



2017 – 2021 NYS Smart Transfer Early College High School (ECHS) Program Information Webinar April 11, 2017

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Welcome to the information webinar for the 2017 – 2021 funding opportunity for the New York State Smart Transfer Early College High School Program.

This webinar will highlight components of the Smart Transfer Early College High School Program application. These and all other components are fully addressed in NYSED's Request for Proposals (RFP) for the Smart Transfer ECHS Program, which is available on the [NYSED ECHS webpage](#).

Purpose of the Smart Transfer ECHS Grant Program

- ▶ The New York State Education Department (NYSED) seeks to increase the number of students who graduate from high school and complete a bachelor's degree – especially students from groups historically underrepresented in postsecondary education and/or economically disadvantaged– through the creation of **Smart Transfer Early College High School Partnerships (ST-ECHS)**.
- ▶ The Smart Transfer ECHS program expands the opportunities of the existing NYS Smart Scholars ECHS program in which students receive the support to graduate high school with a Regents diploma and at least 24 and up to 60 transferrable college credits or an associate degree, at no cost to their families.
- ▶ In the Smart Transfer ECHS Program, all students will be able – and expected – to earn 60 transferrable college credits or an associate degree at no cost. Graduates who meet this goal may enroll at a partner four-year institution of higher education (IHE) at which they will receive the support to complete a bachelor's degree within two years of matriculating at the four-year IHE.

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This slide explains the purpose of the Smart Transfer Early College High School Grant Program.

- The New York State Education Department seeks to increase the number of students who graduate from high school and complete a bachelor's degree – especially students from groups historically underrepresented in postsecondary education and/or economically disadvantaged – through the creation of Smart Transfer Early College High School Partnerships (abbreviated ST-ECHS).
- The Smart Transfer ECHS program expands the opportunities of the existing New York State Smart Scholars ECHS program in which students receive the support to graduate high school with a Regents diploma and at least 24 and up to 60 transferable college credits or an associate degree, at no cost to their families.
- In the Smart Transfer ECHS Program, all students will have the opportunity - and expected – to earn 60 transferable college credits or an associate degree within four years of high school, at no cost. Graduates who meet this goal may enroll at a partner four-year institution of higher education (IHE) at which they will receive the support to complete a bachelor's degree within two years of matriculating at the four-year IHE.

Scope of Services

- ▶ Eligible students will be provided a high school curriculum whose core high school courses are aligned with the partner IHE's introductory level courses, and additional academic and counseling support in 9th through 12th grade to ensure that they are ready to participate in rigorous collegiate courses offered in the ECHS.
- ▶ Eligible students, in Grades 9–12, will be provided college courses in degree pathways to earn 60 transferable college credits or an associate degree from a partner IHE by the time they graduate from high school while also meeting the high school graduation/Regents diploma requirements.

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The next two slides describe the scope of services to be provided by the Smart Transfer ECHS Program. This is Section III of the RFP, page 10.

The state-wide purposes of the New York State Smart Transfer Early College High School Program are to increase the number of students who complete a bachelor's degree without the need for remedial courses, especially among eligible students who are historically underrepresented, and/or economically disadvantaged.

There are three critical objectives of the New York State Smart Transfer Early College High School Program:

- The first objective is that eligible students will be provided a high school curriculum whose core high school courses are aligned with the partner IHE's introductory level courses, and additional academic and counseling support in 9th through 12th grade to ensure that the students are ready to participate in rigorous collegiate courses offered in the ECHS.
- The second objective is that eligible students, in Grades 9-12, will be provided college courses in degree pathways to earn 60 transferable college credits or an associate degree from a partner IHE by the time they graduate from high school while also meeting the high school graduation/Regents diploma requirements.

Scope of Services *continued*

- ▶ The courses provided to Smart Transfer ECHS students articulate with general education requirements and degree pathways at the partner four-year IHE so that students who graduate with 60 transferable college credits or an associate degree will be able to complete a bachelor's degree at the partner four-year IHE within two years of matriculation at that institution.

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The third objective is that:

- The courses provided to Smart Transfer ECHS students articulate with general education requirements and degree pathways at the partner four-year IHE so that students who graduate from the ST ECHS with 60 transferable college credits or an associate degree will be able to complete a bachelor's degree at the partner four-year IHE within two years of matriculation at that institution.

Detailed Requirements/Specifications for NYS Smart Transfer ECHS Programs

Section IV of the RFP (pages 10 – 12) details the program requirements and specifications for the Smart Transfer ECHS Program.

- Each ST-ECHS project must adhere to the nineteen (19) program requirements outlined in this section of the RFP.
- All applicants should make sure their proposals address each of the requirements.

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Section IV of the RFP (pages 10 – 12) details the program requirements and specifications for the Smart Transfer ECHS Program.

- Each ST-ECHS project must adhere to the nineteen (19) program requirements outlined in this section of the RFP.
- All applicants should make sure their proposals address each of the requirements.

Priority Features That Can Earn Bonus Points

Applications for which . . .

- ▶ The partner school district from which the majority of the students are enrolled (i.e., 51% or more of the students) is a Focus district as defined in Section II (page 9) of the RFP – **earn 5 bonus points**
 - The list of Focus districts is provided on the [NYSED website](#)
- ▶ The partnership is an existing Smart Scholars ECHS that can demonstrate its graduates have earned an average of 24 or more college credits for at least 2 years prior to September 1, 2016 – **earn 5 bonus points**
- ▶ Applicants must submit Attachment VIII to qualify for these bonus points.

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This slide outlines the two ways for a Smart Transfer ECHS proposal to earn bonus points.

NYSED will give priority, by the assigning of bonus points, to proposals that include one or both of the following elements.

Applications for which . . .

