be subject to the 20 page Project Narrative limit, but the FS-10 will not.**

A complete application for funding consists of the following items in the order indicated:

- A. Cover Page
- B. Institution/Program Profile (Attachment I)
- C. Statement of Assurances (Attachment II)
- D. Table of Contents
- E. Application Checklist
- F. Narrative that covers, in order, the information requested below in Section XV, Format for Application Narrative. The Application Review Panel will adhere to criteria established for the review process and will look for clarity, conciseness, and completeness in the proposal. Applications for Funding that do not follow the format described in this document or which fail to include all attachments or information requested under each major category will lose points. (Attachment V for Evaluation Criteria)
- G. Educational Leadership Program Enhancement Project 2015-2016 Proposed Budget (Attachment VI) and
- H. FS-10 Year 1 Budget
- I. Budget Narrative. For profits need to place the proposed budget/narrative in a separate envelope.
- J. Proposal attachments, including a Memorandum of Agreement (MOA) for each partner involved in the proposed project and a copy

of the Comprehensive Report page(s) confirming that the high-need LEA meets the federal high-need criterion.

- K. Completed M/WBE documentation

XV. FORMAT FOR APPLICATION NARRATIVE

The proposal narrative should describe the proposed **2015-2018 Educational Leadership Program Enhancement Project** activities in full detail, including the overall goals, planning, implementation, and evaluation of all proposed activities. In completing the proposal narrative applicants should meet the requirements of Section IX, A-D.

The **Educational Leadership Program Enhancement Project 2015-16 Proposed Budget form** must also be contained within this portion of the proposal. The narrative should be a cohesive document, with each individual section related to all other sections, and must adhere to the format indicated below. The page limitation *excludes résumés, memoranda of agreement, letters of support, course listings and/or descriptions, and organization charts.*

Although the information requested in Section C is included in the **20-page limit**, it must be provided on the forms given in **Attachment V**. Single-spacing may be used in Section C, provided that the typeface or font is at least **10 point size**.

The proposal narrative will contain the following:

A. Project Abstract (0 Points)

Provide a brief, concise statement of the purpose and goals of the proposed project and how, generally, these goals will be accomplished. Include the intended outcome(s) of the project (maximum length: two pages).

B. Meeting Leadership Education Needs of Eligible High-Need Schools and School Districts (5 Points)

1. Provide a comprehensive assessment of the Educational Leadership Program offered by your institution, including any needs for expansion, improvement or enhancement.
(Please use *Institution Profile Form - Attachment 1 with additional narrative as needed – does not count toward 30 page limit*)
2. Describe the needs of partner school districts. This should include a clear description of leadership needs as they relate to student achievement and unique challenges and opportunities in the region.
3. Demonstrate how the improvements planned in your institution's Education Leadership program will meet the defined needs of the

partner school district(s) and specifically how these improvements result in increased student achievement in the partner school district(s). Include any evidence of the success of current or past collaborations between your institution and the partner district(s).

C. Program Plan (65 Points Total: Subtotals for each item A- P listed below)

1. Describe major enhancements to your institution's Educational Leadership Program to address the specific needs of partner school districts. **(as an attachment, please include your planned course sequence, and course descriptions)**
2. Describe how activities planned in this project incorporate the following best practices for developing highly effective educational leaders:
 - A. Focused on high quality leadership that supports strategies for effective teaching and improving student learning that incorporates activities and effective strategies that promote learning and future achievement for all students **(4 points)** :
 - Describe how the focus on student achievement in high need partner schools and districts will be developed and maintained throughout your program (Attachment V Goal # 1, 2, 3)
 - B. Aligned with research-based best practices **(4 points)**:
 - Describe where and how best practices will be incorporated within your program and how it will be kept up to date with regard to the latest research on effective leadership practice. (Attachment V Goal # 2, 4)
 - C. Aligned with ISLLC Standards as the program foundation (see <http://coe.fgcu.edu/faculty/valesky/isllcstandards.htm> for ISLLC Standards) **(4 points)**:
 - Describe where and how ISLLC Standards have been incorporated into the program. (Attachment V Goal # 2, 5)
 - D. Cooperatively developed and managed by the applicant IHE and partner school districts (LEAs) **(3 points)**:
 - Describe how partners will be involved in the development of the program as it relates to ongoing course/syllabi refinement, determining needs of school leaders and providing support to candidates. (Attachment V Goal # 3, 5)

- E. Integrated with the systemic reform efforts of New York State's high need schools and school districts **(4 points)**:
- Describe how the program will enhance district/school improvement efforts related to New York State targets for Adequate Yearly Progress (AYP). (Attachment V Goal # 1, 2, 3, 4, 5)
- F. Provides for full-time authentic, rigorous, clinical internships meeting the requirements for NYS Certification as a School Building Leader **(14 points)**:
- Describe how the program will ensure that participants engage in a meaningful, authentic and full time clinical experience as a requirement for completing the leadership program. (Attachment V Goal # 1, 3)
- G. Integrates theoretical and practical knowledge throughout all learning experiences **(4 points)**:
- Describe where and how "real-world" and "problem-based" realities of leadership are embedded into your program. (Attachment V Goal # 1, 2, 4, 5)
- H. Uses authentic measures to assess program candidates **(4 points)**:
- Describe how the program will determine the degree to which candidates are developing the skills necessary to make a positive difference as school leaders. (Attachment V Goal # 3)
- I. Has faculty committed to and capable of delivering the program **(3 points)**:
- Describe the expectations regarding faculty commitment and how the effectiveness of faculty will be evaluated. (Attachment V Goal # 2, 4, 5)
- J. Includes proactive recruitment activities **(3 points)**:
- Describe how potential candidates will be notified about the opportunity to participate in the program. (Attachment V Goal # 1)
- K. Bases selection of candidates on demonstrated success **(3 points)**:
- Describe how the selection process will ensure that highly committed, successful teachers who possess the dispositions of school leaders outlined in the ISLLC Standards will be selected to participate in your program. (Attachment V Goal # 3);

- L. Ensures meaningful and active practitioner partnerships working closely with dedicated program faculty **(3 points)**:
 - Describe the scope and extent of involvement by the high need school and/or district partner(s). Indicate the project's capability for improving teaching and learning in partner school buildings through enhanced leadership development.
 - Describe the scope and extent of involvement by the School of Arts and Sciences partners as it relates to understanding and strengthening the role of leadership in the school improvement process.
 - Provide a description of the scope and extent of involvement in the project by any other partners. (Attachment V Goal # 3, 4, 5)

 - M. Plans for sustainability of successful elements **(3 points)**:
 - Describe the strategies planned to help ensure that program enhancements derived from this grant will continue beyond the funding period. (Attachment V Goal # 5)

 - N. Evaluated using a variety of performance indicators and actively uses program evaluation data to improve the program **(3 points)**:
 - Describe in detail how the efficacy of this project will be evaluated. Indicate who will be charged with reviewing data, and how program modifications or mid-course corrections will be made to attain the stated goals. (Attachment V Goal # 5)

 - O. Promotes supportive learning structures for participants **(3 points)**:
 - Describe how program participants will be supported to ensure their success in gaining the skills and dispositions necessary to provide leadership in high need schools. (Attachment V Goal # 1, 2, 4)

 - P. Is committed to sharing best practices with the field **(3 points)**:
 - Describe the plan for disseminating and publishing best practices and lessons learned. (Attachment V Goal # 2, 4)
3. A signed memorandum of agreement (MOA) must be attached for **every participating partner** (see Section VII). MOAs should specify how each partner will contribute to the project, clearly indicating the roles and responsibilities of each, and must document substantive collaborations.

4. For each high-need school or district, applicants must provide as an attachment a copy of the Comprehensive Information Report page(s) showing that the school or district meets the Federal criteria for high-need. (See the Instructions for Appendix B.)
5. To complete section C. Program Plan, use the chart format included in Attachment V. Be sure to include clear, measurable objectives and specify a clear time frame for each outcome measure.

D. Project Staffing and Management (5 points)

1. Briefly describe all professional staff positions (full-time and part-time) that will be assigned directly to the project.
2. Describe a management plan that will assure the effective completion of project activities, given the fiscal and other resources available. Describe how partner districts will be involved in the ongoing management of the project.
3. Provide as an attachment a list of all full-time and part-time instructors and other professionals to be assigned to the project, including professionals providing services on an in-kind basis. Include in this attachment current résumés for each person listed.
4. Provide as an attachment an organizational chart that indicates the reporting lines within the project for the project director and all other project staff.
5. Provide as an attachment an organizational chart that indicates the structure and position of the project within the host institution(s).

E. Budget and Budget Narrative (25 Points)

1. Indicate the plan for sustaining program activities beyond the funding period.
2. Indicate the proposed expenditures for the project on Attachment VI: Educational Leadership Program Enhancement Project **2015-2016** Proposed Budget.