- ▶ The partner school district from which the majority of the students are enrolled (i.e., 51% or more of the students) is a Focus district as defined in Section II (page 9) of the RFP - **will be awarded 5 bonus points**
 - The list of Focus districts is provided on the [NYSED website](#)

...and applications for which

- ▶ The partnership is an existing Smart Scholars ECHS that can demonstrate its graduates have earned an average of 24 or more college credits for at least 2 years prior to September 1, 2016 – **will be awarded 5 bonus points**
- ▶ Applicants must submit Attachment VIII to qualify for these bonus points.

Location of the ECHS

- The location of the ST-ECHS in relation to the partner IHE(s) will influence the assignment of points in the Program Location section of the proposal narrative.
- The national Early College High School Initiative has found that the experience of attending classes and other activities on a college campus significantly contributes to developing students' identity as college goers. They refer to this phenomenon as **"the power of place"**. (See the [Jobs for the Future website](#) for further details.)
- For ST-ECHSs not located directly on the partner IHE's campus, NYSED requires that the applicants provide all students with at least three college courses on the partner IHE campus, and encourages applicants to hold a significant number of classes and/or activities on the partner IHE campus
- ST-ECHSs not located on a partner IHE campus must be located no more than a 45 minute driving distance from the IHE campus.

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This slide highlights the importance of the location of the early college high school.

- The location of the ST-ECHS in relation to the partner IHE(s) will influence the assignment of points in the Program Location section of the proposal narrative.
- The national Early College High School Initiative has found that the experience of attending classes and other activities on a college campus significantly contributes to developing students' identity as college goers. They refer to this phenomenon as **"the power of place"**. (See the [Jobs for the Future website](#) for further details.)
- For ST-ECHSs not located directly on the partner IHE's campus, NYSED requires that the applicants provide all students with at least three college courses on the partner IHE campus, and encourages applicants to hold a significant number of classes and/or activities on the partner IHE campus
- ST-ECHSs not located on a partner IHE campus must be located no more than a 45 minute driving distance from the IHE campus.

Performance Standards

- ▶ Performance Standards for the Smart Transfer ECHS grant program are outlined in Section V of the RFP (pages 13 – 14).
 - Standards that have consequences for not being met are highlighted in this webinar.
 - Applicants should review all standards outlined in the RFP.
- ▶ During the implementation years, projects that do not meet 95% of their enrollment targets will have their funding for that grant year reduced by the same percentage as they fall short of their enrollment target.
- ▶ A portion of project funds may be withheld contingent upon timely expenditure and performance reporting and adequate student progress.
- ▶ Penalties may result from projects not meeting college credit attainment goals.

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- Performance Standards for the Smart Transfer ECHS grant program are outlined in Section V of the RFP (pages 13 – 14).
 - Standards that have consequences for not being met are highlighted in this webinar.

The following five slides review the consequences for not meeting performance standards

- Applicants should review all standards outlined in the RFP.
- During the implementation years, projects that do not meet 95% of their enrollment targets will have their funding for that grant year reduced by the same percentage as they fall short of their enrollment target.
- A portion of project funds may be withheld contingent upon timely expenditure and performance reporting and adequate student progress.
- Penalties may result from projects not meeting college credit attainment goals.

Setting College Credit Accumulation Targets

NYSED's goal for the Smart Transfer ECHS program is to have 100% of ST-ECHS students graduate with at least 60 non-remedial college credits or an associate degree.

- Programs will use the College Credit Accumulation Plan (Attachment VII) to indicate the target average number of transferable college credits their students will earn at each grade level, and the target average cumulative number of transferable college credits their students will have earned by the end of each grade level.

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NYSED's goal for the Smart Transfer ECHS program is to have 100% of ST-ECHS students graduate with at least 60 non-remedial college credits or an associate degree.

- Programs will use the College Credit Accumulation Plan (provided with the RFP as Attachment VII) to indicate the target average number of transferable college credits their students will earn at each grade level, and the target average cumulative number of transferable college credits their students will have earned by the end of each grade level.
- This plan should illustrate how students will earn at least 60 transferable college credits by the end of their senior year.

Consequences for Not Meeting College Credit Accumulation Targets

- ▶ At the end of each project year, grantees for whom less than 75% of their 9th graders earned their target number of college credits will receive a warning that they may face a financial penalty in future project periods if at least 75% of their 10th, 11th, and 12th grade students do not earn the target cumulative number of college credits for their respective grade level.
- Grantees who receive this warning will also be required to include a plan for addressing students' college credit deficiencies in their end of year project reports.

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At the end of each project year, grantees for whom less than 75% of their 9th graders earned their target number of college credits will receive a warning that they may face a financial penalty in future project periods if at least 75% of their 10th, 11th, and 12th grade students do not earn the target cumulative number of college credits for their respective grade level.

- Grantees who receive this warning will also be required to include a plan for addressing students' college credit deficiencies in their end of year project reports.

Consequences for Not Meeting College Credit Accumulation Targets *continued*

- ▶ In project years following the first implementation period, grantees for whom less than 75% of their 10th, 11th, and 12th grade students have earned their respective target cumulative number of college credits will be penalized as follows:
 - The number of college credits by which each 10th, 11th, and/or 12th grade student misses earning his/her respective target cumulative number of credits for his/her respective grade level will be added together, and the resulting sum will be multiplied by \$50. The resulting product amount will be deducted from the grantee's final grant payment for that project year.

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- In project years following the first implementation period, grantees for whom less than 75% of their 10th, 11th, and 12th grade students have earned their respective target cumulative number of college credits will be penalized as follows:
 - The number of college credits by which each 10th, 11th, and/or 12th grade student misses earning his/her respective target cumulative number of credits for his/her respective grade level will be added together, and the resulting sum will be multiplied by \$50. The resulting product amount will be deducted from the grantee's final grant payment for that project year.

Consequences for Not Meeting College Credit Accumulation Targets *continued*

- The grantee will also be required to include a plan for addressing their 9th through 11th graders' college credit deficiencies to bring them on track for earning 60 transferable college credits by the end of their senior year.