Note: Be sure to clearly demonstrate that no one member of the partnership may use more than 50 percent of the awarded funds.

3. Provide a Budget Narrative that justifies all proposed expenditures, that includes details clarifying their nature, and that indicates the basis of calculation for each cost (i.e., how each cost has been calculated).

- a) Each salaried position must be identified by the position title, the anticipated salary amount, and the time contribution. Any other related expenditure information should also be provided. The actual institutional percentage rate for each category of fringe benefits must be provided.
 - b) For each consultant identified under the Purchased Services category, the per diem or hourly rate must be indicated. For other services or items, the unit rate (or estimated average rate) must be provided.
 - c) For other expenditures, provide information that will allow the reviewer to clearly understand the basis of calculation for each proposed expenditure.
 - d) Include details that make clear the specific nature of each expenditure (e.g., instead of simply saying "Supplies," give information about the kind and quantity of supplies being purchased; or, add detail on "Travel" by indicating who will be traveling, the destination and purpose of the trip, and whether the trip will be by plane, train, automobile, or bus.)
4. The budget narrative expenditure descriptions (including descriptions of institutional and other source contributions) must follow the sequence of categories and code numbers on the **Educational Leadership Enhancement Project 2015-2016 Proposed Budget** (Attachment VI).

XVI. PROPOSAL REVIEW

Each proposal will be rated by two reviewers with experience in effective leadership preparation and professional development practices. Working separately, but using rating criteria aligned with purposes and priorities as described in this document, reviewers will evaluate proposal narratives for evidence that the proposed project: 1) adheres to the given guidelines, 2) includes strategies and activities that show a strong focus on the qualities described in Section IX: Program Priorities, 3) describes a comprehensive approach to reforming and improving teaching and learning for all students, 4) is of high quality, and 5) is capable, given sufficient time and resources, of achieving exemplary outcomes.

Not-for-Profit Applicants

The proposals will be rated numerically, with a maximum possible total score of 100 points to be awarded (as described in Section XV). The score awarded to a proposal will be the average of the scores given by the two reviewers. If, however, the two scores show a discrepancy of more than 15 points, the proposal will go to a third reviewer. The two scores closest in numeric value will

be averaged to calculate the final average score of the application. If the third reviewer's score is equal to the average of the two original scores, the third reviewer's score will become the final score.

Proposals receiving a minimum average score of 60 points will be considered to have passed the technical review and they will be ranked in order by score. After any adjustments are made to the budget for non-allowable or inappropriate expenditures, awards will be made to applicants in order of rank until funds are insufficient to fund the next ranking applicant in full. The next ranked applicant will be given the opportunity to operate a smaller project using the remaining funds. In the event of tie scores, proposals with the highest score on item XV: C Program Plan will be the tie breaker. If still tied, the tie breaker will be decided in the following order: Item XV: E; XV: B; and XV: D.

For-Profit Applicants

Applications from for-profit organizations will be reviewed and ranked separately from all other applicants. Each accepted application from a for-profit organization will be reviewed and rated individually similar to not-for-profit applications except that the budget will be reviewed by the Contract Administration Unit. Applications which receive an average score below 40 points on the technical portion of the application will **not** be eligible to receive an award. Applicant budgets will not be reviewed if not eligible for an award.

The budget will be evaluated by the New York State Education Department Contract Administration Unit. The submitted budget will be awarded points pursuant to a formula, which awards the highest score of twenty-five (25) points to the budget that reflects the lowest cost per teacher served. The remaining budgets will be awarded points based on a calculation that computes the relative difference of each proposal against the submitted proposal with the lowest cost per person served. The resulting percentage is then applied to the maximum point value of twenty-five (25) points.

The combined technical and cost will be calculated for each for profit application received and an award will be made to the for profit vendor whose aggregate technical and cost score is the highest among all the proposals rated.

In the event that more than one proposal obtains the highest aggregate score, the contract will be awarded to the vendor in that group of highest aggregate scores whose budget component reflects the lowest overall cost.

For for-profit grantees, budgets will be proportionally reduced to the extent the for-profit grantee does not achieve its enrollment goals.

XVII. CONTRACT TERMS AND CONDITIONS, DEBRIEFING, AWARD PROTEST PROCEDURES

Post Selection Procedures/ Contract Terms and Conditions

Individual awards issued under this grant proposal will require that the awardee enter into a grant contract, the form of which is contained in an attachment to this RFP. In addition to being signed by the awardee and NYSED Counsel, the contract will need to be submitted for review and approval by the NYS Attorney General and the Office of the State Comptroller. All provisions of this RFP are subordinate to the terms and conditions of the grant contract. The contents of this RFP, any subsequent correspondence related to final contract negotiations, and such other stipulations as agreed upon may be made a part of the final contract developed by NYSED. Successful applicants may be subject to audit and should ensure that adequate controls are in place to document the allowable activities and expenditure of State funds.

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 systems. Source documents that authorize the disbursement of grant funds consist of purchase orders, contracts, time and effort records, delivery receipts, vendor invoices, travel documentation and payment documents.

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

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

Debriefing Procedures

All unsuccessful bidders may request a debriefing within five (5) business days of receiving notice from NYSED. Bidders may request a debriefing letter on the selection process regarding this RFP by submitting a written request to the Fiscal Contact person at:

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

The Fiscal Contact person will make arrangements with program staff to provide a written summary of the proposal's strengths and weaknesses, as well as recommendations for improvement. Within ten (10) business days, the program staff will issue a written debriefing letter to the bidder.

Contract Award 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 a debriefing letter. The protest letter must be filed with:

NYS Education Department
Contract Administration Unit
Attn: Alice Peters-Baker
89 Washington Avenue
Room 501W EB
Albany, NY 12234

3. The NYSED Contract Administration Unit (CAU) will convene a review team that will include at least one staff member from each of NYSED's Office of Counsel, CAU, and the Program Office. The review team will review and consider the merits of the protest and will decide whether the protest is approved or denied. Counsel's Office will provide the applicant with written notification of the review team's decision within seven (7) business days of the receipt of the protest. The original protest and decision will be filed with 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.

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

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

All forms referenced here can be found in the M/WBE Documents section at the end of this RFP.

All applicants are required to comply with NYSED's Minority and Women-Owned Business Enterprises (M/WBE) policy. Compliance can be achieved by one of the

three methods described below. Full participation by meeting or exceeding the M/WBE participation goal for this grant is the preferred method.

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

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

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

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

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

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

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

METHODS TO COMPLY

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

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

COMPLETE FORMS:

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

- 2. Partial Participation, Partial Request for Waiver** - This is acceptable only if

good faith efforts to achieve full participation are made and documented, but full participation is not possible.

COMPLETE FORMS:

- M/WBE Goal Calculation Worksheet
- M/WBE Cover Letter
- M/WBE 100 Utilization Plan
- M/WBE 101 Request for Waiver
- M/WBE 102 Notice of Intent to Participate
- M/WBE 105 Contractor's Good Faith Efforts

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

COMPLETE FORMS:

- M/WBE Goal Calculation Worksheet
- M/WBE Cover Letter
- M/WBE 101 Request for Waiver
- M/WBE 105 Contractor's Good Faith Efforts

GOOD FAITH EFFORTS

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

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

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

REQUEST FOR WAIVER

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

unsuccessful in obtaining M/WBE participation.

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

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

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

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.

Vendor Responsibility

State law requires that the award of state contracts be made to responsible vendors.

Before an award is made to a not-for-profit entity, a for-profit entity, a private college or university or a public entity not exempted by the Office of the State Comptroller, NYSED must make an affirmative responsibility determination. The factors to be considered include: legal authority to do business in New York State; integrity; capacity- both organizational and financial; and previous performance. Before an award of \$100,000 or greater can be made to a covered entity, the entity will be required to complete and submit a Vendor Responsibility Questionnaire. School districts, Charter Schools, BOCES, public colleges and universities, public libraries, and the Research Foundation for SUNY and CUNY are some of the exempt entities. For a complete list, see: http://www.osc.state.ny.us/vendrep/resources_docreq_agency.htm.

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

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

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

Subcontractors:

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

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

Workers' Compensation Coverage and Debarment

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

Workers' compensation requirements are covered by WCL Section 57, while disability benefits are covered by WCL Section 220(8). The Workers' Compensation Benefits clause in Appendix A – STANDARD CLAUSES FOR NEW YORK STATE CONTRACTS states that in accordance with Section 142 of the State Finance Law, a

contract shall be void and of no force and effect unless the contractor provides and maintains coverage during the life of the contract for the benefit of such employees as are required to be covered by the provisions of the WCL.

Under provisions of the 2007 Workers' Compensation Reform Legislation (WCL Section 141-b), any person, or entity substantially owned by that person: subject to a final assessment of civil fines or penalties, subject to a stop-work order, or convicted of a misdemeanor for violation of Workers' Compensation laws Section 52 or 131, is barred from bidding on, or being awarded, any public work contract or subcontract with the State, any municipal corporation or public body for one year for each violation. The ban is five years for each felony conviction.