The RFP provides an example of how a warning and financial penalties would be implemented if less than 75% of a grantee's students earn their target cumulative credits in any implementation period.

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- The grantee will also be required to include a plan for addressing their 9th through 11th graders' college credit deficiencies to bring them on track for earning 60 transferable college credits by the end of their senior year.
- The RFP provides an example of how a warning and financial penalties would be implemented if less than 75% of a grantee's students earn their target cumulative credits in any implementation period.

Applicant and Partnership Qualifications for a NYS Smart Transfer ECHS

Section VI of the RFP (pages 14 – 19) outlines applicant and partnership qualifications. Eligible applicants will be New York State public school districts (“school districts”) or IHEs currently serving as the fiscal agent in Smart Scholars existing ECHS partnerships, applying on behalf of a partnership, which must include K-12 and IHE partners as follows:

- **K-12:** A single school district, a consortium of school districts, a BOCES, or any combination of these entities. In all cases, the ST ECHS must be located at one common site. A school district must serve as the applicant/fiscal agent. The exception is existing Smart Scholars ECHS partnerships where an IHE has served as the lead fiscal agent, and the school district agrees to continue that arrangement.

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The following seven slides review applicant and partnership qualifications.

Section VI of the RFP (pages 14 – 19) outlines applicant and partnership qualifications. Eligible applicants will be New York State public school districts (“school districts”) or IHEs currently serving as the fiscal agent in existing Smart Scholars ECHS partnerships, applying on behalf of a partnership, which must include K-12 and IHE partners as follows:

- K-12 partners may include: A single school district, a consortium of school districts, a BOCES, or any combination of these entities. In all cases, the ST ECHS must be located at one common site. A school district must serve as the applicant/fiscal agent. The exception is existing Smart Scholars ECHS partnerships where an IHE has served as the lead fiscal agent, and the school district agrees to continue that arrangement.

Applicant and Partnership Qualifications for a NYS Smart Transfer ECHS *continued*

- Public charter schools and non-public schools are not eligible to apply for these funds or participate in this program.
- Individual school buildings may not apply for this grant.
- A public school district may not apply for NYS ST-ECHS Program funds to support:
 - a) A currently funded NYS P-TECH program
 - b) A new or existing ECHS that is not partnered with a four-year IHE and/or that does not provide students the opportunity to earn 60 college credits or an associate degree
 - c) A potential new six-year P-TECH model program, or
 - d) Another similar program supported in whole or in part by NYS funds

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- Public charter schools and non-public schools are not eligible to apply for these funds or participate in this program.
- Individual school buildings may not apply for this grant.
- A public school district may not apply for NYS ST-ECHS Program funds to support:
 - a) A currently funded NYS P-TECH program
 - b) A new or existing ECHS that is not partnered with a four-year IHE and/or that does not provide students the opportunity to earn 60 college credits or an associate degree
 - c) A potential new six-year P-TECH model program, or
 - d) Another similar program supported in whole or in part by New York State funds

Applicant and Partnership Qualifications *continued*

- ▶ **Institutions of Higher Education (IHEs):** An eligible IHE is a New York State, two- or four-year college or university that is:
 - Recognized by the United States Department of Education (USDE),
 - Accredited by an appropriate accrediting body, and
 - Offers academic programs registered by the New York State Education Department, Office of College and University Evaluation (as listed on the [NYSED website](#))

NOTE:

- ▶ **At least one four-year IHE must be a member of this partnership.** If the four-year IHE awards the 60 college credits and/or associate degree, a two-year IHE partner is not required.
- ▶ For-profit institutions of higher education are not eligible to serve as a higher education partner.

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- **Institutions of Higher Education (IHEs) partners may include:** An eligible IHE is a New York State, two- or four-year college or university that is:
 - Recognized by the United States Department of Education (USDE),
 - Accredited by an appropriate accrediting body, and
 - Offers academic programs registered by the New York State Education Department, Office of College and University Evaluation (listed on the [NYSED website](#))

NOTE:

- **At least one four-year IHE must be a member of this partnership.** If the four-year IHE awards the 60 college credits and/or associate degree, a two-year IHE partner is not required.
- For-profit institutions of higher education are not eligible to serve as a higher education partner.

Applicant and Partnership Qualifications *continued*

Implementation Lead:

- Each partnership will designate one partner as the implementation lead in the MOU.
- The implementation lead entity may be a K-12 or higher education partner.
- The implementation lead shall be the partner that is responsible for coordinating and overseeing the planning and implementation of the program.
- The implementation lead need not be the same as the school district (or, as may be the case of an existing Smart Scholars ECHS, the IHE) serving as fiscal agent/applicant. A school district, a BOCES, a community college partner, or a four-year IHE partner may serve as lead implementing partner. CBOs and businesses may not serve as the implementation lead.

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The next two slides explain the Implementation Lead

Each partnership will designate one partner as the implementation lead in the Memorandum of Understanding (MOU).

- The implementation lead entity may be a K-12 or higher education partner.
- The implementation lead shall be the partner that is responsible for coordinating and overseeing the planning and implementation of the program.
- The implementation lead need not be the same as the school district (or, as may be the case of an existing Smart Scholars ECHS, the IHE) serving as fiscal agent/applicant. A school district, a BOCES, a community college partner, or a four-year IHE partner may serve as lead implementing partner. Community Based Organizations and businesses may not serve as the implementation lead.

Applicant and Partnership Qualifications *continued*

Implementation Lead *continued*

- ▶ The implementation lead must meet the following requirements:
 - Must be recognized in the MOU by all partners as the lead agency
 - Must identify key existing staff to coordinate planning and operations
 - Must convene all partners, coordinate the planning process, and oversee student and staff recruitment and program implementation.