PROOF OF COVERAGE REQUIREMENTS

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

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

Proof of Workers' Compensation Coverage

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

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

Proof of Disability Benefits Coverage

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

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

For additional information regarding workers' compensation and disability benefits requirements, please refer to the New York State Workers' Compensation Board website at: <http://www.wcb.ny.gov/content/main/Employers/busPermits.jsp>. Alternatively, questions relating to either workers' compensation or disability benefits coverage should be directed to the NYS Workers' Compensation Board, Bureau of Compliance at (518) 486-6307.

[name of grant program]

Application Cover Page

Agency Code

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Name Applicant agency:	Name and Title of Contact Person:
Address:	Telephone:
City: Zip Code:	Fax:
County:	E-Mail:
<p>I hereby certify that I am the applicant's chief school/administrative officer and that the information contained in this application is, to the best of my knowledge, complete and accurate. I further certify, to the best of my knowledge, that any ensuing program and activity will be conducted in accordance with all applicable Federal and State laws and regulations, application guidelines and instructions, Assurances, Certifications, Appendix A, Appendix A-1G and that the requested budget amounts are necessary for the implementation of this project. It is understood by the applicant that this application constitutes an offer and, if accepted by the NYS Education Department or renegotiated to acceptance, will form a binding agreement. It is also understood by the applicant that immediate written notice will be provided to the grant program office if at any time the applicant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.</p>	
Original Signature of Chief Administrative Officer (in blue ink)	Typed Name of Chief Administrative Officer:
Date:	

Application Checklist

Listed below are the required documents for a complete application package, in the order that they should be submitted. Use this checklist to ensure that your application submission is complete and in compliance with application instructions.

Required Documents	Checked-Applicant	Checked –SED	
Application Cover Page with Original Signature of Chief Administrative Officer	<input type="checkbox"/>	<input type="checkbox"/>	
Institution/Program Profile (Attachment 1)	<input type="checkbox"/>	<input type="checkbox"/>	
Statement of Assurances (Original Signature Required) (Attachment 2)	<input type="checkbox"/>	<input type="checkbox"/>	
Table of Contents	<input type="checkbox"/>	<input type="checkbox"/>	
Payee Information Form (if applicable) http://www.oms.nysed.gov/cafe/forms/PIform.pdf	<input type="checkbox"/>	<input type="checkbox"/>	
Application Checklist	<input type="checkbox"/>	<input type="checkbox"/>	
Proposal Narrative	<input type="checkbox"/>	<input type="checkbox"/>	
Vendor Responsibility Questionnaire (Acknowledgement of Completion)	<input type="checkbox"/>	<input type="checkbox"/>	
2015-2016 Proposed Budget (Attachment VI)	<input type="checkbox"/>	<input type="checkbox"/>	
FS-10 Budget (signature required) http://www.oms.nysed.gov/cafe	<input type="checkbox"/>	<input type="checkbox"/>	
Budget Narrative	<input type="checkbox"/>	<input type="checkbox"/>	
Worker's Compensation Documentation (encouraged)	<input type="checkbox"/>	<input type="checkbox"/>	
Disability Benefits Documentation (encouraged)	<input type="checkbox"/>	<input type="checkbox"/>	
Is the applicant prequalified, if required? (While no documentation is required with the application, the applicant may be required to prequalify in order to be eligible for this grant opportunity)	<input type="checkbox"/>	<input type="checkbox"/>	
M/WBE Documents Package (original signatures required)			
<input type="checkbox"/> Full Participation <input type="checkbox"/> Request Partial Waiver <input type="checkbox"/> Request Total Waiver			
Forms Required			
Type of Form	Full Participation	Request Partial Waiver	Request Total Waiver
Calculation of M/WBE Goal Amount	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
M/WBE Cover Letter	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
M/WBE 100 Utilization Plan	<input type="checkbox"/>	<input type="checkbox"/>	N/A
M/WBE 102 Notice of Intent to Participate	<input type="checkbox"/>	<input type="checkbox"/>	N/A
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"/>
EE0 100 Staffing Plan and Instructions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

SED Comments:

Has the applicant complied with the application instructions? Yes No

SED Reviewer: _____ Date: _____

M/WBE Documents

M/WBE Goal Calculation Worksheet

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

RFP # and Title: _____

Applicant Name: _____

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

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

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

*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 100

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

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

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

Address: _____ Phone No.: _____

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

Signature of Authorized Representative of Bidder/Applicant's Firm _____
Date: _____ Print or Type Name and Title of Authorized Representative of Bidder/Applicant's Firm _____

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**

M/WBE 105A

REQUEST FOR WAIVER FORM

BIDDER/APPLICANT NAME:

TELEPHONE:

ADDRESS:

EMAIL:

FEDERAL ID NO.:

CITY, STATE, ZIPCODE:

RFP#/PROJECT NO.:

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

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

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

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

Total **Partial** _____%

Total **Partial** _____%

Waiver Pending ESD Certification

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

Subcontractor/Supplier Name: _____

Date of application filing: _____

PREPARED BY (*Signature*): _____

DATE: _____

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

NAME OF PREPARER:	FOR AUTHORIZED USE ONLY
TITLE OF PREPARER: TELEPHONE: EMAIL:	REVIEWED BY: _____ DATE: _____ WAIVER GRANTED <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:

M/WBE 101

REQUIREMENTS AND DOCUMENT SUBMISSION INSTRUCTIONS

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

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

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

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

Applicant Name: _____

Telephone: _____

Address: _____

Federal ID No.: _____

City, State, ZIP: _____

Project No: _____

Report includes:

Work force to be utilized on this contract OR

Applicant's total work force

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

EEO - Job Categories	Total Work Force	Race/Ethnicity - report employees in only one category																
		Hispanic or Latino		Male										Female				
		Male	Female	White	African-American or Black	Native Hawaiian or Other Pacific Islander	Asian	American Indian or Alaska Native	Two or More Races	Disabled	Veteran	White	African-American or Native Hawaiian or Other Pacific Islander	Asian	American Indian or Alaska Native	Two or More Races	Disabled	Veteran
Executive/Senior Level Officials and Managers																		
First/Mid-Level Officials and Managers																		
Professionals																		
Technicians																		
Sales Workers																		
Administrative Support Workers																		
Craft Workers																		
Operatives																		
Laborers and Helpers																		
Service Workers																		
TOTAL																		

PREPARED BY (Signature): _____

DATE: _____

NAME AND TITLE OF PREPARER: _____

TELEPHONE/EMAIL: _____

STAFFING PLAN INSTRUCTIONS

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

Instructions for Completing:

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

RACE/ETHNIC IDENTIFICATION

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

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

EEO 100

New York State Education Department
Assurances for Federal Discretionary Program Funds

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

Federal Assurances and Certifications, General:

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

Federal Assurances and Certifications, NCLB (if appropriate):

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

- NCLB Assurances
- School Prayer Certification

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)..

INSTITUTION/PROGRAM PROFILE

2015-2018 APPLICATION FOR FUNDING
Educational Leadership Program Enhancement

Instructions:

Complete all parts of this form and include it **at the front of the application**. The **original and three copies** of the completed application must be returned no later than **Tuesday 26, May 2015** to:

New York State Education Department
Office of Postsecondary Access, Support and Success (OPASS)
New York State Education Department
Room 505W, Education Building
Albany, NY 12234

Name of Institution: _____

Address: _____

Name of Project Director (if selected): _____

Title: _____

E-mail address: _____

Phone: _____
(Area Code) (Number) (Extension)

Fax: _____
(Area Code) (Number)

Name of Institution President: _____

Presidents e-mail address: _____

Will the teacher preparation program in this institution be a primary partner?
Circle one: YES NO If not, at what institution is the teacher education primary partner?

Number of students in Administrator Certification program in the primary IHE partner _____

Number of proposed participants: _____ IHE faculty _____ In-service Prospective K-12 administrators

Others (specify):

Name of other two primary partners (high-need school/district and school of arts and sciences):

Indicate the amount of Educational Leadership Program Enhancement funds requested and the other resources to be allocated:

Educational Leadership Program Enhancement funds requested \$ _____

Institutional contribution _____

Other sources (specify): _____

TOTAL: \$ _____

Person completing this form: _____

Signature _____

Title: _____

Phone: _____

CEO Signature [or designee] (in blue ink):

Please print name

Date: _____

INSTITUTION BACKGROUND

Institution Name: _____

SECTOR (check one): ___SUNY ___ CUNY ___ Independent ___ Proprietary

TYPE (check one): _____ 2-yr. _____ 4-yr. _____ Graduate School

LOCATION *Institution location is (circle one):* Urban Suburban Rural

County(ies) where schools to be served are located

Other partners (not including the three primary partners) collaborating with the proposed project:

Describe any important aspects of the local community served by the institution (for instance, high unemployment or immigrant population) that influence the institution's policies and/or program design, Use another sheet or the back of this page if needed.*

***Provide most recent data.**

**INSTITUTION/PROGRAM PROFILE—Educational Leadership Program Enhancement
PROGRAM BACKGROUND**

Institution Name: _____

Instructional Period: 2015-2018

Program Name: _____

List all local education agencies (LEAs)—schools, school districts, and/or BOCES—that will be involved in the planning, development, implementation, and evaluation of this project.

School/District/BOCES Name and Address (Including County)	If School, Provide District Number	SURR school? (Y/N)	High-Need School or District by Title II, A definition? See Appendix B (Y/N) **	Number of Students in School/ District	Number or Percent of Title I Students

****NOTE:** For each high-need school or district, attach copy of page from Comprehensive Information Report described in Appendix B that shows that this LEA meets the two federal criteria.

INSTITUTION/PROGRAM PROFILE—Educational Leadership Program Enhancement

PROGRAM BACKGROUND

Institution Name: _____

Instructional Period: 2015-2018

(check all that apply):

_____ Summer only _____ Academic year only _____ Summer
and academic year _____

_____ During school hours _____ After school _____ Weekend

Ongoing communication/ support through:

___ On-line support _____ Mentoring support _____ Other (specify):

Indicate the **number of faculty** who will be involved in planning, development, implementation, and/or evaluation of the proposed project:

_____ School of Education _____ Graduate

_____ Science Department (specify which) _____ Graduate

_____ Mathematics Department _____ Graduate

_____ English Department or another
Department dealing with Language Arts (specify) _____ Graduate

_____ Education Administration _____ Graduate

_____ Social Sciences (specify which) _____ Graduate

_____ Other Departments (specify which) _____ Graduate

Indicate the number of **certified teachers** who will be involved in the planning, development, implementation, and/or evaluation of the proposed project:

_____ Elementary Teachers _____ Middle School Teachers

_____ High School Teachers

Indicate the anticipated number of certified teachers/aspiring leaders who will participate in and students who will be affected by this program:

INSTITUTION/PROGRAM PROFILE—Educational Leadership Program Enhancement

PROGRAM BACKGROUND

Institution Name: _____

Program Name: _____

List any other organizations and/or programs having similar purposes that will be coordinated with this program:

Indicate the number of staff to be funded by this project:

_____ Professional	_____ Full-time	_____ Part-time
_____ Nonprofessional	_____ Full-time	_____ Part-time

ATTACHMENT II

STATEMENT OF ASSURANCES

INSTITUTION/PROGRAM PROFILE—Educational Leadership Program Enhancement

Institution Name: _____

Program Name: _____

1. **The recipient will, if funded, operate an Educational Leadership Program Enhancement (TLQP funded) program within the letter and spirit of all pertinent legislation and rules, including the appropriate Guidelines.**
2. Funds from this source will supplement, not supplant, local expenditures and will not duplicate expenditures from other sources.
3. Educational activities conducted under this project will take place in accordance with appropriate sections of the following Acts:
 - A. Title VI of the Civil Rights Act of 1964
 - B. Title IX of the Education Amendments of 1972
 - C. Section 504 of the Rehabilitation Act of 1973
 - D. Section 303 of the Age Discrimination Act of 1975
4. **All activities supported by Educational Leadership Program Enhancement funds will be, to the extent possible, accessible by persons with disabilities.**
5. Upon request, the recipient will provide State Education Department staff access to its records and other information necessary to determine whether violations of civil rights have occurred.
6. All materials produced with contract award funds and all publicized program activities will contain a statement that no aspect of the program discriminates on the basis of age, color, religion, creed, disability, marital status, veteran status, national origin, race, gender, generic predisposition or carrier status, or sexual orientation.
7. All materials developed in whole or in part with the support of Teacher/Leader Quality Partnerships funds, including publicity releases and program announcements, will include the following statement: **Support for the development and production of this material was provided by a contract award under the New York State Higher Education Educational Leadership**

Program Enhancement **administered by the New York State Education Department.**

8. The State funds requested will be used to develop or expand efforts to improve teacher preparation and professional development programs for current and prospective K-12 teachers of the core academic subjects and/or faculty involved in teacher preparation or development. Projects must be developed and implemented by a primary partnership consisting of a teacher education program, a college of arts and sciences, and one or more high-need local education agencies. The project will be designed to meet the needs of (a) high-need* school(s) and/or district(s) to improve teacher practice and the academic achievement of elementary, middle, and secondary school students. Students and teachers benefiting from the funds are New York State residents.

*For the purposes of Title II A (b) activities, a “high-need local education agency” is defined as a local education agency:

- A. (1) that serves not fewer than 10,000 children from families with incomes below the poverty line; or
(2) for which not less than 20 percent of the children served by the agency are from families with incomes below the poverty line; **and**
- B. (1) for which there is a high percentage of teachers not teaching in the academic areas or at the grade levels for which the teachers were trained to teach; or
(2) for which there is a high percentage of teachers with emergency, provisional, or temporary certification or licensing.
9. All consultants meet competency requirements and are legally eligible to receive Title II A (b) funds.
10. The agency assures that no one member of the partnership will receive more than 50 percent of the award funds.

CHIEF EXECUTIVE OFFICER CERTIFICATION

I hereby certify that the information in this application is correct and in total compliance with appropriate State laws and regulations and that the program design will be carried out as described in the application.

Signed*: _____ Date: _____
(Chief Executive Officer)

Print name and title _____

***Original signature of CEO is required in blue ink**

ATTACHMENT V

Program Objectives, Strategies, Activities, Services, and Performance Measure/Data Sources Matrix

Instructions:

1. Make as many copies of the forms as needed.
2. Each identified objective should be addressed. (See EDUCATIONAL LEADERSHIP PROGRAM ENHANCEMENT PROJECT Objectives and Key Strategies on the following page.) Complete one sheet for each objective.
3. Provide all the information requested in each column.
4. Include strategies that are currently used as well as any new strategies proposed for 2015-2016.
5. Definitions:
 - **Strategies:** Describe the process or method your project will use to achieve objective (how).
 - **Activities/Services:** Indicate what your project will do to accomplish objective (action/work).
 - **Performance Measure:** Indicate elements that will be measured to indicate accomplishment of objective. Whenever possible, use quantifiable measures.
 - **Data Source:** Indicate where data for the performance measures is located/drawn from.

ATTACHMENT V

**EDUCATIONAL LEADERSHIP PROGRAM ENHANCEMENT PROJECT
OBJECTIVES AND KEY STRATEGIES**

Educational Leadership Enhancement Project Goals and Objectives- Narrative Chart Section D			
GOAL #1 To prepare certified teachers to obtain NYS School Building Leader Certification so that they may become highly effective leaders in high-need partner schools/districts.			
Measurable Objective	Activity/Service (See Program Purposes Section III, a-p for eligible activities)	Time Frame	Performance Measure(s) And Data Source

You may use as many pages as needed; however, these charts count toward the total narrative page limit

GOAL #2: To support aspiring School Building Leaders in aligning academic content and classroom strategies with ISLLC Standards to improve student achievement in high-need partner schools/districts.

Measurable Objective	Activity/Service (See <i>Program Purposes Section III, a-p</i> for eligible activities)	Time Frame	Performance Measure(s) And Data Source

You may use as many pages as needed; however, these charts count toward the total narrative page limit

GOAL #3: To increase the number of highly effective school building leaders in NYS' high-need districts.

Measurable Objective	Activity/Service (See <i>Program Purposes Section III, a-p</i> for eligible activities)	Time Frame	Performance Measure(s) And Data Source

You may use as many pages as needed; however, these charts count toward the total narrative page limit

GOAL #4: To promote established partnerships which support School Building Leaders in providing an instructional program designed to create a safe and effective learning environment.

Measurable Objective	Activity/Service (See <i>Program Purposes Section III, a-p</i> for eligible activities)	Time Frame	Performance Measure(s) And Data Source

You may use as many pages as needed; however, these charts count toward the total narrative page limit

GOAL #5: To provide an environment enabling School Building Leaders to collaborate with college and university faculty and community organizations and members to identify and respond to diverse school community interests and needs.

Measurable Objective	Activity/Service (See Program Purposes Section III, a-p for eligible activities)	Time Frame	Performance Measure(s) And Data Source

You may use as many pages as needed; however, these charts count toward the total narrative page limit

ATTACHMENT VI

To obtain a copy of form FS 10 click on the following link.