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The implementation lead must meet the following requirements:

- Must be recognized in the MOU by all partners as the lead agency
- Must identify key existing staff to coordinate planning and operations
- Must convene all partners, coordinate the planning process, and oversee student and staff recruitment and program implementation.

Applicant and Partnership Qualifications *continued*

Collaborators

- ▶ An eligible partnership may also include as collaborators one or more local 501(c) 3 community-based organizations (CBOs) or New York State businesses. However, neither of these two types of entities is eligible to apply as a lead fiscal agency or lead implementation partner under this RFP.
- ▶ Both CBOs and businesses are subject to the 25% subcontracting limitation.

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This slide explains how collaborators may be involved with a Smart Transfer ECHS Program.

- An eligible partnership may also include as collaborators one or more local 501(c) 3 community-based organizations (CBOs) or New York State businesses. However, neither of these two types of entities is eligible to apply as a lead fiscal agency or lead implementation partner under this RFP.
- Both CBOs and businesses are subject to the 25% subcontracting limitation.

Responsibilities of ST-ECHS Partners

- ▶ Each of the NYS ST-ECHS partners (K-12 and IHE) has specific responsibilities to their ST-ECHS project as outlined on pages 16 – 18 in the **Responsibilities of Partners** section of the RFP.
- ▶ These minimum requirements are also outlined in the sample Memorandum of Understanding (MOU) (Attachment V of the RFP). The MOU that must be signed by all partners and included with the application must include these minimum requirements. Additional responsibilities as determined by the partners may be added to the MOU.

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This slide notes that:

- Each of the NYS ST-ECHS partners (K-12 and IHE) has specific responsibilities to their ST-ECHS project as outlined on pages 16 – 18 in the **Responsibilities of Partners** section of the RFP.
- These minimum requirements are also outlined in the sample Memorandum of Understanding (MOU) (Attachment V of the RFP). The MOU that must be signed by all partners and included with the application must include these minimum requirements. Additional responsibilities as determined by the partners may be added to the MOU.

Anticipated Start Date and Term of Grant

- ▶ ST-ECHSs funded through this grant program whether pre-existing ECHSs or new will be allowed a five-month planning phase from August 1, 2017 through December 31, 2017.
- ▶ It is anticipated that there will be four (4) additional project periods, contingent on availability of funds:
 - Project Period 2 – January 1, 2018 – June 30, 2018
 - Project Period 3 – July 1, 2018 – June 30, 2019
 - Project Period 4 – July 1, 2019 – June 30, 2020
 - Project Period 5 – July 1, 2020 – June 30, 2021

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This slide outlines the five grant periods in the four-year grant cycle. This information is found in Section VIII, page 20 of the RFP.

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- It is anticipated that there will be four (4) additional project periods, contingent on availability of funds:
 - Project Period 2 – January 1, 2018 – June 30, 2018
 - Project Period 3 – July 1, 2018 – June 30, 2019
 - Project Period 4 – July 1, 2019 – June 30, 2020
 - Project Period 5 – July 1, 2020 – June 30, 2021

Distribution of Awards

Awards will be prioritized as follows:

- ▶ New York State is divided into ten Regents Higher Education Regions (found on the [NYSED website](#)). Awards will first be made to the highest scoring application that meets the minimum scoring threshold (60 points) in each of the 10 Regents regions (one award to each region).
- ▶ Proposals from partnerships whose target enrollment includes at least 51% of their students from Focus school districts, and proposals from pre-existing Smart Scholars ECHSs will receive bonus points as outlined in this RFP. Bonus points will be considered after the proposal meets the minimum scoring threshold.
- ▶ In the event that there is not an eligible partnership to be funded in one or more regions, those funds will be awarded in the statewide ranking.
- ▶ The remaining grants will be awarded to the highest scoring eligible proposals in a statewide ranking until there are no fundable applications remaining or until the multi-year amount of funding is exhausted.

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This next slide outlines how the ST-ECHS awards will be distributed. This information is found in Section IX of the RFP (pages 20 – 21).

Awards will be prioritized as follows:

- New York State is divided into ten Regents Higher Education Regions (found on the [NYSED website](#)). Awards will first be made to the highest scoring application that meets the minimum scoring threshold (60 points) in each of the 10 Regents regions (one award to each region).
- Proposals from partnerships whose target enrollment includes at least 51% of their students from Focus school districts, and proposals from pre-existing Smart Scholars ECHSs will receive bonus points as outlined in this RFP. Bonus points will be considered after the proposal meets the minimum scoring threshold.
- In the event that there is not an eligible partnership to be funded in one or more regions, those funds will be awarded in the statewide ranking.
- The remaining grants will be awarded to the highest scoring eligible proposals in a statewide ranking until there are no fundable applications remaining or until the multi-year amount of funding is exhausted.

Project Funding

- ▶ A total of \$15.0 million will be available over the four-year grant cycle that includes five grant periods, contingent on availability of funds after the first two grant periods (first year).
- ▶ The maximum planning phase award for each grantee is \$75,750.
 - A portion of this amount may be used to support summer programming and other activities to orient the students prior to the first implementation period.
- ▶ The distribution of funds for the four implementation periods will be based on the number of students enrolled in the ST-ECHS, at a rate of \$3,165 per student.

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The next three slides address project funding. The project funding is described in Section X of the RFP, on pages 21 – 22.

- ▶ A total of \$15.0 million will be available over the four-year grant cycle that includes five grant periods, contingent on availability of funds after the first two grant periods (first year).
- ▶ The maximum planning phase award for each grantee is \$75,750.
 - A portion of this amount may be used to support summer programming and other activities to orient the students prior to the first implementation period.
- ▶ The distribution of funds for the four implementation periods will be based on the number of students enrolled in the ST-ECHS, at a rate of \$3,165 per student.