<http://www.oms.nysed.gov/cafe/forms/fs10.pdf>

PROPOSED BUDGET 2015-16 (ROUND CENTS TO NEAREST DOLLAR)

Line No.	Expenditure Category	Code	TLQP*				
			1a TP	1b AS	1c LEA 1	1d LEA 2	1e TOTAL TLQP
1	Salaries for Professional Personnel	15					
2	Salaries for Non-Professional Personnel	16					
	a. Clerical/Secretarial						
	b. Student Assistants						
	c. Other						
3	Purchased Services	40					
4	Supplies & Materials	45					
	a. Instructional						
	b. Other						
5	Travel Expenses	46					
	a. Student/Programmatic						
	b. Staff/Administrative						
6	Employee Benefits	80					
	a. Professional___%						
	b. Clerical/Secretarial___%						
	c. Student Assistants___%						
	d. Other___%						
7	SUBTOTAL of Lines 1-6						
8	Indirect Cost**	90					
9	Equipment	20					
10	GRAND TOTAL (Lines 7 - 9)						

*The Legislation supporting TLQP requires that no single participant in an eligible partnership use more than 50% of the funds made available to the partnership; 1a, TP = Teacher Preparation Program, 1b, AS = School/Department of Arts & Science, 1c and 1d, LEA = Local Education Agency(ies).**The TLQP Indirect Cost (column 1, line 8) may not exceed 8% of SUBTOTAL (col. 1, line 7). Equipment, tuition, stipends, honoraria, and consultant fees over \$25,000 per consultant cannot be included in the basis for computing Indirect Cost.

PROPOSED BUDGET 2015-16 (ROUND CENTS TO NEAREST DOLLAR)
(MATCHING CONTRIBUTIONS—CASH AND IN-KIND)

Line No.	Expenditure Category	Code	XVII. Matching Contributions (Cash and In-Kind)		
			Institution*** (2)	Other Sources*** (3)	Col (2 +3) (4)
1	Salaries for Professional Personnel	15			
2	Salaries for Non-Professional Personnel	16			
	a. Clerical/Secretarial				
	b. Student Assistants				
	c. Other				
3	Purchased Services	40			
4	Supplies & Materials	45			
	a. Instructional				
	b. Other				
5	Travel Expenses	46			
	a. Student/Programmatic				
	b. Staff/Administrative				
6	Employee Benefits	80			
	a. Professional___%				
	b. Clerical/Secretarial___%				
	c. Student Assistants___%				
	d. Other___%				
7	SUBTOTAL of Lines 1-6				
8	Indirect Cost**	90			
9	Equipment	20			
10	GRAND TOTAL (Lines 7 - 9)				

** The Institutional Indirect Cost (column 2, line 8) may not exceed 20% of SUBTOTAL (col. 2, line 7). Equipment, tuition, stipends, honoraria, and consultant fees over \$25,000 per consultant cannot be included in the basis for computing Indirect Cost.

*** The sources of all Institutional and Other Sources must be identified

Matching contributions of at least 10 percent of the funding request is required

APPENDIX A

DEFINITIONS

Core Academic Subjects:

The term “core academic subjects” means English, reading or language arts, mathematics, science, foreign languages, civics and government, economics, arts, history, and geography [Title IX, Part A, Section 9101(11)].

High-Need LEA:

An LEA that

1. Serves at least 10,000 children below the poverty line, or has at least 20 percent of the children it serves be from families below the poverty line; and
2. a high percentage of teachers who are not teaching in the academic subjects or at the grade levels for which they have training, or has a high percentage of teachers with emergency, temporary, or provisional certification or licensing [Title II, Part A, Section 2102(3)].
(For the purposes of TLQP, **3 percent** will be considered to constitute “a high percentage.”)

***NOTE: In New York State, provisional/initial certification is not considered a deficient credential.** The meaning of the term in the legislation is clarified in the *Non-Regulatory Draft Guidance* issued by DOE on December 19, 2002, which on page 88 refers to teachers with “full State certification” as not having “had certification or licensure requirements waived on an emergency, temporary, or provisional basis.” Unlike the situation in some other states, in New York State provisional certification does not imply a waiver of State requirements. Rather, provisional/initial certification is currently full State certification for beginning New York State teachers.

Non-profit Organization with a Record of Demonstrated Effectiveness:

This phrase refers to an organization that can provide evidence of financial stability and whose net earnings do not benefit, and cannot lawfully benefit, any private shareholder or entity. In addition, the organization must have as its primary purpose the improvement of student learning in one or more of the core academic subjects; provide documentation of having conducted teacher training programs that used effective approaches and processes for teaching subject matter content; have personnel with qualifications and expertise to provide the desired instruction; and provide evaluation data from past programs to show improved student outcomes.

Paraprofessional:

A paraprofessional (Teaching Assistant) is a person who has instructional duties within a school but is not a teacher. Individuals who work solely in non-instructional roles—such as food service, cafeteria or playground supervision, personal care services, or

non-instructional computer assistance—are not considered to be paraprofessionals for the purposes of this legislation.

Professional Development:

The term “professional development” [Section 9101(34), with a few deletions and alterations so that all of the activities listed are related to TLQP] includes activities that:

1. Improve and increase teachers’ knowledge of the academic subjects the teachers teach, and enable teachers to become highly qualified;
2. Are an integral part of broad school-wide and district-wide educational improvement plans [the required district professional development plans—see Appendix D];
3. Give teachers, principals, and administrators the knowledge and skills to provide students with the opportunity to meet challenging State academic content standards and student academic achievement standards;
4. Improve classroom management skills;
5. Are high quality, sustained, intensive, and classroom-focused in order to have a positive and lasting impact on classroom instruction and the teacher’s performance in the classroom and are not one-day or short-term workshops or conferences;
6. Support the training of highly qualified teachers, including teachers who became highly qualified through State and local alternative routes to certification;
7. Advance teacher understanding of effective instructional strategies that are
 - a) Based on scientifically-based research; and
 - b) Strategies for improving student academic achievement or substantially increasing the knowledge and teaching skills of teachers; and
 - c) Aligned with and directly related to State academic content standards [NYS Learning Standards];
- 8) Are developed with extensive participation of teachers, principals, parents, and administrators of schools to be served;
- 9) Are designed to give teachers of limited English proficient students, and other teachers and professional staff, the knowledge and skills to provide instruction and appropriate language and academic support services to those students, including the appropriate use of curricula and assessments;
- 10) To the extent appropriate, provide training for teachers and principals in the use of technology so that technology and technology applications are effectively used in the classroom to improve teaching and learning in the curricula and core academic subjects in which the teachers teach;
- 11) As a whole, are regularly evaluated for their impact on increased teacher effectiveness and improved student academic achievement, with the findings of the evaluations used to improve the quality of professional development;
- 12) Provide instruction in methods of teaching students with special needs;
- 13) Include instruction in the use of data and assessments to inform classroom practice;

- 14) Include instruction in ways that teachers, principals, and school administrators may work more effectively with parents;
- 15) Provide prospective and beginning teachers with an opportunity to work under the guidance of experienced teachers and college faculty;
- 16) Create programs to enable paraprofessionals (assisting teachers employed by a local educational agency receiving assistance under Part A of Title I) to obtain the education necessary for those paraprofessionals to become certified and licensed teachers; and
- 17) Provide follow-up activities that are designed to ensure that the knowledge and skills learned by teachers participating in earlier sessions will be implemented in the classroom.

School of Arts and Sciences:

This refers to an institution of higher education (IHE) or to an organizational unit of an IHE that offers one or more academic majors in disciplines or content areas corresponding to the academic subjects which teachers teach in schools [Title II, Part A, Section 2102 (1)]. (According to DOE, this definition restricts the number of colleges that can serve as the required School of Arts and Sciences partner; this partner **must** be an IHE that offers academic majors, i.e., must be an IHE that awards the baccalaureate degree.)

Scientifically Based Research:

In this context, “scientifically based research” refers to research that involves the application of rigorous, systematic, and objective procedures to obtain reliable and valid knowledge relevant to education activities and programs. Research with the following characteristics falls into this category:

1. Employs systematic, empirical methods that draw on observation or experiment;
2. Involves rigorous data analyses that are adequate to test the stated hypotheses and justify the general conclusions drawn;
3. Relies on measurements or observational methods that provide reliable and valid data across evaluators and observers, across multiple measurements and observations, and across studies by the same or different investigators;
4. Is evaluated using experimental or quasi-experimental designs in which individuals, entities, programs, or activities are assigned to different conditions and with appropriate controls to evaluate the effects of the condition of interest, with a preference for random-assignment experiments or other designs to the extent that those designs contain within-condition or across-condition control;
5. Ensures that experimental studies are presented with sufficient detail and clarity to allow for replication or, at a minimum, offer the opportunity to build systematically on their findings; and
6. Has been accepted by a peer-reviewed journal or approved by a panel of independent experts through a comparatively rigorous, objective, and scientifically review [Title IX, Part A, Section 9101(37)].