Project Funding *continued*

- ▶ The ST-ECHS must enroll a minimum of 25 students per grade level.
- ▶ To ensure that all students receive adequate support to graduate with 60 transferable college credits or an associate degree, NYSED will award grants to new projects that enroll a maximum of 45 students per grade level.
 - Applicants that are existing ECHS partnerships may present their case for a larger program size. If they propose enrollments that exceed 45 students per grade level, their proposals will be reviewed carefully for evidence that the project can meet the goal of 100% of its graduates earning 60 college credits or an associate degree. Regardless of program size, the maximum funding amount will remain based on the amounts for 45 students per grade level.

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- ▶ The ST-ECHS must enroll a minimum of 25 students per grade level.
- ▶ To ensure that all students receive adequate support to graduate with 60 transferable college credits or an associate degree, NYSED will award grants to new projects that enroll a maximum of 45 students per grade level.
 - Applicants that are existing ECHS partnerships may present their case for a larger program size. If they propose enrollments that exceed 45 students per grade level, their proposals will be reviewed carefully for evidence that the project can meet the goal of 100% of its graduates earning 60 college credits or an associate degree. Regardless of program size, the maximum funding amount will remain based on the amounts for 45 students per grade level.

Project Funding *continued*

- It is expected that each project would receive the same award (\$75,750) for the planning phase. The subsequent award amounts depend upon the annual growth of the project based upon the adding of another grade level to the ST-ECHS.
 - The minimum total award amount (5 project periods) would be set at \$867,000, based on 25 students per grade level.
 - The maximum total award amount (5 project periods) would be set at \$1,500,000, based on an enrollment of 45 students per grade level.

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- It is expected that each project would receive the same award (\$75,750) for the planning phase. The subsequent award amounts depend upon the annual growth of the project based upon the adding of another grade level to the ST-ECHS.
 - The minimum total award amount (for 5 project periods) would be set at \$867,000, based on 25 students per grade level.
 - The maximum total award amount (for 5 project periods) would be set at \$1,500,000, based on an enrollment of 45 students per grade level.

Prequalification Requirement

- ▶ 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.
 - Public school districts serving as the lead applicant/fiscal agent are not required to prequalify.
 - Only any non-profit IHE applicants serving as the applicant/fiscal agent are required to prequalify by the application deadline. Information on these initiatives can be found on the [Grants Reform website](#).

Proposals received from not-for-profit applicants that have not Registered and are not Prequalified in the Grants Gateway by 5:00 PM on the proposal due date of 5/9/2017 cannot be evaluated. Such proposals will be disqualified from further consideration.

A summary of the steps that must be completed to meet registration and prequalification requirements is provided on pages 24 – 25 of the RFP. The [Vendor Prequalification Manual](#) on the Grants Reform Website details the requirements and an [online tutorial](#) is available to walk users through the process.

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This slide highlights the prequalification requirement for not-for-profits.

- 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.
 - Public school districts serving as the lead applicant/fiscal agent are not required to prequalify.
 - Only any non-profit IHE applicants serving as the applicant/fiscal agent are required to prequalify by the application deadline. Information on these initiatives can be found on the [Grants Reform website](#).
- **Proposals received from not-for-profit applicants that have not Registered and are not Prequalified in the Grants Gateway by 5:00 PM on the proposal due date of 5/9/2017 cannot be evaluated. Such proposals will be disqualified from further consideration.**
- A summary of the steps that must be completed to meet registration and prequalification requirements is provided on pages 24 – 25 of the RFP. The [Vendor Prequalification Manual](#) on the Grants Reform Website details the requirements and an [online tutorial](#) is available to walk users through the process.

Minority and Women Owned Business Enterprise (M/WBE) Participation

- ▶ **The M/WBE participation goal for this grant is 30% of each applicant's total discretionary non-personal service budget over the entire term of the grant.**
 - Discretionary non-personal service budget is defined as total budget, excluding the sum of funds budgeted for:
 1. direct personal services (i.e., professional and support staff salaries) and fringe benefits;
 2. rent, lease, utilities and indirect costs for the lead applicant only if these items are allowable expenditures and
 3. Any portion of purchased services used for student tuition
- ▶ Section XIV of the RFP (pages 25 – 28) provides information on M/WBE and the three methods of compliance.

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This slide addresses the Minority and Women-Owned Business Enterprise Participation Requirement.

The M/WBE participation goal for this grant is 30% of each applicant's total discretionary non-personal service budget over the entire term of the grant.

Discretionary non-personal service budget is defined as total budget, excluding the sum of funds budgeted for:

1. direct personal services (i.e., professional and support staff salaries) and fringe benefits;
2. rent, lease, utilities and indirect costs for the lead applicant only if these items are allowable expenditures and
3. Any portion of purchased services used for student tuition

Section XIV of the RFP (pages 25 – 28) provides information on M/WBE and the three methods of compliance.

Smart Transfer ECHS Program Accountability

- ▶ Partnerships will be required to collaborate to collect and submit data for evaluation of the NYS ST-ECHS Program.
 - Partnerships will need to maintain student-level, disaggregated data, including students' NYSSIS IDs, demographics, college credit accumulation, etc.
 - Outcomes data for ST-ECHS graduates after they matriculate at a partner IHE must also be maintained.
 - Failure to comply with reporting requirements may result in the termination of the grant.
 - Section XVI of the RFP, Required Reports (pages 29 – 31) provides more details on the required reporting.

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This slide addresses Accountability for the Smart Transfer ECHS Program.

- Partnerships will be required to collaborate to collect and submit data for evaluation of the NYS ST-ECHS Program.
 - Partnerships will need to maintain student-level, disaggregated data, including students' NYSSIS IDs, demographics, college credit accumulation, etc.
 - Outcomes data for ST-ECHS graduates after they matriculate at a partner IHE must also be maintained.
 - Failure to comply with reporting requirements may result in the termination of the grant.
 - Section XVI of the RFP, Required Reports (pages 29 – 31) provides more details on the required reporting.