Appendix B

Attachment B1 Determining High-Need Status

The term “high-need LEA” has a two-part definition in the No Child Left Behind legislation. As is stated both on page 11 of the text of the RFP and in Appendix A (“Definitions”) Title II, Section A, requires **two kinds of criteria** to be present before a school district can be considered high-need: **the first has to do with poverty; the second, with teachers’ certification.**

1. To be classified as “high-need,” the LEA must serve at least 10,000 children who are below the poverty line **or** must have 20 percent of the children it serves be from families below the poverty line; **and**
2. The LEA must have a high percentage of teachers who do not have full State certification **or** who do have State certification but are not teaching in the subject area or at the grade level for which they were certified. **(For the purposes of TLQP grants, 3 percent or more will be considered “a high percentage.”)**

Both the certification criterion and the poverty criterion must be met by the primary high-need school district partner and by 50 percent of any additional LEAs that will be project partners.

Note: you do not need to check on this information year after year. If an LEA meets the high-need criteria when the MOA with it is initially signed, that LEA is considered to continue to meet the high-need criteria throughout the remainder of the grant cycle.

Determining the Poverty Criterion

For School Districts: The U.S. Department of Education has specified that Teacher Quality Partnerships Programs in all states should refer to current census data to determine whether the required LEA partner meets the first criterion. This information is available on the Census Bureau website; its most recent SAIPPE data can be found at:

<http://www.census.gov/hhes/www/saipe/district.html> . or
<http://www.highered.nysed.gov/kiap/home.html>

When there, pick the school district you want, then compare the number of school age children (ages 5-17) with the number of school age children who are living in poverty, to see if the second group is 20 percent of the first.

For Individual Schools: Although only a school district may serve as the required high-need LEA partner, an individual school may serve as an optional additional partner. Since TLQP specifies that 50 percent of the LEA partners must meet the high-need criteria, you may wish to indicate that some partner schools meet them. The census, however, does not provide information about individual schools; therefore, to determine whether the school in question has

the necessary 20 percent poverty rate, follow Steps 1-3 given below (for determining the certification criterion). Instead of taking Step 4, however, go to the listing of the prospective school partner and click on “Comprehensive Information Report.” Page 2 of the multipage report will contain both the free lunch data (the poverty criterion is 20 percent) and, in the “Staff Counts” table, the number of teachers who are teaching out of their certification field or are teaching with a temporary license. **If this is a new partner, please attach a photocopy of Page 2 to the MOA for that school.**

Determining the Certification Criterion

To determine whether the primary partner LEA (and other partner LEAs) also meet the second criterion for being considered high-need, do a brief search in the EMSC portion of the State Education Department webpage. These steps will lead to the needed information:

1. Go to www.emsc.nysed.gov and click on School Report Cards on the lower right of the page.
2. Pick the county that the LEA is in, and click on it on the map.
3. A list of that county’s school districts will appear; click on the one you want.
4. On the page for that district, access to district-wide information is at the top; click on “District-Wide Summary Comprehensive Information Report.”
5. **Early in the multiple page report**—usually on the second or third page—you will find the chart with the needed information. Look for the **chart with the title “Staff Counts”**; it gives the percentage of teachers who are teaching out of their certification area or who have only a temporary license.

What to do with this information:

- **For each new high-need LEA project partner**, attach to its MOA a copy of the “Staff Counts” chart and a statement of the figures from the Census that show the LEA to meet the poverty criterion.
- **For all other high-need LEA partners**, simply write “High-need” beside its name on the list.

Appendix C

SCHOOLS UNDER REGISTRATION REVIEW (SURR)

See link below for list of schools for New York City and Upstate

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

NOTE: Although projects are encouraged to form partnerships with schools on the SURR list, applicants should be aware that not all schools on this list meet both of the two Federal criteria for being “high-need.” Follow the instructions in Appendix B to determine whether any specific school will be considered high-need for the purposes of TLQP.

APPENDIX D
Information about New York State's
Requirements for School/District
Professional Development Plans

Regulations - Professional Development Plans

AMENDMENT TO THE REGULATIONS OF THE COMMISSIONER OF EDUCATION

Pursuant to Sections 101, 207, 215, 305 and 3604 of the Education Law.

Subdivision (dd) of section 100.2 of the Regulations of the Commissioner of Education is added, effective October 7, 1999, to read as follows:

(dd) Professional development plan.

(1) Requirement.

(i) By September 1, 2000, and annually by September 1 of each school year thereafter, each school district and Board of Cooperative Educational Services (BOCES) shall adopt a professional development plan that meets the content requirements prescribed in paragraph (2) of this subdivision. The purpose of the plan shall be to improve the quality of teaching and learning by ensuring that teachers participate in substantial professional development in order that they remain current with their profession and meet the learning needs of their students.

(ii) Such professional development plan may be a part of a comprehensive education plan of the district or BOCES, provided that the professional development plan meets all of the requirements of this subdivision, including the requirements related to collaboration with the professional development team in the development of the plan as prescribed in paragraph (3) of this subdivision, or may be a free-standing plan of the district or BOCES.

(iii) A school district or BOCES may include the local special education comprehensive system of personnel development (CSPD) plan, developed pursuant to 34 CFR 300.221, as part of its professional development plan, provided that such professional development plan meets all requirements set forth in this subdivision and provided that such local CSPD plan meets all other requirements of Federal or state statute, regulation or policy.

(2) Content of the plan. The professional development plan shall be structured in a format consistent with commissioner's guidelines and shall include:

(i) a needs analysis, and goals, objectives, strategies, activities and evaluation standards for professional development in the school district or BOCES; and

(ii) a description of:

(a) how the school districts or BOCES provide all teachers they employ substantial professional development opportunities directly related to student learning needs as identified in the school district or BOCES report card and other sources as determined by the school district or BOCES. For plans covering the time period, February 2, 2004 and thereafter, each school district or BOCES shall describe in its plan how it will provide teachers it employs holding a professional certificate with opportunities to maintain such certificates in good standing based upon successfully completing 175 hours of professional development every five years as prescribed in Part 80 of this Title;

- (b) teachers' expected participation in professional development, including but not limited to an estimate of the average number of hours each teacher is expected to participate in professional development in the school year covered by the plan;
- (c) the alignment of professional development with New York standards and assessments, student needs, including but not limited to linguistic, cultural diversity and special needs, and teacher capacities;
- (d) the articulation of professional development across grade levels;
- (e) the efforts made to ensure that professional development is continuous and sustained and that the methods and approaches for delivering professional development have been shown to be effective; and
- (f) the manner in which the school district or BOCES will measure the impact of professional development on student achievement and teachers' practices.

(3) Development and adoption of the plan.

(i) The requirement in this subparagraph shall be applicable to all BOCES and school districts, except the City School District of the City of New York. The requirements of subparagraph (ii) of this paragraph shall be applicable to the City School District of the City of New York.

(a) The plan shall be developed through collaboration with a professional development team. The team members shall be designated for appointment in the manner prescribed in this clause, except as prescribed in clause (b) of this subparagraph. The board of education or BOCES shall appoint the members of the team, a majority of which shall be teachers, which shall include the superintendent of schools or his or her designee in the case of school districts or the district superintendent or his or her designee in the case of BOCES; school administrators upon designation by the administrators' collective bargaining organization; teachers upon designation by the teachers' collective bargaining organization; at least one parent upon designation by the established parent groups in the district or in their absence, by the superintendent in the case of a school district or district superintendent in the case of a BOCES; and one or more curriculum specialists, meaning a teacher or administrator whose primary job responsibility involves the development or evaluation of curricula, upon designation by the district or teachers' collective bargaining organization or both. In addition, the team shall include at least one representative of a higher education institution, provided that the board of education or BOCES determines that a qualified candidate is available to serve after conducting a reasonable search. The team may include other individuals, such as representatives of professional development organizations or the community at large. In school districts or BOCES in which teachers or administrators are not represented by a collective bargaining organization, teachers or administrators shall be designated by their peers in a manner prescribed by the Board of Education or BOCES.

(b) Notwithstanding the requirements of clause (a) of this subparagraph, members of the professional development team employed in or representing a school under registration review, pursuant to section 100.2(p) of this Title, including but not limited to teachers, administrators, curriculum specialists and parents, shall not be designated for appointment as prescribed in clause (a) of this subparagraph but shall instead be recommended by the superintendent of the school district for appointment by the board of education.

(c) The board of education or BOCES shall permit the professional development team a period of at least 180 days to develop its recommended professional development plan and shall convene such team on or before October 1, except that for the 1999-2000 school year, such team shall be convened by October 8, 1999.

(d) Such team shall submit to the board of education or to the BOCES a recommended professional development plan by a date specified by the board of education or BOCES. The board of education or BOCES may accept or reject the recommendations of the team in whole or part. Components of the plan not approved by

the board of education or BOCES shall be returned to the team for further consideration. Any subsequent modification in the professional development team's recommendation to the board of education or BOCES shall be presented to the board of education or BOCES on or before June 1, and the board of education or BOCES shall act on the plan by June 30. The final determination on the content of the professional development plan shall be the determination of the board of education or BOCES.

(e) The professional development plan shall be adopted by the board of education or BOCES at a public meeting. Each year, the board of education or BOCES shall evaluate the effectiveness of the plan. The board of education or BOCES may adopt a multi-year plan or an annual plan, provided that in the case of a multi-year plan the professional development team shall be required to review the plan on an annual basis, and submit to the board of education or BOCES recommended revisions, if necessary. The Board of Education or BOCES shall determine whether to approve the recommended revisions.

(ii) The requirements of this subparagraph shall be applicable to the City School District of the City of New York.

(a) Each community school district, high school division, special education division and the Chancellor's district shall have a professional development plan.

(b) Each plan shall be developed through collaboration with a professional development team. The team members shall be designated for appointment in the manner prescribed in this clause, except as prescribed in clause (c) of this subparagraph. In the case of a community school district, the board of education of the community school district shall appoint the members of the team for the community school district. In the case of a high school division, special education division, and the Chancellor's district, the Chancellor of the City School District of the City of New York shall appoint the members of the team. The team, a majority of which shall be teachers, shall include the superintendent of the district for which the team was formed or his or her designee; school administrators upon designation by the administrators' collective bargaining organization; teachers upon designation by the teachers' collective bargaining organization; at least one parent upon designation by the established parent groups in the district, or, in their absence, by the Chancellor in the case of a high school division, a special education division or a Chancellor's district, or by the board of education of the community school district in the case of a community school district; one or more curriculum specialists, meaning a teacher or administrator whose primary job responsibility involves the development or evaluation of curricula, upon designation by either or both the teachers' collective bargaining organization, or by the Chancellor in the case of a high school division, a special education division or a Chancellor's district, or by the board of education of the community school district in the case of a community school district. In addition, the team shall include at least one representative of a higher education institution, provided a qualified candidate is available to serve after conducting a reasonable search. The team may include other individuals, such as representatives of professional development organizations or the community at large.

(c) Notwithstanding the requirements of clause (b) of this subparagraph, members of the professional development team employed in or representing a school under registration review, pursuant to section 100.2(p) of this Title, including but not limited to teachers, administrators, curriculum specialists and parents, shall not be designated for appointment as prescribed in clause (b) of this subparagraph but shall instead be recommended by the Chancellor for appointment by the board of education of the community school district in the case of community school districts, and appointed by the Chancellor without being designated by any other party in the case of high school divisions, special education divisions and the Chancellor's district.

(d) In the case of high school divisions, special education divisions and the Chancellor's district, the Chancellor shall convene the professional development team on or before October 1, except for the 1999-2000 school year when such team shall be convened by October 8, 1999. The Chancellor shall permit the team a period of 180 days to develop its recommended professional development plan. Such team shall submit to the Chancellor a recommended professional development plan by a date specified by the Chancellor. The Chancellor may accept or reject the recommendations of the team in whole or part. Components of the plan not approved by the

Chancellor shall be returned to the team for further consideration. Any subsequent modification in the professional development team's recommendation to the Chancellor shall be presented to the Chancellor on or before June 1, and the Chancellor shall act on the plan by June 30. The final determination on the content of the professional development plan shall be the determination of the Chancellor, in accordance with Education Law section 2590-h(14). In the event that the team does not make a recommendation to the Chancellor by the date specified by the Chancellor, the Chancellor may promulgate a professional development plan without such recommendation.

(e) In the case of community school districts, each board of education of the community school district shall submit to the Chancellor of the City School District of the City of New York a recommended professional development plan by a date specified by the Chancellor. Such professional development plan shall be developed through collaboration with the community school district's professional development team. Each board of education of a community school district shall convene its professional development team on or before October 1, except for the 1999-2000 school year when such team shall be convened by October 8, 1999. The board of education of the community school district shall permit its professional development team a period of at least 180 days to develop its recommendations for the professional development plan. Such team shall submit to the board its recommended professional development plan by a date specified by the board. Components of the plan not accepted by the board of education of the community school district shall be returned to the team for further consideration and submitted to the board by a date specified by the board. The board of education of the community school district may accept or reject the recommendations in whole or part. The board shall adopt final recommendations for the district's professional development plan for submission to the Chancellor. The Chancellor may accept or reject the recommendations of the board of education of the community school district in whole or part. Components of the plan not approved by the Chancellor shall be returned to the board of education of the community school district for further consideration. Any subsequent modification in the board's recommendation to the Chancellor shall be presented to the Chancellor on or before June 1, and the Chancellor shall act on the plan by June 30. The final determination on the content of the professional development plan shall be the determination of the Chancellor, in accordance with Education Law section 2590-h(14). In the event that the board of education of the community school district does not make a recommendation to the Chancellor by the date specified by the Chancellor, the Chancellor may promulgate a professional development plan without such recommendation.

(f) Each year, the Chancellor shall evaluate the effectiveness of the plan for each district. The Chancellor shall promulgate a multi-year or an annual plan for each district, provided that in the case of a multi-year plan for a high school division, special education division and the Chancellor's district, such district's professional development team shall be required to review the plan on an annual basis; and in the case of a multi-year plan for a community school district, the board of education of the community school district shall be required to review the plan on an annual basis in collaboration with its professional development team. Such districts shall submit to the Chancellor recommended revisions, if necessary. The Chancellor shall determine whether to approve the recommended revisions.

(4) Reporting requirement.

(i) Each year, the superintendent of a school district, the district superintendent of a BOCES, and in the case of the City School District of the City of New York, the Chancellor, shall be required to certify to the commissioner, in a form and on a timetable prescribed by the commissioner, that:

(a) the requirements of this subdivision to have a professional development plan for the succeeding school year have been met; and

(b) the school district or BOCES has complied with the professional development plan applicable to the current

school year.

(ii) The commissioner may request a copy of the professional development plan for review and may recommend changes to the plan to meet the learning needs of the students in the school district or BOCES.

(5) Notwithstanding the requirements of this subdivision, participation in professional development outside the regular school day or regularly scheduled working days of the school year shall be volitional for teachers, unless otherwise agreed upon as a term or condition of employment pursuant to collective bargaining under Article 14 of the Civil Service Law.

(6) Variance. A variance shall be granted from a requirement of this subdivision, upon a finding by the commissioner that a school district or BOCES has executed prior to October 7, 1999 an agreement negotiated pursuant to Article 14 of the Civil Service Law, whose terms continue in effect and are inconsistent with such requirement.

APPENDIX F
2015-2018 Educational Leadership Program Enhancement Project Application

Page 1 of 4

Memorandum of Agreement Between

(Name of Sponsoring Institution)

**and the participating partners for the
NYS Educational Leadership Program Enhancement Project**

This cooperative agreement reflects the overall commitment as well as the specific responsibilities and the roles of each of the partners participating in the Teacher/Leader Quality Partnership Program (TLQP) listed below to enhance the preparation of current and prospective teachers. The purpose of this partnership is to prepare and support educators to help all students achieve high standards of learning and development.

Institution of higher education and its school (or department) of education

Required Partner agrees to (Summarize the activities/services/etc. that the Partner will provide to and receive from the partnership.):

Institution Name _____

Signature _____ Date _____
(In blue ink)

Name and Title _____

Department/School of Arts and Sciences

Required Partner agrees to (Summarize the activities/services/etc. that the Department School of Arts and Sciences Partner will provide to and receive from the partnership.):

Institution Name _____

Signature _____ Date _____
(In blue ink)

Name and Title _____

High-Need Local Education Agency (See Definition in Appendix A and Instructions for Appendix B)

Required Partner agrees to (Summarize the activities/services/etc. that the School/School District will provide to and receive from the partnership.):

Name, Title, Organization _____

NYS School District Code # _____

- 1) As the School Principal or as the School District Administrator, I certify that this school meets the definition of a “high-need Local Education Agency” as defined in Section 2102(3) of the No Child Left Behind legislation (see Appendix A); or
- 2) As the School District Administrator, I certify that my District meets the definition of a “high-need Local Education Agency” as defined in Section 2102(3) of the No Child Left Behind legislation (see Appendix A).