Eligible Activities/Allowable Costs – Pre-Opening Planning Phase

- Hiring a Smart Transfer ECHS program director/leader/principal
- Establishing a staffing plan and hiring staff
- Developing a budget and business plan
- Establishing a suitable site/facility for the school/program

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The following eight slides outline the eligible activities and allowable costs for the Smart Transfer ECHS Program. These are addressed in Section XXIII, pages 35 – 37 of the RFP.

Grant funds may support the following activities during the Planning Phase:

- Hiring a Smart Transfer ECHS program director/leader/principal
- Establishing a staffing plan and hiring staff
- Developing a budget and business plan
- Establishing a suitable site/facility for the school/program

Eligible Activities/ Allowable Costs – Pre-Opening Planning Phase *continued*

- Engaging the K-12 and IHE faculty and staff to design an aligned curriculum and standards and a sequence of courses (the four--year scope and sequence) that begin at the 9th grade level and allow students to earn 60 transferable college credits or an associate degree that articulates with the general education requirements and one to four of the partner four-year IHE's bachelor's degree programs, while completing high school and required Regents exams
- Conducting outreach activities to and education of staff and families at middle schools
- Conducting outreach activities to community-based organizations that support the target population, and in recruiting students who are traditionally underrepresented in postsecondary education and/or economically disadvantaged

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- Engaging the K-12 and IHE faculty and staff to design an aligned curriculum and standards and a sequence of courses (the four--year scope and sequence) that begin at the 9th grade level and allow students to earn 60 transferable college credits or an associate degree that articulates with the general education requirements and one to four of the partner four-year IHE's bachelor's degree programs, while completing high school and required Regents exams
- Conducting outreach activities to and education of staff and families at middle schools
- Conducting outreach activities to community-based organizations that support the target population, and in recruiting students who are traditionally underrepresented in postsecondary education and/or economically disadvantaged

Eligible Activities/ Allowable Costs – Pre-Opening Planning Phase *continued*

- Planning student recruitment and selection criteria and strategies, as well as community education and engagement, consistent with the goals of this initiative
- Coordinating high school and college faculty, support services, calendars, and transportation and establishing on-going governance structures
- Developing assessment tools and instruments. This will include a plan for using results of the assessment process to evaluate student college-readiness, student outcomes and program success, as well as improvements needed, and to refine the assessment model throughout the progressive development of the ST-ECHS

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- Planning student recruitment and selection criteria and strategies, as well as community education and engagement, consistent with the goals of this initiative
- Coordinating high school and college faculty, support services, calendars, and transportation and establishing on-going governance structures
- Developing assessment tools and instruments. This will include a plan for using results of the assessment process to evaluate student college-readiness, student outcomes and program success, as well as improvements needed, and to refine the assessment model throughout the progressive development of the ST-ECHS

Eligible Activities/ Allowable Costs – Pre-Opening Planning Phase *continued*

- Developing a college going culture
- Conducting a summer program and other orientation and guidance activities for the first cohort of 9th grade students.
 - Note that all projects are required to offer all students at least one summer program experience on the IHE partner's campus before students take college courses on the IHE partner campus. (See details in Section IV Detailed Requirements/Specifications #5, page 11, and Proposal Narrative Section 5 Support Structures, page 45)

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➤ Developing a college going culture

➤ Conducting a summer program and other orientation and guidance activities for the first cohort of 9th grade students. Since the planning phase extends into the school year, implementation activities may also be conducted during this first project period.

- Note that all projects are required to offer all students at least one summer program experience on the IHE partner's campus before students take college courses on the IHE partner's campus. (See details in Section IV Detailed Requirements/Specifications #5, page 11, and Proposal Narrative Section 5 Support Structures, page 45)

Eligible Activities / Allowable Cost – Implementation

- Academic and support services (e.g., counseling staff, advisors), including guidance for seniors to apply to four-year colleges outside the ST-ECHS partnership or matriculate at the partner four-year IHE to complete a bachelor's degree. Services may also be extended to students' parents, such as providing college admissions and financial aid workshops.
- Support for college-high school partnership liaisons who oversee joint planning with the school district and support the Smart Transfer Early College High School director's/leader's/principal's coordination with the IHE(s)
- Data collection, sharing, reporting, and evaluation, including data on students who matriculate at the partner IHE(s).

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Grant funds may support the following activities during the Implementation Periods:

- Academic and support services (e.g., counseling staff, advisors), including guidance for seniors to apply to four-year colleges outside the ST-ECHS partnership or matriculate at the partner four-year IHE to complete a bachelor's degree. Services may also be extended to students' parents, such as providing college admissions and financial aid workshops.
- Support for college-high school partnership liaisons who oversee joint planning with the school district and support the Smart Transfer Early College High School director's/leader's/principal's coordination with the IHE(s)
- Data collection, sharing, reporting, and evaluation, including data on students who matriculate at the partner IHE(s).

Eligible Activities / Allowable Cost – Implementation *continued*

- Student recruitment for succeeding program years, and ongoing community education and engagement
- Conducting a summer program in succeeding project periods
- Hiring teachers/staff in succeeding years, as needed
- Joint professional development for high school and college faculty
- School design and planning team activities (e.g. curriculum development)
- Travel and fees for relevant professional development opportunities, including partnership representatives' meetings in Albany. Out of state travel requires prior approval by NYSED.

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- Student recruitment for succeeding program years, and ongoing community education and engagement
- Conducting a summer program in succeeding project periods
- Hiring teachers/staff in succeeding years, as needed
- Joint professional development for high school and college faculty
- School design and planning team activities (e.g. curriculum development)
- Travel and fees for relevant professional development opportunities, including partnership representatives' meetings in Albany. Out of state travel requires prior approval by NYSED.

Eligible Activities / Allowable Cost – Implementation *continued*

- Providing transportation of students to the partnering IHE to attend college level courses and activities
- College tuition, books, and fees for the ST ECHS students. Tuition is only allowable for non-remedial, credit-bearing college courses. The higher education partners are authorized and encouraged to waive or reduce tuition costs per credit to no more than existing “college in the high school” rates.

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➤ Providing transportation of students to the partnering IHE to attend college level courses and activities

➤ College tuition, books, and fees for the ST ECHS students. Tuition is only allowable for non-remedial, credit-bearing college courses. The higher education partners are authorized and encouraged to waive or reduce tuition costs per credit to no more than existing “college in the high school” rates.

Indirect Costs

- Indirect Costs are addressed in Section XXIII, the Allowable Costs section of the RFP on page 37.

Applicants should note the following:

- College tuition cannot be included in the calculation of indirect costs.
- School districts must use the restricted indirect cost rates calculated by the State Education Department.

For more information on indirect costs, visit the [NYSED website](#).

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Indirect Costs are addressed in Section XXIII, the Allowable Costs section of the RFP on page 37.

Applicants should note the following:

- College tuition cannot be included in the calculation of indirect costs.
- School districts must use the restricted indirect cost rates calculated by the State Education Department.

For more information on indirect costs, visit the [NYSED website](#).

Non-Allowable Cost

Funds provided under this grant may not be used for the following purposes:

- Supplanting of existing funding and efforts, including costs otherwise necessary to operate a school without this grant;
- Sub-grants to members of the partnership or other agencies. This includes mini-grants, which are different than purchase service contracts;
- Acquisition of equipment for administrative or personal use;
- Acquisition of furniture (e.g., bookcases, chairs, desks, file cabinets, tables)
- Food services/refreshments/banquets/meals;
- Purchase or rental of space;
- Payment for memberships in professional organizations;

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The following two slides outline Non-Allowable Activities and Costs. This information is found in Section XXIV of the RFP (page 37).

Funds provided under this grant may not be used for the following purposes:

- Supplanting of existing funding and efforts, including costs otherwise necessary to operate a school without this grant;
- Sub-grants to members of the partnership or other agencies. This includes mini-grants, which are different than purchase service contracts;
- Acquisition of equipment for administrative or personal use;
- Acquisition of furniture (e.g., bookcases, chairs, desks, file cabinets, tables)
- Food services/refreshments/banquets/meals;
- Purchase or rental of space;
- Payment for memberships in professional organizations;

Non-Allowable Cost *continued*

- Purchase of promotional favors, such as bumper stickers, pencils, pens, or T-shirts;
- Subscriptions to journals or magazines;
- Travel outside United States;
- Any expenditure for students not enrolled in NYS ST-ECHS programs;
- Tuition for college-level remedial courses; and
- The indirect costs of partner organizations.

Expenditures financed with grant funds awarded under this request for proposals (RFP) are not eligible to (i) receive reimbursement under BOCES Aid, Transportation Aid or Building Aid or (ii) otherwise generate additional BOCES Aid, Transportation Aid or Building Aid.

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➤ Purchase of promotional favors, such as bumper stickers, pencils, pens, or T-shirts;

➤ Subscriptions to journals or magazines;

➤ Travel outside United States;

➤ Any expenditure for students not enrolled in NYS ST-ECHS programs;

➤ Tuition for college-level remedial courses; and

➤ The indirect costs of partner organizations.

Expenditures financed with grant funds awarded under this request for proposals (RFP) are not eligible to (i) receive reimbursement under BOCES Aid, Transportation Aid or Building Aid or (ii) otherwise generate additional BOCES Aid, Transportation Aid or Building Aid.

Required Elements of the Proposal

Part One

- ▶ **Proposal Summary:** limited to a single page.
- ▶ **Proposal Narrative:** Must not exceed 25 pages. (80 points total)
 - ▶ Explains how the partnership will address:
 - Target Population (5 points max)
 - P-16 Partnership (18 points max)
 - Program Location (5 points max)
 - Curriculum and Academic Rigor (22 points max)
 - Support Structures (18 points max)
 - Staffing and Management (12 points max)

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The following two slides outline the required elements of the proposal.

Detailed instructions for completing each section of the proposal are provided in Attachment III: Proposal Guidelines, pages 42 – 48 of the RFP

The Proposal Evaluation Rubric that will be used by the proposal reviewers (Attachment IX, pages 65 – 76) is closely aligned to the information outlined in the proposal guidelines.

Part One of the Proposal includes the following sections:

- ▶ **The Proposal Summary** which should be limited to a single page.
- ▶ **The Proposal Narrative:** Which must not exceed 25 pages. The maximum number of points available for the Proposal Narrative is **80 points**.
 - ▶ The Proposal Narrative explains how the partnership will address:
 - The Target Population (5 points max)
 - The P-16 Partnership (18 points max)
 - The Program Location (5 points max)
 - The Curriculum and Academic Rigor (22 points max)
 - The Support Structures (18 points max)
 - The Staffing and Management (12 points max)

Required Elements of the Proposal

continued

Part Two

- ▶ **Budget Section** represents **20 points** of the overall score. It includes three components:
 - Two Budget Plans (2 FS-10s) for the first two project periods:
 - Planning Phase (August 1, 2017 – December 31, 2017)
 - First Implementation Period (January 1, 2018 – June 30, 2018)
 - Comprehensive Program Budget Plan & Overall Resource Plan Worksheets for 5 Project Periods, 2017-2021 (Attachment IV)
 - Budget Narrative – 3 pages max
- ▶ These three documents will be reviewed in conjunction to assess the program's long-term fiscal sustainability.

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Part Two of the proposal, the **Budget Section** represents **20 points** of the overall score. It includes three components:

- The first component is the Budget Plans (FS-10s) Applicants must prepare two Budget Plans (2 FS-10s), one each for the first two project periods:
 - The Planning Phase (August 1, 2017 – December 31, 2017) and
 - The First Implementation Period (January 1, 2018 – June 30, 2018)
- The second component of the Budget Section is the Comprehensive Program Budget Plan & Overall Resource Plan Worksheets for 5 Project Periods, 2017-2021 (Attachment IV)
- The third component is the Budget Narrative – It is limited to three pages.

These three documents will be reviewed in conjunction to assess the program's long-term fiscal sustainability.

- Note that the Comprehensive Program Budget Plan and Overall Resource Plan Worksheets will illustrate comprehensive plans for resource use and expenditures in the NYS ST-ECHS program for the full five grant periods (August 1, 2017 – June 30, 2021). These documents outline what resources – both including and in addition to the Smart Transfer grant funds – will be used to support the full scope of the Smart Transfer program.

Application Checklist

- A. Application Cover Pages
- B. Completed Grant Application Checklist
Part One
- C. Proposal Summary and Narrative
Part Two
- D. Budget Forms (2 FS-10s), Budget Narrative, Overall Program Budget (Attachment IV)
Part Three
- E. Memorandum of Understanding (MOU) between K-12 and IHE partners **with required signatures** (Attachment V)
- F. Resumes of Key Staff (if available)
- G. Proposed Enrollment Table (Attachment VI)
- H. Proposed Credit Accumulation Plan (Attachment VII)
- I. Certification for meeting criteria for bonus points (Attachment VIII)
- J. MWBE Documents

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This slide provides the Application Checklist: the documents that need to be included in the Smart Transfer ECHS application, in the order in which they should be included.

- A. Application Cover Pages
- B. Completed Grant Application Checklist

Part One

- C. Proposal Summary and Narrative

Part Two

- D. Budget Forms (2 FS-10s), Budget Narrative, Overall Program Budget (Attachment IV)

Part Three

- E. Memorandum of Understanding (MOU) between K-12 and IHE partners **with required signatures** (Attachment V)
- F. Resumes of Key Staff (if available)
- G. Proposed Enrollment Table (Attachment VI)
- H. Proposed Credit Accumulation Plan (Attachment VII)
- I. Certification for meeting criteria for bonus points (Attachment VIII)
- J. MWBE Documents

Timeline

- ▶ RFP for NYS ST-ECHS Program is released **April 4, 2017**
- ▶ This pre-recorded webinar is posted to the [NYSED ECHS webpage](#) by **April 11, 2017**
- ▶ All questions about this RFP must be submitted via e-mail to STECHSRFP@nysed.gov by **April 18, 2017**
- ▶ A complete list of Questions and Answers will be posted to the [NYSED ECHS webpage](#) no later than **April 25, 2017**.
- ▶ Applications must be postmarked by **May 9, 2017**
- ▶ Applicants will be informed by **July 2017** – date TBD
- ▶ Start date: **August 1, 2017**

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This slide reviews the Smart Transfer ECHS Program application Timeline.

- The RFP for NYS ST-ECHS Program is released **April 4, 2017**
- This pre-recorded webinar is posted to the [NYSED ECHS webpage](#) by **April 11, 2017**
- All questions about this RFP must be submitted via e-mail to STECHSRFP@nysed.gov by **April 18, 2017**
- A complete list of Questions and Answers will be posted to the [NYSED ECHS webpage](#) no later than **April 25, 2017**.
- Applications must be postmarked by **May 9, 2017**
- Applicants will be informed by **July 2017** – the date to be determined
- Start date: **August 1, 2017**

NOTE that the application deadline is the date by which proposals must be postmarked.

Smart Transfer ECHS Program Application Submission Instructions

Only applications from eligible applicants that are received by the deadline will be reviewed.

- ▶ Submit one original and two (2) paper copies (both the narrative application and the budget/budget narrative, and M/WBE documents) as well as one electronic copy of the complete application on CD or flash drive postmarked by May 9, 2017 to the address below.

New York State Education Department
Attention: NYS Smart Transfer ECHS GRANT
Office of Postsecondary Access, Support and Success
89 Washington Ave., Rm. EBA 971
Albany, NY 12234

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This slide provides the instructions for submitting the application for the Smart Transfer ECHS Program.

Only applications from eligible applicants that are received by the deadline will be reviewed.

Submit one original and two (2) paper copies (both the narrative application and the budget/budget narrative, and M/WBE documents) as well as one electronic copy of the complete application on CD or flash drive postmarked by May 9, 2017 to the address below.

New York State Education Department
Attention: NYS Smart Transfer ECHS GRANT
Office of Postsecondary Access, Support and Success
89 Washington Ave., Rm. EBA 971
Albany, NY 12234

Resources

- ▶ The New York State Smart Transfer Early College High School Program on the [NYSED ECHS webpage](#)
- ▶ Early College Designs and the Early College High School Initiative at the [Jobs for the Future website](#)
- ▶ Send questions on the RFP to: STECHSRFP@nysed.gov
- ▶ Send questions on M/WBE to: MWBEGrants@nysed.gov

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This slide provides the links to resources where you can learn more about the Smart Transfer ECHS Program, early college high school designs, and the M/WBE participation requirement.

- Information about the New York State Smart Transfer Early College High School Program is available at the NYSED website on the [NYSED ECHS webpage](#)
- Information about Early College Designs and the Early College High School Initiative is available at the [Jobs for the Future website](#)
- Send questions on the RFP to: STECHSRFP@nysed.gov
- Send questions on M/WBE to: MWBEGrants@nysed.gov

**Thank you for viewing the
New York State Smart Transfer
Early College High School Program
Information Webinar**

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This concludes the Information Webinar on the New York State Smart Transfer Early College High School Program.

Thank you for viewing the New York State Smart Transfer Early College High School Program Information Webinar.