Signature _____ Date _____
(In blue ink)

Additional Partner(s)
(Include one sheet for each partner)

Optional Partner(s) agrees to (Summarize the activities/services/etc. that the additional partner(s) will provide to and receive from the partnership.):

Name, Title, Organization _____

Signature _____ Date _____
(In blue ink)

Name and Title _____

**PROPOSAL REVIEW CRITERIA
TEACHER/LEADER QUALITY PARTNERSHIPS**

**EDUCATIONAL LEADERSHIP PROGRAM ENHANCEMENT PROJECT
2015-2018**

**MEETING THE LEADERSHIP EDUCATION NEEDS OF ELIGIBLE HIGH-NEED
SCHOOLS/DISTRICTS (Maximum 5 points)**

Institution Profile Form

Proposal includes fully complete Institution Profile Form (Attachment 1)

The proposal provides a clear detailed narrative outlining specific areas of expansion or enhancement to the current educational leadership program as they relate to the defined needs of partner schools/ districts. The proposal uses multiple data sources to define community needs, student achievement needs, anticipated administrative vacancies or gaps in candidate qualifications, and turnover of administrative staff in each partner school/district. The proposal provides a clear plan specifying how planned improvements in the current educational leadership program will meet the defined needs of the partner schools/district(s) to prepare highly effective building level leaders and increase student achievement. The proposal shows evidence of success of current or past collaborations between the IHE and partner schools/district as appropriate. **(2-5 points)**

Proposal provides a general plan to broadly meet the needs of partner schools/districts with some data to support needs. **(0-2 points)**

Proposal offers a general plan that is not aligned with the needs of partner schools/districts and provides little to no substantive data to evidence needs. **(0 points; 0 points if incomplete)**

**Total points for Meeting the Leadership Education Needs of Eligible High-Need
Schools/Districts / 5**

COMMENTS/CONCERNS:

PROGRAM PLAN (Maximum 65 points)

Course Descriptions/Sequence

All proposals must include as an attachment the planned course sequence and an outline for all courses leading to New York State School Building Leader Certification.

Quality Elements

Educational Leadership Program Enhancement Objectives and Key Strategies are to be considered in awarding points for the Program Plan section along with the narrative provided for each item (A-P). Relevant information/documentation contained within the required attachments should also be considered in awarding points. Reviewers should consider the characteristics listed in sections X, A-H, and XI, A-E A-D.

A. Focused on high quality teaching and improving student learning that incorporates activities and effective strategies that promote learning and future achievement for all students:

The proposal provides a detailed description of how the Educational Leadership Program prepares leaders who can establish student achievement as the primary focus of school improvement initiatives and identifies how effective strategies that promote learning and achievement for all students can become an ongoing focus of the school improvement process. (Attachment V Goal # 1, 2, 3) **(0-4 points)**

B. Aligned with research-based best practices: The proposal provides a detailed description of where and how research-based best practices will be incorporated within the Educational Leadership Program and how the program will stay informed on and committed to the latest research available on leadership theory and practice. (Attachment V Goal # 2, 4) **(0-4 points)**

C. Aligned with ISLLC Standards as the program foundation:

The proposal provides a detailed description of where and how ISLLC Standards have been incorporated into the Educational Leadership Program. (Attachment V Goal # 2, 5) **(0-4 points)**

D. Cooperatively developed and managed by the applicant IHE and partner school districts (LEAs):

The proposal provides a detailed description of how partners will be involved in the development of the Educational Leadership Program as it relates to ongoing course/syllabi refinement, determining the needs of school leaders and providing support to candidates. (Attachment V Goal # 3, 5) **(0-3 points)**

E. Integrated with the systemic reform efforts of New York State’s high-need schools and school districts:

The proposal provides a detailed description of how the Educational Leadership Program will enhance district/school improvement efforts related to targets for making Adequate Yearly Progress (AYP): (Attachment V Goal # 1, 2, 3, 4, 5) **(0-4 points)**

F. Provides for a full-time authentic, rigorous, clinical internship meeting the requirements for NYS certification as a School Building Leader:

The proposal provides a detailed description to substantiate that the clinical internship will be rigorous, provide authentic leadership experiences, be full time and focused on student learning. (Attachment V Goal # 1, 3) **(0-14 points)**

G. Integrates theoretical and practical knowledge throughout all learning experiences:

The proposal includes a detailed description of where and how “real-world” and “problem-based” realities of leadership are embedded within the Educational Leadership Program. (Attachment V Goal # 1, 2, 4, 5) **(0-4 points)**

H. Uses authentic measures to assess program candidates:

The proposal includes a detailed description of the criteria and methodologies that will be used to determine the degree to which candidates are developing the skills necessary to make a positive difference as school leaders. (Attachment V Goal # 3) **(0-4 points)**

I. Has faculty committed to and capable of delivering the program:

The proposal includes a detailed description of the expectations regarding faculty commitment to the Educational Leadership Program and how the effectiveness of faculty will be assessed. (Attachment V Goal # 2, 4, 5) **(0-3 points)**

J. Includes proactive recruitment activities:

The proposal includes a detailed description of how highly qualified candidates for the Educational Leadership Program will be recruited. (Attachment V Goal # 1) **(0-3 points)**

K. Bases selection of candidates on demonstrated success:

The proposal includes a detailed description of how the selection process will ensure that highly committed, successful teachers who possess the dispositions of school leaders outlined in the ISLLC Standards will be selected for the Educational Leadership Program. (Attachment V Goal # 3) **(0-3 points)**

L. Ensures meaningful and active practitioner partnerships working closely

with dedicated program faculty:

The proposal includes a detailed description of the scope and extent of involvement by the high need school and/or district indicating the project's capability for improving teaching and learning in partner schools through enhanced leadership development; and, the scope and extent of involvement by the School of Arts and Sciences partner as it relates understanding and strengthening the role of leadership in the school improvement process; and, a description of the scope and extent of involvement by any other partners. (Attachment V Goal # 3, 4, 5) **(0-3 points)**

M.Plans for sustainability of successful elements:

The proposal includes a detailed description of the strategies that will be used to help ensure that enhancements to the Educational Leadership Program derived from this award will continue beyond the funding period. (Attachment V Goal # 5) **(0-3 points)**

N. Evaluated using a variety of performance indicators and actively uses program evaluation data to improve the program:

The proposal includes a detailed description of how the efficacy of this project will be evaluated including who will be charged with reviewing data and how program modification or mid-course corrections will be made to attain the stated goals. (Attachment V Goal # 5) **(0-3 points)**

O.Promotes supportive learning structures for participants:

The proposal includes a detailed description of how Educational Leadership Program participants will be supported to ensure their success in gaining the skills and dispositions necessary to provide outstanding leadership in high need schools. (Attachment V Goal # 1, 2, 4) **(0-3 points)**

P. Is committed to sharing best practices with the field:

The proposal includes a detailed description of the plan for disseminating and publishing best practices and lessons learned. (Attachment V Goal # 2, 4) **(0-3 points)**

Total points for Program Plan _____ / 65

COMMENTS/CONCERNS:

PROJECT STAFFING AND MANAGEMENT (Maximum 5 points)

Assign **one point for each area** addressed in the proposal (check all that apply):

- A description is provided of all professional staff positions that will be assigned directly to the project.
- A description is provided for a management plan that will assure the effective completion of project activities.
- A list is provided of all full-time and part-time instructors and other professionals to be assigned to the project, as well as résumés for each person listed.
- An organizational chart is provided that indicates the reporting lines within the project for the project director and all other project staff.
- An organizational chart is provided that indicates the structure and position of the project within the host institution.

Total points for Project Staffing and Management _____ / 5

COMMENTS/CONCERNS:

BUDGET AND BUDGET NARRATIVE (Maximum 25 points)

Budget Narrative/Budget (not applicable for for-profit applicants)

Award points for each item (1-4 below) based on whether the criteria is fully or partially met consistently throughout the Budget or Budget Narrative, and list under “Comments/Concerns” the numbers of the criteria that either are met only partially or are not met at all.

1. Budget Narrative expenditure descriptions follow the sequence of categories and code numbers given on the Educational Leadership Program Enhancement/TLQP 2012/2013 Proposed Budget form. **(0-2 points)**
2. Budget Narrative makes clear how proposed expenditures are justified by the nature of the project or by special circumstances surrounding the proposed expenditure (e.g., the special expertise of a particular speaker or trainer, or the general high costs in the geographical location of the project). This should be assigned most of the points – maybe **(0- 10 points)**
3. In other categories, the Budget Narrative provides details that make clear the nature of each expenditure (e.g., instead of saying simply “Supplies,” it indicates the kind of supplies and their purpose—as in “test tubes and chemicals for monthly chemistry workshops”—or, instead of saying simply “Travel,” it indicates who will be traveling, the destination or purpose of the trip, and the kind of vehicle to be used). Narrative identifies the salaried positions— giving the position title, anticipated salary amount, and expected time contribution. Narrative identifies consultants included in the Purchased Services category, their name and their per diem, weekly, or hourly rate. **(0-10 points)**
4. Budget Narrative clearly indicates the basis of calculation for each proposed expenditure (e.g., 50 books at \$10.50 per book; eight bus trips at \$350 per round trip; monthly mailing to participants at \$100 per mailing). **(0-3 points)**

Budget Narrative/Budget _____ / 25

COMMENTS/CONCERNS:

Scoring

**Meeting the leadership education needs
of eligible high-need schools/districts**

() out of 5

Program Plan () out of 65

Project Staffing and Management () out of 5

Budget/Budget Narrative (Not-for-profits Only) () out of 25

Total Score: () out of 100*

*out of 75 for for-profit applicants

Additional Comments: