Teacher Leadership Quality Partnerships (TLQP) – Professional Development Program to Improve Teaching and Learning of Core Academic Subjects 2015-2018

Introduction/Background

The No Child Left Behind Act of 2001 (NCLB) amended 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. This federally funded Program is a competitive grant contract opportunity to support local, regional, and statewide initiatives to improve the teaching of core academic subjects. With an emphasis on the educational needs of high-need schools and the goal of improving student achievement, the TLQP Program promotes collaborative relationships that will improve both teacher preparation programs and professional development for in-service teachers.

Purpose/Goal:

The Teacher/Leader Quality Partnerships program is intended to be a catalyst for the kind of collaboration that can generate significant and sustainable improvements in providing in-service teachers and administrators with professional development that responds to the needs of all schools and districts.

The Teacher/Leader Quality Partnerships (TLQP) program (Title II, Part A, Subpart 3) offers an opportunity to meet these ambitious goals by accelerating the change process of in-service professional development of teachers and other school leaders. Highly committed partnerships can work to strengthen the vital role of K-12 educators in helping to design and implement effective programs and to increase collaboration between schools of arts and sciences and schools of education.

See Application Guidelines for additional details.

General Eligibility:

New York State public and independent degree-granting colleges and universities or by consortia of such institutions with registered programs in teacher education, school leaders' preparation or the core academic subjects. 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 Attachment 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 Attachment A, and see Attachment B for instructions on how to determine which schools and districts meet this definition).

Projections for 2015-2016

The available funding in the 2014-2015 was $3,487,000. Appropriations for the 2015-2018 program will be determined by the level of funding provided by the Federal Government.

Important Dates:

Full proposals must be postmarked by **Tuesday 26, May 2015.**

Questions regarding this grant must be e-mailed to TLQP@nysed.gov by **Monday 4, May 4 2015.**

Q & A

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

For Information, Contact and Application Submission:

David Lovell
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
Email: TLQP@ nysed.gov

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

PROFESSIONAL DEVELOPMENT PROGRAM TO IMPROVE THE TEACHING AND LEARNING OF CORE ACADEMIC SUBJECTS

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

TITLE II, PART A, SUBPART 3 — HIGHER EDUCATION PARTNERSHIP GRANTS: TEACHER/LEADER QUALITY PARTNERSHIPS PROGRAM - PROFESSIONAL DEVELOPMENT PROGRAM TO IMPROVE THE TEACHING AND LEARNING OF CORE ACADEMIC SUBJECTS

DESCRIPTION:

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. This federally funded Program is a competitive grant contract opportunity to support local, regional, and statewide initiatives to improve the teaching of core academic subjects. With an emphasis on the educational needs of high-need schools and the goal of improving student achievement, the TLQP Program promotes collaborative relationships that will improve both teacher preparation programs and professional development for in-service teachers.

ELIGIBLE APPLICANTS:

New York State public and independent degree-granting colleges and universities or by consortia of such institutions with registered programs in teacher education, school leaders' preparation or the core academic subjects. 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 Attachment 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 Attachment A, and see Attachment B for instructions on how to determine which schools and districts meet this definition).

FUNDING SOURCE(S):

Federal-100%

Projections for 2015-2018:

Awards will be determined by the level of funding provided by the Federal Government.

The specific amounts of regional partnerships awards will be capped at $200,000.
The specific amounts of statewide partnerships awards will be capped at $400,000.

Operation Dates
TLQP funding is approved on an annual basis. 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.

Submission

Full proposals must be postmarked by **Tuesday 26, May 2015** Interested Institutions must submit one original and three copies of the application for funding. Send applications to:

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 Attn: David Lovell (518) 486-6848	New York State Education Department Contract Administration Unit Attn: Alice Peters-Baker Room 501W EB 89 Washington Avenue Albany, NY 12234

Facsimile copies of the proposals are NOT acceptable. **The original must be clearly identified and signed in blue ink with t**he 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 TLQP@nysed.gov.

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GUIDELINES FOR TEACHER/LEADER QUALITY PARTNERSHIPS PROGRAM - PROFESSIONAL DEVELOPMENT PROGRAM

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.

Funds received by a state through the Teacher Quality State Grants program are designated for activities that help increase student achievement by improving the quality of the state's teachers and principals. Some of these funds are to be used for activities undertaken directly by the state, others for subgrants to local education agencies (LEAs), and some for subgrants to partnerships between at least one Institution of Higher Education (IHE) and at least one high-need school or school district. In New York State, this grant program for partnerships is the Teacher/Leader Quality Partnerships (TLQP) program.

The higher education partnerships may focus on any of the core academic subjects: English, reading or language arts, mathematics, science, foreign languages, civics and government, economics, arts, history, and geography.

The New York State Education Department is seeking high-quality proposals that address any of these core academic areas so as to improve teacher/leader preparation and/or professional development and to increase students' academic achievement.

NCLB brings these other important changes:

A. 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 Attachment A for a full definition).

B. An increased emphasis on accountability for student performance, especially taking the form of ensuring that each school district develops a district improvement plan and that all teachers are "highly qualified" according to the Federal definition.

C. A greater flexibility for states and school districts in their choice of actions to improve student performance.

D. An annual attestation of each school's progress in meeting the requirement that all teachers be "highly qualified," with this information made available to the public on request.

Specific to Higher Education partnership grants:

A. The partnership **must** include these **<u>three</u> partners**:

1. An institution of higher education (IHE) and its school of education, which must be the fiscal agent.
2. A school of arts and sciences (for definition of "school of arts and sciences," see Attachment A), and
3. A high-need local education agency (LEA) that meets the following definition of "high-need":
   - serving not fewer than 10,000 children below the poverty line, <u>or</u> 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, <u>or</u> having a high percentage of teachers with emergency, temporary, or provisional certification or licensing. (See Attachment B for information on how to determine whether a specific LEA satisfies this criterion, and see the first page of Attachment A concerning the status of provisional certification.)

Formal partnership agreements must exist between the IHE and each of its partners.

B. Partnerships may also include 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.

C. Partnerships shall use funds for professional development activities that fall into one or more of the following categories:

1. Professional development activities that will be embedded in the teacher preparation program and will improve specific aspects of that program;
2. Professional development activities in core academic subjects to ensure that teachers, highly qualified paraprofessionals, and (when appropriate) principals gain knowledge about the subject and about computer–related technology that will help them enhance student learning; and
3. Professional development activities that will increase the instructional leadership skills of principals, enabling them to work more effectively with teachers to improve the students' learning and outcomes.

D. All professional development provided by partnerships shall be high quality, intensive, and sustained—**not** simply one-day or other short-term workshops or conferences. It will include activities that enable participants to use State standards and assessment data to improve teaching practices and student academic achievement.

E. Professional development provided may include intensive programs that prepare individuals to return to their schools and offer professional development activities to other teachers, paraprofessionals, or principals (i.e., "train-the-trainer" programs). Professional development may also include activities resulting from collaboration among one or more LEAs, one or more schools served by these LEAs, and/or one or more IHEs.

Funded programs will help shape teacher preparation and professional development activities in support of the State and Federal goal to provide highly-qualified teachers, paraprofessionals, and principals, particularly in high-need schools and districts, who are prepared to assist all students in meeting high performance standards in the core academic subject areas.

NYSED Consortium Policy for State and Federal Discretionary Grant Programs

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

1. The consortium must designate one of the participants to serve as the applicant and fiscal agent for the grant. The applicant agency must be an eligible grant recipient. All other consortium members must be eligible grant participants, as defined by the program statute or regulation.

2. In the event a grant is awarded to a consortium, the grant or grant contract will be prepared in the name of the applicant agency/fiscal agent, not the consortium, since the group is not a legal entity.

3. The applicant agency/fiscal agent must meet the following requirements:

    a. Must be an eligible grant recipient as defined by statute;
    b. Must receive and administer the grant funds and submit the required reports to account for the use of grant funds;
    c. Must require consortium partners to sign an agreement with the fiscal agent that specifically outlines all services each partner agrees to provide.
    d. Must be an active member of the partnership/consortium, except where SUNY or CUNY Research Foundations are the fiscal agent.

e. Cannot act as a flow-through for grant funds to pass to other recipients. The range of direct cost services to be provided by the fiscal agent for this program should be between 25% and 50%.
f. Is PROHIBITED from subgranting funds to other recipients. The fiscal agent is permitted to contract for services with other consortium partners or consultants to provide services that the fiscal agent cannot provide itself.
g. Must be responsible for the performance of any services provided by the partners, consultants, or other organizations and must coordinate how each plan to participate.

II. STATE AND NATIONAL CONTEXT

Without highly qualified, caring, and committed teachers, not even the highest standards can prepare our children for the challenges and opportunities they will encounter. In the 21st century, more than ever before, our teachers' knowledge and capabilities will be of critical importance. As we seek to ensure a national teaching force of the highest quality, we must recognize the obstacles we face. First, the increasing enrollments and accelerating teacher retirements that are expected in the coming years will lead to unprecedented hiring demands in the profession. Second, during this decade, much of the hiring will be simply to replace new teachers who decide to leave the classroom.

The result is a drain on school finances, disruption of the coherence, continuity, and community necessary for strong schools, and a consequent erosion of teaching quality and student achievement. As classrooms across the nation are growing more challenging and diverse, our teachers will need preparation that will enable them to stay in the schools, meet the needs of all students, and help them achieve high standards. Schools in high-poverty areas, which are particularly affected by these problems, will have an especially pressing need for greater numbers of highly qualified teachers.

These conditions provide a window of opportunity for making major improvements in the ways we recruit and prepare teachers and leaders within our schools and provide them with ongoing support and professional development. We need to identify and rigorously evaluate effective educational practices and to introduce these practices into programs throughout the State and throughout the Nation, so that good programs are not islands of excellence that influence only a small number of teachers.

New York State's next generation of teachers and school leaders will encounter in their classrooms and schools a range of complex challenges previously unknown in the profession. Changes in social conditions, new education goals and tougher standards, more rigorous assessments, site-based management, and expanded use of technology—all increase the knowledge and skills required for success in our schools. These changes mean that high-quality professional development is more important

than ever.

Regents Reform Agenda

The Teacher Quality Partnership Program shall, to the extent practicable, bolster the Board of Regents Reform Agenda by emphasizing the following key areas:

A. Professional Development that explicitly addresses the Common Core Standards and/or the State's Assessment Standards or leadership in an environment with Common Core Standards related to new assessments;

B. An understanding of and implementation strategies for data-driven instruction;

C. Improvement of teacher effectiveness by recruiting, developing, and retaining effective teachers; and

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

III. PROGRAM PURPOSES

The Teacher/Leader Quality Partnerships program is intended to be a catalyst for the kind of collaboration that can generate significant and sustainable improvements in providing in-service teachers and administrators with professional development that responds to the needs of all schools and districts.

High-quality professional development requires strong collaboration among a number of different partners. Faculties at schools of arts and sciences must work closely with those at schools of education and with K-12 administrators and teachers to ensure that teachers gain the deep content knowledge and strong teaching skills they need to help all children learn. Veteran teachers and principals need a strong voice in the way novice teachers and new principals are prepared, and college and university faculty need first-hand experience in today's schools. Such sharing and collaboration will help both new teachers and new administrators gain the solid grounding they need in the essential connection between subject matter and effective teaching practices. In addition to gaining an enriched theoretical understanding, novice teachers and novice school leaders must spend significant time in schools working with students under the guidance of experienced mentor teachers and school leaders. They need to be able to use innovative strategies to enable students to solve complex, real-world problems and to help all students attain high academic standards.

The Teacher/Leader Quality Partnerships (TLQP) program (Title II, Part A, Subpart 3) offers an opportunity to meet these ambitious goals by accelerating the change process of in-service professional development of teachers and other school leaders. Highly

committed partnerships can work to strengthen the vital role of K-12 educators in helping to design and implement effective programs and to increase collaboration between schools of arts and sciences and schools of education. Applicants are expected to creatively use their knowledge of research and best practices to improve teachers and other school leaders' pedagogical skills and to design professional development programs that will address the needs of high-need school districts.

The TLQP – Professional Development Program to Improve Teaching and Learning of Core Academic Subjects provides financial assistance to IHEs to help faculty, teachers, and other teaching or administrative staff gain access to professional development in core academic subjects that:

A. is sufficiently high in quality, intensive, and sustained to have a lasting and positive effect on the teachers' classroom performance
B. includes strong academic content and pedagogical components;
C. reflects recent research on teaching and learning
D. provides experience in analyzing disaggregated classroom and school achievement data to identify teaching and learning needs;
E. incorporates activities and effective strategies that promote learning and future achievement for all students;
F. is a part of the everyday life of the school and creates an orientation toward continuous improvement throughout the school;
G. is aligned with the Common Core Standards and NYS student performance assessments;
H. is integrated with the systemic Regents Reform of New York State's highest need schools and school districts; and
I. supports the development and growth of learning communities that link higher education faculty, school administrators, novice, and experienced teachers with the shared goal being to improve student achievement.

IV. MISSION AND PRINCIPLES

The mission of teacher/leader professional development is to prepare and support educators to help all students achieve high standards of learning.

Professional development plays an essential role in successful education reform, for it bridges the gap between where experienced educators are now and where they will need to be to help all students achieve high standards of learning and development.

High-quality professional development is rigorous and relevant. Having enhanced teaching and learning as its goal, it consists of content, strategies, and organizational supports that ensure the career-long development of teachers and other educators who influence the teaching and learning environment. Achieving this goal for educators requires collaboration among institutions of higher education, schools, and other appropriate partners who work together to promote learning communities that are open

to all who care about and have an impact on students and their learning. To be successful, such a learning community will draw on people inside and outside the schools, with all working together to bring the ideas, commitment, and resources necessary for addressing complex educational issues in a variety of settings and for a broad spectrum of students. Professional development should be part of a system wide effort to improve and integrate the ongoing development and support, and advanced certification of educators.

(For suggested professional development activities and suggested guidelines for these activities, see Attachment A.)

V. INSTITUTIONAL ELIGIBILITY

Proposals for support may be submitted by New York State public and independent degree-granting colleges and universities or by consortia of such institutions with registered programs in teacher education, school leaders' preparation or the core academic subjects. The institution submitting the application will serve as the fiscal agent for the program. They must also qualify as a required partner.

Funded projects should be conducted at a facility 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.

VI. PARTICIPANT ELIGIBILITY

TLQP projects may offer professional development for elementary, middle, secondary, and vocational school, paraprofessionals, teachers and principals.

VII. PARTNERSHIP AGREEMENTS

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 Attachment A) or a department or division within a school of arts and sciences, and
C. A high-need LEA (see definition in Attachment A, and see Attachment B for instructions on how to determine which schools and districts meet this definition**)**.

The school of education and the college of arts and sciences may be within the same IHE, but need not be. **A school or department of education that is operating under a corrective action plan may not function as a partner in a TLQP project.**

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

A. Educational programs or agencies which have similar goals or which also work to provide effective professional development in core academic subjects to current educators in high-need districts (for definition of "core academic subjects," see Attachment A). Such programs and organizations include the Learning Technology Grants Program, Teacher Opportunity Corps Program, Teachers of Tomorrow, the New York State Mentor Teacher Internship Program, Preparing Tomorrow's Teachers to Use Technology (PT3), Reading First, Bilingual English as a Second Language Technical Assistance Centers, and Future Teachers of America.

B. Professional organizations or networks such as the Staff Curriculum Development Network (SCDN); local or regional Teacher Resource Centers; building-level committees such as Shared Decision Making, Professional Development Planning Team, etc.; and/or Statewide and National organizations such as the Learning Disabilities Association of New York State, New York Science Teachers Association (NYSTA), the National Council of Teachers of Mathematics (NCTM), New York State Computer and Technology for Education (NYSCATE), the New York State Council of School Superintendents (NYSCOSS), the New York State School Boards Association (NYSSBA), the New York State Association of Teacher Educators (NYSATE), the Interstate New Teacher Assessment and Support Consortium (INTASC), New York State's Professional Standards and Practices Board, the Equity Assistance Center, and the National Board for Professional Teaching Standards.

Every partner in a TLQP project must have a programmatic role, and a formal cooperative agreement, represented by a signed memorandum of agreement (MOA), is required for every partner—including the three 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 Attachment F.) Because a partnership must have at least the three primary partners to be eligible for a grant, **all applications will contain at a minimum the following MOAs:**

- an MOA between the school or department of education and the content area department(s) that are functioning as required partners; and
- an MOA with at least one high-need school, school district, or BOCES partner that will provide specific resources for the operation of a TLQP 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.

VIII. REQUIREMENTS FOR FUNDING

The following eight items are program requirements for this grant. **To be eligible for funding under TLQP, projects must**:

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

AND

B. include **MOAs for all partners**, documenting how each will contribute to the project and document through them that at least 50 percent of all partner LEAs meet the Federal definition of "high-need" and provide corroboration by attaching the appropriate page(s) from the Comprehensive Report for each high-need LEA (see Instructions to Attachment B);

C. all project participants (teachers, other school leaders, and/or faculty) must receive at least 40 contact hours of content and pedagogy professional development preparing them to assist all students in meeting high educational standards;

AND

D. the professional development activities must explicitly address aspects of the Common Core Standards and/or the State's student assessment plan (for information on Learning Standards and assessments, see this Link: http://www.p12.nysed.gov/);

AND

E. project activities must be aligned with the school or school district Professional Development Plan (see Attachment D for information on New York State's requirements concerning Professional Development Plans);

AND

F. teachers and administrators and/or programs (undergraduate and graduate)

must be included in project planning, implementation and evaluation.

AND

G. provide at least a 10 percent match of the requested grant from institutional and other sources, in real costs and/or in-kind contributions (for information on forms that matching funds can take, see XII, F,1, below).

AND

H. provide one or more of the following:
   1. professional development activities in core academic subjects that will improve the knowledge and/or teaching skills (including the use of computer-related technology) of teachers in the core academic subjects which they are certified or will be certified to teach (see definition of "core academic subjects" in Attachment A); and/or
   2. appropriate instructional subject matter and pedagogical activities for highly qualified paraprofessionals who assist in instructing students in core academic subjects (see definition of "highly qualified paraprofessionals" in Attachment A); and/or
   3. provide professional development activities for principals (or assistant principals) in core academic subjects that will give them instructional leadership skills necessary for working effectively with teachers of these subjects.

IX. 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. Professional development being substantively embedded in the everyday life of the school, including induction support for novice teachers and regular interaction of faculty with novice, and/or experienced teachers and administrators as members of school-based teams focused on improving teacher practices and student performance.
C. Activities that are grounded on scientifically-based research (for definition, see Attachment A) and include substantial opportunities for active learning.
D. The presence of significant equity activities and training in the use of disaggregated classroom and school student achievement data to identify teaching and learning needs.

X. 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 teacher/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. limits in the Federal appropriation.

XI. FUNDING LIMITATIONS

It is estimated that the total amount of funds available for this program will be $3.5 million in the first year. There are currently 18 projects with a focus on the content areas of mathematics, science, and/or technology, English Language Arts and other core subjects.

A. Non-Profit institutions
The maximum level of funding per year for not-for-profit public or independent institutions with regional partnerships awards will be capped at $200,000.
The maximum level of funding per year for not-for-profit public or independent institutions with statewide partnerships awards will be capped at $400,000.
Final allocations will depend upon the amount of the Federal appropriation and on approval of each proposal by the State Education Department's Teacher Development Programs Unit. Please see the requirements for regional and statewide partnerships in section VII of the RFP.

B. For-Profit institutions
The maximum level of funding per year for for-profit institutions will be based on a set-aside of $200,000. Up to $200,000 may be shared among eligible “for-profit” applicants.

Funds not awarded to for-profit institutions will be available funds for non-profit institutions.

Additional limitations are:
A. Only **one** in-service teacher development project will be funded at an institution.
B. **No one member** of the partnership may use **more than 50 percent** of the awarded funds.
C. All not for profit funding requests will be reviewed at the time of proposal

submission. If certain costs cannot be supported by TLQP funds, the institution's proposed budget will be reduced by any unallowable costs.

XII. BUDGET

A. Use of Funds

1. Activities funded under a TLQP Program grant will be administered pursuant to a written agreement between the State Education Department and the applicant institution.

No TLQP 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 teachers and principals earning advanced degrees, including meeting certification requirements, provided that the training is designed to improve classroom instruction and/or leadership skills and that participation in these course(s) is consistent with the LEA's overall plan for professional development;
3. Program and instructional supplies and materials;
4. TLQP-related travel expenditures;
5. Equipment purchases that support the professional development activities of teachers and other school personnel;
6. Recruitment materials and activities;
7. Needs analysis, research and evaluation materials and activities;
8. Stipends for participants, as appropriate; and
9. Activities related to collaborative planning, classroom, and school internship experiences (not including the required student teaching experience), and mentoring novice teachers or administrators.

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

C. Indirect Expenses

1. Indirect expenses provided by the TLQP Program may not exceed 8 percent of total grant expenditures.
2. Indirect expenses provided by the institution may not exceed 20 percent

of the matching funds contributed by the institution and other sources.

3. When computing Indirect Costs, the basis used cannot include tuition, stipends, honoraria, or equipment, and it can include only the initial $25,000 of each item included in the category of Purchased Services.

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 by SED.**

F. Institutional Funds

1. **Matching Funds**

Matching contributions of at least 10 percent 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 (such as the Troops to Teachers Program); or private sources. In-kind contributions such as release time, substitute teachers' per diems, equipment, laboratory and classroom space, staff and volunteer services, etc., may also be included. Other SED funds such as grants from the Teacher Opportunity Corps, the Learning Technology Grants, and the New York State Mentor Teacher Internship Program, may be used in this match, but may not duplicate services provided. All matching contributions must be used for activities related exclusively to the TLQP 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 budget agreed to by SED and the applicant institution. The budget may be amended during the year only under the conditions 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 an 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.

Budgeted costs must be in compliance with applicable State and federal laws and regulations and the Department's Fiscal Guidelines. These guidelines, as well as the FS-10 form, are available online at the following URL: http://www.oms.nysed.gov/cafe. The FS-10 must bear the original signature of the Chief School/Administrative Officer.

Information about the categories of expenditures and general information on allowable costs, applicable cost principles and administrative regulations are available in the Fiscal Guidelines for Federal and State Aided Grants at http://www.oms.nysed.gov/cafe/guidance/guidelines.html.

The budget should be reasonable and appropriate to cover program expenses.

For more information, visit the website
http://www.oms.nysed.gov/cafe/guidance/

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/FS10F 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. Successful grantees will be awarded a three year contract (September 1, 2015-August 31, 2018). However, TLQP funding is approved on an annual basis. Projects 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, 2018, will not be reimbursed.

2. Full proposals must be postmarked by **Tuesday 26, May 2015.**

3. For the subsequent years of this proposal period, funded projects will be required to submit an annual budget (FS-10) and information on changes to the program (any changes must be within the scope of the application) will be reviewed and approved by the Teacher Development Program Unit. The due date for this information is dependent on the date that funding allocations are approved by the Federal government.

B. Required Reports

During each year of the project, institutions receiving a TLQP grant will be required to submit a brief Interim Report and a Final Report to the Office of Teacher and Leaders effectiveness unit. The Interim Report is due by the middle of March, 2016. The Final Report will provide information about all project operations and expenditures and identify project accomplishments for the 2015-2016 program year. The Final Report is due by October 30 of each year. A format for both Reports will be provided prior to the respective due dates.

XIV. FORMAT FOR APPLICATION

Interested institutions must submit **one original and three copies** of the application for funding. **The original must be clearly identified.**

An application for funding requires the original signature of the Chief Executive Officer (or designee) of the applicant institution on all documents requiring their signature. If these documents are signed by a designee, the CEO must submit a letter naming the designated signatory. Applications for funding must be postmarked on or before Tuesday May 26, 2015

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.

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

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.**

Non-Profit Institutions must submit their application to:

For-Profit Institutions must submit the completed application in a sealed envelope labeled "Bid Proposal – 15-014 Do Not Open" For-Profit Institutions also must submit the Budget/Budget Narrative in a separate sealed envelope (with a cost per participant indicated on the cover of this document) labeled "Budget/Budget Narrative Do Not Open"

Proposals that do not meet the deadline requirement will not be considered.

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

A. Institution/Program Profile **(Attachment I)**
B. Statement of Assurances **(Attachment II)**
C. Table of Contents
D. 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. Use **Attachment V** to complete Section D. - Program Objectives, Strategies, Activities, Services and Performance Measures/Data. 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.
E. TLQP 2015-2016 Proposed Budget **(Attachment VI)** and Budget Narrative. (For profits need to place the proposed budget/narrative in a separate envelope)
F. Proposal attachments, including a Memorandum of Agreement 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.**

G. Completed M/WBE documentation

XV. FORMAT FOR APPLICATION NARRATIVE

The proposal narrative should describe the proposed 2015-2018 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 VIII, C-H. **The narrative may not exceed 20 double-spaced pages in a minimum 10 point font,** and all information requested in this section *(excluding résumés, memoranda of agreement, letters of support, course descriptions, organization charts, and the TLQP 2015-16 Proposed Budget form)* must 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.

Also, the name of the applicant institution should appear in the top right corner of each page, and a specific format is required for Section D: Program Objectives, Strategies, Activities, Services, and Performance Measures/Data Sources. Although the information requested in Section D 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 D, 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. Institutional Effectiveness in Meeting the Teachers' Professional Development Needs in High-Need Schools and School Districts (10 Points)
Describe institutional progress toward meeting the needs of 1) students, teachers, and other educators from high-need schools and/or districts, 2) teachers who either lack New York State certification or are teaching out of the field or grade level for which they are certified, and 3) teachers and administrators who will be working in high-need schools and/or districts. Provide evidence of the success of such efforts. Institutions that are currently operating a TLQP project **must** describe the results of those efforts in schools and/or districts and the impact of the project on teacher practice and student achievement.

C. Partnerships (10 Points)

1. Describe the scope and extent of involvement in the project by high-need school and/or district partners. The description should indicate the project's capability for improving teaching and learning in school buildings and should demonstrate commitment by administrators and the involvement of teachers and other school personnel in the planning, implementation, and evaluation of the proposed project.
2. Applicants must describe the scope and extent of involvement in the project by the school (or department) of education and the content area department(s) that are among the required or principal partners. The description should indicate the project's capability for improving the effectiveness of the teacher education program in preparing undergraduate and/or graduate to become teachers and administrators, particularly in preparing them to work in high-need schools.
3. Provide a brief description of the scope and extent of involvement in the project by any other partners, such as professional organizations and/or networks, other programs or institutions, business and industry, etc.
4. 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, should specify the roles and responsibilities of each, and must document substantive collaborations.

Also, for each high-need school or district, 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 Attachment B.)

D. Program Objectives, Strategies, Activities, Services and Performance Measures/Data (40 Points)

For this section, use the forms provided in Attachment V: Program Objectives, Strategies, Activities, Services and Performance Measures/Data Sources.

Attachment V lists the following Statewide objectives:

1. Establish and maintain partnerships to maximize TLQP resources and program success by increasing students' academic achievement;
2. Provide sustained, intensive, and high-quality professional development and teacher/leader preparation activities that address school and/or district needs identified in the school/district professional development plan;
3. Align academic content and classroom strategies with New York State's Learning Standards and student assessment standards;
4. Provide strong academic content and effective strategies and practices that value equity and diversity and increase the ability of educators to

meet the needs of all students; and

5. Increase the number of teachers and principals who are highly qualified and appropriately certified in New York State's high-need districts.

Attachment V provides a separate chart for each objective and also includes two pages of instructions and definitions, along with examples of possible strategies. All five of the listed objectives must be addressed; omission of any will reduce the number of points awarded.

When completing the forms, be sure to include all necessary information by doing the following:

1. Describe strategies that demonstrate the capacity to support each listed objective and to achieve the purposes of the program indicated in Section III: Program Purposes (A-I).
2. For each activity and service, indicate the staff who will be responsible for the implementation of each objective.
3. Indicate the proposed timeframe for each activity and/or service, including both the scope and duration, (e.g., if the duration is September 2015 - May 2016, the scope might be 3 hours/week x 15 weeks x 2 semesters, or one half-day meeting each month).
4. For each activity and/or service, indicate the objective performance measure(s) and the data source(s) that will be used to measure its effectiveness in meeting program objectives. Measures should be relevant to the activity proposed and may be used to inform and modify project activities. However, whether or not they are used for the latter purpose, substantive measures of improvements in teacher/leader knowledge and practice and in student achievement must be included in this section.

E. Recruitment (5 points)

Describe the strategies and activities that will be used to recruit and select novice, and experienced teachers/leaders for participation in the project.

1. Briefly describe recruitment strategies that will ensure participation of a diverse group of teachers and/or administrators in project activities.
2. List the specific criteria that must be met by participants in order to be eligible for the program.

F. Retention (5 Points)

Describe strategies and activities designed to enhance the skills of participants so as to increase their retention rate as teachers and principals in high-need schools. (In subsequent years of the funding cycle, projects will be asked for statistics concerning retention rates of their participants in high-need schools.)

G. 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.
3. As an attachment, include a list of all full-time and part-time instructors and other professionals to be assigned to the project, including professionals volunteering their services. Include in this attachment current résumé 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).

H. Budget/Budget Narrative - (25 Points)

1. Indicate the proposed expenditures for the project on Attachments VI TLQP 2015-2016 Proposed Budget. Attachment V1 must provide information about all proposed project expenditures from TLQP funds; institutional and other source funds that will be used for the operation of the project.
2. 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 the nature of each, identifies the source of all funding, 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(s) 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, amplify 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.)

e) Identify clearly other funding source of all proposed expenditures (i.e., LEA, IHE).

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 TLQP 2015-2016 Proposed Budget (Attachment VI).

* *Note: The completed FS-10: Proposed Budget for a Federal or State Project will be included in the grant contract when the application for funding has been approved.*

XVI. PROPOSAL REVIEW

Each proposal will be rated by two reviewers with experience in effective teacher preparation and professional development practices. Working separately, but using rating criteria aligned with TLQP 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: Funding 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 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. .

Once the final numerical score has been determined, the proposals will be grouped by the geographical location of the schools to be served. The groupings will fall into the following ten categories:

A. Western New York (five counties: Niagara, Erie, Chautauqua, Cattaraugus, and Allegany)
B. Finger Lakes (nine counties: Orleans, Genesee, Wyoming, Monroe, Livingston, Wayne, Ontario, Seneca and Yates)
C. Southern Tier (nine counties: Steuben, Schuyler, Chemung, Tioga, Tompkins,

Broome, Chenango, Otsego and Delaware)

D. Central New York (five counties: Oswego, Onondaga, Cayuga, Cortland and Madison)
E. Mohawk Valley (six counties: Schoharie, Montgomery, Fulton, Herkimer, Oneida and Hamilton)
F. North Country (six counties: Lewis, Jefferson, St. Lawrence, Franklin, Clinton and Essex)
G. Capital Region (eight counties: Warren, Washington, Saratoga, Schenectady, Albany, Rensselaer, Columbia and Greene)
H. Mid-Hudson (seven counties: Ulster, Sullivan, Orange, Dutchess, Putnam, Rockland and Westchester)
I. New York City Metropolitan Area (seven counties: Bronx, New York, Richmond, Kings, Queens, Nassau and Suffolk)
J. Statewide: To be in this category, a proposal must serve schools in its own region and at least two others. A minimum of two of the regions being served must be areas that are currently underserved by TLQP—schools in New York State's "Big Four" cities (Buffalo, Rochester, Syracuse, and Yonkers) and schools/school districts in the Southern Tier, the Mohawk Valley, and/or the North Country. In part, Statewide projects will create and/or implement teacher networks that promote developing and disseminating content in the core academic subjects and methods so as to foster the achievement of high standards by all students in the region.

Within each category, the two proposals with the highest scores will be funded, providing that there are two acceptable proposals. After issuing awards based on geographic locations the remaining funds will be awarded on a Statewide ranking based on scores in descending order. If there are funds remaining that will not fully support funding the next highest ranked application, a partial award will be made. In the event of a tie score at the geographical category level or at the statewide level, proposals with the highest score on item XV: D Program Objectives, Strategies, Activities, Services and Performance Measures/data section will be the tie breaker. If still tied, the tie breaker will be decided in the following order: Item XV: H, XV: B and XV: C. Proposals with a total average score lower than 60 points will not be funded.

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 a 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.

Funds not awarded to for-profit institutions will be available funds for non-profit institutions.

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

XVII. PROPOSAL 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.

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

Bidders 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
Contract Administration Unit
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. <u>Entities' Responsibility</u>

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/ .

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 specifics 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

Prequalification for Individual Applicants

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/).

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) on the Grants Reform Website details the requirements and an online tutorial (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). 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) 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) **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.

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

<table>
<tr><td>Name Applicant agency:</td><td>Name and Title of Contact Person:</td></tr>
<tr><td rowspan="3">Address:

City: Zip Code:

County:</td><td>Telephone:</td></tr>
<tr><td>Fax:</td></tr>
<tr><td>E-Mail:</td></tr>
<tr><td colspan="2">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.</td></tr>
<tr><td>Original Signature of Chief Administrative Officer (in blue ink)</td><td>Typed Name of Chief Administrative Officer:</td></tr>
<tr><td colspan="2">Date:</td></tr>
</table>

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	☐	☐
Institution/Program Profile **(Attachment I)**	☐	☐
Statement of Assurances (Original Signature Required)	☐	☐
Table of Contents	☐	☐
Proposal Narrative	☐	☐
Payee Information Form (if applicable) http://www.oms.nysed.gov/cafe/forms/PIform.pdf	☐	☐
Application Checklist	☐	☐
Proposed Budget	☐	☐
FS-10 Budget (signature required) http://www.oms.nysed.gov/cafe	☐	☐
Budget Narrative	☐	☐
Vendor Responsibility Questionnaire (Acknowledgement of Completion)	☐	☐
Worker's Compensation Documentation (encouraged)	☐	☐
Disability Benefits Documentation (encouraged)	☐	☐
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)	☐	☐

M/WBE Documents Package (original signatures required)

☐ Full Participation ☐ Request Partial Waiver ☐ Request Total Waiver

	Forms Required		
Type of Form	Full Participation	Request Partial Waiver	Request Total Waiver
Calculation of M/WBE Goal Amount	☐	☐	☐
M/WBE Cover Letter	☐	☐	☐
M/WBE 100 Utilization Plan	☐	☐	N/A
M/WBE 102 Notice of Intent to Participate	☐	☐	N/A

M/WBE 105 Contractor's Good Faith Efforts	N/A	☐	☐
M/WBE 101 Request for Waiver Form and Instructions	N/A	☐	☐
EE0 100 Staffing Plan and Instructions	☐	☐	☐
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 =MWBE goal amount		

*If not included in #5

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

NAME OF GRANT PROGRAM_____

NAME OF APPLICANT_____

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

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

☐ Full Participation – No Request for Waiver (PREFERRED)

☐ Partial Participation – Partial Request for Waiver

☐ No Participation – Request for Complete Waiver

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

M/WBE UTILIZATION PLAN

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

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

Address _____ Federal ID No.: _____

City, State, Zip _____ RFP No.: _____

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

PREPARED BY (Signature) _____ DATE_____

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

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

TELEPHONE/E-MAIL _____

DATE _____

M/WBE 100

REVIEWED BY _____ DATE _____

UTILIZATION PLAN APPROVED YES/NO DATE _____

NOTICE OF DEFICIENCY ISSUED YES/NO DATE _____

NOTICE OF ACCEPTANCE ISSUED YES/NO DATE _____

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

Date: _____

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

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

Address: _____ Phone No.: _____

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

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

DESIGNATION: ____MBE Subcontractor ____WBE Subcontractor ____ MBE Supplier ____WBE Supplier

PART C - CERTIFICATION STATUS (CHECK ONE):

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

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

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

The estimated dollar amount of the agreement $_____ _____ Signature of Authorized Representative of M/WBE Firm

_____ _____

Date — Printed or Typed Name and Title of Authorized Representative

M/WBE 102

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

PROJECT/CONTRACT #_____

I, _____
(Bidder/Applicant)

_____ of _____
(Title) (Company)

_____ ( )_____
(Address) (Telephone Number)

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

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

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

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

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

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

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

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

Submit additional pages as needed.

_____
Authorized Representative Signature

_____
Date

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.

DATE	M/WBE NAME	PHONE/EMAIL	TYPE OF WORK	ESTIMATED BUDGET	REASON
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:**
EMAIL:
ADDRESS: **FEDERAL ID NO.:**

CITY, STATE, ZIPCODE: **RFP#/PROJECT NO.:**

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

BIDDER/APPLICANT IS REQUESTING (check all that apply):	
☐ **MBE Waiver** - A waiver of the MBE goal for this procurement is requested. ☐ **Total** ☐ **Partial _____%**	☐ **WBE Waiver** - A waiver of the WBE goal for this procurement is requested. ☐ **Total** ☐ **Partial _____%**
☐ **Waiver Pending ESD Certification** (check here if subcontractor or supplier is not certified M/WBE, but an application for certification has been filed with Empire State Development) Subcontractor/Supplier Name: _____ Date of application filing: _____	

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

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

NAME OF PREPARER:	**FOR AUTHORIZED USE ONLY**
TITLE OF PREPARER: TELEPHONE: EMAIL:	REVIEWED BY: _____ DATE:_____ **WAIVER GRANTED ☐ YES ☐ NO** ☐ TOTAL WAIVER ☐ PARTIAL WAIVER ☐ ESD CERTIFICATION WAIVER ☐ NOTICE OF DEFICIENCY ☐ CONDITIONAL WAIVER COMMENTS:

REQUIREMENTS AND DOCUMENT SUBMISSION INSTRUCTIONS

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

1. A statement setting forth your basis for requesting a partial or total waiver.

2. The names of general circulation, trade association, and M/WBE-oriented publications in which you solicited certified M/WBEs for the purposes of complying with your participation goals.

3. A list identifying the date(s) that all solicitations for certified M/WBE participation were published in any of the above publications.

4. A list of all certified M/WBEs appearing in the NYS Directory of Certified Firms that were solicited for purposes of complying with your certified M/WBE participation levels.

5. Copies of notices, dates of contact, letters, and other correspondence as proof that solicitations were made in writing and copies of such solicitations, or a sample copy of the solicitation if an identical solicitation was made to all certified M/WBEs.

6. Provide copies of responses made by certified M/WBEs to your solicitations.

7. Provide a description of any contract documents, plans, or specifications made available to certified M/WBEs for purposes of soliciting their bids and the date and manner in which these documents were made available.

8. Provide documentation of any negotiations between you, the Bidder/Applicant and the M/WBEs undertaken for purposes of complying with the certified M/WBE participations goals.

9. Provide any other information you deem relevant which may help us in evaluating your request for a waiver.

10. Provide the name, title, address, telephone number and email address of the Bidder/Applicant's representative authorized to discuss and negotiate this waiver request.

11. Copy of notice of application receipt issued by Empire State Development (ESD).

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

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

Applicant Name: _____ Telephone: _____

Address: _____ Federal ID No.: _____

City, State, ZIP: _____ Project No: _____

Report includes:

☐ Work force to be utilized on this contract OR ☐

☐ Applicant's total work force ☐ _____

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

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

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

NAME AND TITLE OF PREPARER: _____ TELEPHONE/EMAIL: _____

EEO 100

(Print or type)

STAFFING PLAN INSTRUCTIONS

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

Instructions for Completing:

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

RACE/ETHNIC IDENTIFICATION

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

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

EEO 100

Assurances 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

2015-2016 APPLICATION FOR FUNDING

Teacher/Leader Quality Partnerships Program(TLQP) P/D 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:_____ Fax: _____
(Area Code) (Number) (Extension) (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 the teacher education program that will be a primary partner:
_____ graduate _____ undergraduate

Pass rate of this program's teacher candidates on NYSTE _____%

Number of students in an Educational Administrator Certification program in the teacher education primary partner:_____

Number of proposed participants: _____In-service Teachers _____ IHE faculty _____ Prospective K-12 administrators _____ Current school (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 TLQP funds requested and the other resources to be allocated:

TLQP funds requested	$_____
Institutional contribution	$_____
Other sources (specify):	$_____
TOTAL:	$_____

Person completing this form: _____

Signature:_____

Title:_____

Phone:_____

CEO Signature (in blue ink): _____

CEO Name and Title_____

Date: _____

INSTITUTION BACKGROUND

Institution Name: _____

SECTOR (check one): ____ SUNY ____ CUNY _____ Independent _____ Proprietary

TYPE (check one): ____ 2-yr. ____ 4-yr. ___ Graduate School ___Non-profit organization ___Other

LOCATION *Institution location is (check 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. Attach another sheet or use the back of this page if needed.

***Provide most recent data.**

INSTITUTION/PROGRAM PROFILE—TLQP 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, A (For Definition, see Attachment 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 Attachment B that shows that this LEA meets the two Federal criteria.**

INSTITUTION/PROGRAM PROFILE—TLQP 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 _____ Undergraduate _____ Graduate

_____ Science Department (specify which) _____ Undergraduate _____ Graduate

_____ Mathematics Department _____ Undergraduate _____ Graduate

_____ English Department or another _____ Undergraduate _____ Graduate

_____ Department dealing with Language Arts Specify: _____

_____ Education Administration _____ Undergraduate _____ Graduate

_____ Social Sciences (specify which) _____ Undergraduate _____ Graduate

_____ Other Departments (specify which) _____ Undergraduate _____ Graduate

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

_____ Elementary Teachers _____ Middle School Teachers _____High School Teachers

_____ Principals _____ Assistant Principals _____Other K-12 Personnel

_____ Superintendents

Indicate the anticipated total number of teacher/leaders who will participate in and students who will be affected by this program: _____

LEVEL	**Novice Teachers**	**In-service Teachers**	**Other Please specify)**	**TOTAL**	Number of Students Affected
Elementary					
Middle					
High School					
Vocational					
Special Education					
Other*					
TOTAL					

INSTITUTION/PROGRAM PROFILE—TLQP 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

PRIORITIES ADDRESSED (check all that apply)

- ❑ Substantial collaboration exists among the three required partners, and teachers, administrators, and the school and/or district professional development planning team are involved in the planning, implementation, and evaluation of proposed activities.
- ❑ Project activities are substantively embedded in the everyday life of school: faculty, prospective teachers, novice teachers, and/or experienced teachers regularly interact as members of a school-based team focused on improving teacher practices and student performance.
- ❑ Project activities are grounded on scientifically based research and include many opportunities for active learning.
- ❑ Project includes significant equity activities and training in the use of disaggregated classroom and school student achievement data to identify teaching and learning needs.
- ❑ Project addresses the legislation's geographical distribution requirement by planning to serve high-need schools in underserved counties or in areas in the State's "Big Four" cities (Buffalo, Rochester, Syracuse, and Yonkers) that are underserved.

Academic Subject, Grade Level, and Special Focus: (check all that apply):

_____ Mathematics instruction _____ Language arts instruction

_____ Arts instruction _____ Foreign language instruction

_____ Science instruction (specify which science[s]) _____

_____ Social sciences instruction (specify which area[s]) _____

Level(s): _____ Elementary ____ Middle _____ High school ____ Other

Special Focus: _____ Pedagogy _____ Technology _____ Special Education

_____ Bilingual/LEP

Proposed activities (check all that apply):

_____ Use of manipulatives
_____ Problem-solving modules
_____ Hands-on modules
_____ Peer review
_____ Inquiry
_____ Action research
_____ Teacher reflection and practice
_____ Expert/novice teacher pairing
_____ Group review of student work
_____ Analyzing teaching and learning needs by study of disaggregated student data
_____ Classroom use of computer and/or other technologies
_____ Curriculum addressing the Common Core Standards and assessments
_____ Assisting teachers to achieve new and/or additional subject area certification
_____ Leadership training for administrators
_____ Support for IHE faculty to reform teacher preparation activities/ requirements

Other activities (please specify): _____

Attachment II

STATEMENT OF ASSURANCES

INSTITUTION/PROGRAM PROFILE—TLQP

Institution Name:_____

Program Name:_____

1. The recipient will, if funded, operate a Teacher/Leader Quality Partnerships (TLQP) 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 Teacher/Leader Quality Partnerships funds will, to the extent possible, be 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 grant funds and all publicized grant 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 grant under the New York State Higher Education Teacher Quality Leader/Partnerships program 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.

Statement of Assurances

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_____

Attachment V

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

Instructions:

1. Make as many copies of the objectives forms as needed.
2. Each identified objective should be addressed. (See TLQP 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 2015-2018.
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 Measures:** Indicate elements that will be measured to indicate accomplishment of objective. Whenever possible, use quantifiable measures.
    - **Data Sources:** Indicate where data for the performance measures is located/found.

TLQP OBJECTIVES AND KEY STRATEGIES

All TLQP projects should conduct activities that will provide professional development and teacher/leader preparation services aligned with the following five objectives. This document provides examples of possible key strategies to achieve these objectives.

Objective 1: Establish and maintain partnerships to maximize TLQP resources and program success by increasing student academic achievement.

Strategies:

- Support and collaborate with schools/districts in implementing rigorous content and performance standards for teachers and all students in their classrooms, with tests or other activities that measure the increase in student achievement.
- Identify and utilize other public and private resources available for the same purpose and with the same focus.

Objective 2: Provide sustained, intensive, and high-quality professional development and teacher/leader preparation activities that address school and/or district needs identified in the professional development plan.

Strategies:

- Develop mechanisms to involve teachers and administrators with experienced mentors in intensive classroom experiences.
- Evaluate, replicate, and disseminate proven strategies that prepare, support, and retain teachers and administrators in high-need school districts.

Objective 3: Align academic content and classroom strategies with New York State's Learning Standards and student assessment standards.

Strategies:

- Plan, organize, and implement program models/components that enable current and prospective teachers to develop effective classroom strategies to help all students meet New York State's Teaching and Learning Standards.
- Provide a regular forum for K-12 teachers and/or curriculum developers in a district to meet, discuss, and revise classroom curricula to ensure that it is articulated across grade levels.

Objective 4: Provide strong academic content and effective strategies and practices that value equity and diversity and increase the ability of current and prospective educators to meet the needs of all students.

Strategies:

- Provide coursework that enables participants to acquire the academic content and methods necessary to teach a diverse population of students.
- Provide a continuum of services that support participants in acquiring the skills, attitudes, and knowledge necessary to teach all students.
- Provide prospective teachers with substantive classroom opportunities that will assist them in making the pedagogical and content connections between theory and practice.

Objective 5: Increase the number of teachers and principals who are highly qualified and appropriately certified in New York State's high-need districts.

Strategies:

- Develop collaborative relationships with the K-12 community to increase the number of teachers and principals who enroll in programs leading to permanent certification.
- Develop collaborative relationships with the K-12 community to prepare and support teachers and administrators in high-need schools and districts.

See Attachment V for instructions to fill out Objectives 1-5

Objective 1: **Establish and maintain partnerships to maximize TLQP resources and program success by increasing student academic achievement.**				
Strategies	**Activities/Services**	**Staff Responsible**	**Timeframe**	**Performance Measures/ Data Source**

Objective 2: **Provide sustained, intensive, and high-quality professional development and teacher/leader activities that address school and/or district needs identified in the school/district professional development plan.**

Strategies	Activities/Services	Staff Responsible	Timeframe	Performance Measures/Data Source

Objective 3: **Align academic content and classroom strategies with New York Learning Standards and student assessment standards.**				
Strategies	**Activities/Services**	**Staff Responsible**	**Timeframe**	**Performance Measures/Data Source**

Objective 4: **Provide strong academic content and effective strategies and practices that value equity and diversity and increase the ability of current and prospective educators to meet the needs of all students.**

Strategies	Activities/Services	Staff Responsible	Timeframe	Performance Measures/Data Source

Objective 5: **Increase the number of teachers and principals who are highly qualified and appropriately certified in New York State's high-need districts.**				
Strategies	**Activities/Services**	**Staff Responsible**	**Timeframe**	**Performance Measures/Data Source**

TLQP Application - Attachment VI

Institution Name: _____ Page 1 of 2
NYS Higher Education Teacher/Leader Quality Partnerships

NYS HIGHER EDUCATION TLQP
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.

TLQP Application - Attachment VI

Institution Name: _____ Page 2 of 2

NYS Higher Education Teacher/Leader Quality Partnerships

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

Line No.	Expenditure Category	Code	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.

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

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

ATTACHMENT A

DEFINITIONS

Consortium:

For the purposes of this RFP, a consortium is defined as an association or grouping of institutions set up for a common purpose that would be beyond the capabilities of a single member of the group. A consortium must meet all requirements established in NYSED's Consortium Policy for State and Federal Discretionary Grant Programs found in Section XII of this RFP.

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 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 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 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 [in New York State, the required district professional development plans—see Appendix E];
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 1-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
8. Are aligned with and directly related to State academic content standards [NYS Learning Standards];
9. Are developed with extensive participation of teachers, principals, parents, and administrators of schools to be served;
10. Are designed to give teachers of limited English proficient children, and other teachers and professional staff, the knowledge and skills to provide instruction and appropriate language and academic support services to those children, including the appropriate use of curricula and assessments;

11. 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;
12. 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;
13. Provide instruction in methods of teaching children with special needs;
14. Include instruction in the use of data and assessments to inform classroom practice;
15. Include instruction in ways that teachers, principals, and school administrators may work more effectively with parents;
16. Provide prospective and beginning teachers with an opportunity to work under the guidance of experienced teachers and college faculty;
17. 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
18. 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)].

ATTACHMENT B

High-Need Schools

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 4 of the text of the RFP and in Attachment 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 SAIPE data can be found at:
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 http://www.p12.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.

ATTACHMENT C

SCHOOLS UNDER REGISTRATION REVIEW (SURR)

1) NEW YORK CITY

2) UPSTATE
See link below for list of schools:
http://www.**p12**.nysed.gov/accountability/**APA/SURR/PLASURR-Att-A.pdf**

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 Attachment B to determine whether any specific school will be considered high-need for the purposes of TLQP.

ATTACHMENT 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.

- Requirement
- Content of the plan
- Development and adoption of the plan
- Reporting requirement

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.

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(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

ATTACHMENT E: NYS Teacher Center Directory

See the link below for a list.

http://www.nyiteez.org/NYteachercenters/homepage.htm

ATTACHMENT F

2015-2018 TLQP Application

2015-2018 Memorandum of Agreement
Between
(Name of Sponsoring Institution)
and the participating partners for the
NYS Teacher/Leader Quality Partnerships Program

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.

Teacher Preparation Program

Required Partner agrees to (Summarize the activities/services/etc. that the Teacher Preparation Program 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 Attachment A and Instructions for Attachment 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 Attachment 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 Attachment 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 PROGRAM
2015-2018

Name of Institution:

_____

Proposal Number: _____ Contact Name: _____

Date Sent to Reviewer: _____Date Returned: _____

Reviewer: _____ Reviewer's Signature: _____

****

Please rate and provide comments for each category. Indicate strengths and weaknesses of this proposal, and make suggestions for improvement. State your concerns and recommendations clearly because they may be presented to the proposing institution/entity for a response. Further, comments and concerns will be helpful to TLQP Program staff as they provide technical assistance to improve and enhance funded programs. If you need additional space, please feel free to staple additional pages to this form and indicate the item to which each comment refers.

****

SCORE: _____ (OF A POSSIBLE *100 POINTS)

*75 points for for-profits

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).

INSTITUTIONAL EFFECTIVENESS (Maximum 10 points)

Proposal describes institutional progress toward meeting the needs of:

1) Students, teachers, and other educators from high-need schools/districts
2) Teachers who either lack state certification or are teaching out of the field/grade level for which they are certified, and
3) Prospective teachers and administrators who will be working in high-need schools/districts

Proposal provides a clear description of the institution's experience in these areas and of the progress made, including detailed examples. Institutions currently operating a TLQP project or that have previously received DDE grants clearly outline the results of their efforts in meeting these needs.
(10-7.)

Proposal provides a general description of experience and progress in all three areas **or** provides a description with some detail about how the institution has had experience and made progress in at least one of the three areas. Proposals from previously funded TLQP/DDE projects adequately outline previous results. Proposal may include a few examples, but with few details.
(6-1 pts.)

Proposal does not provide information about the institution's experience and progress in these areas.
(0 pts.)

Total points for Institutional Effectiveness ___ / 10

COMMENTS/CONCERNS:

PARTNERSHIPS (Maximum 10 points)

Proposal describes the scope and extent of involvement by:

1) High-need school and/or district partners and the involvement of teachers and/or other school personnel in the planning, implementation, and evaluation of the project
2) The school or department of education and the content area department(s) that are among the required or principal partners
3) Any other partners, such as professional organizations and/or networks, other programs or institutions, or business and industry
4) MOAs should specify how each partner will contribute to the project, should specify the roles and responsibilities of each, and must document substantive collaborations

The proposal provides a clear and detailed description of the scope and extent of involvement by collaborating partners, showing substantial collaboration among them in the planning and proposed implementation of project activities. A signed memorandum of agreement (MOA) **for each partner** is attached (a requirement for funding) and indicates substantial collaboration.
(7-10 pts.)

Proposal provides an adequate description of the scope and extent of involvement by collaborating partners, but critical elements are missing. A signed memorandum of agreement (MOA) **for each partner** is attached, showing plans for some collaboration.
(1-6 pts.)

Proposal does not provide a description of the scope and extent of involvement by collaborating partners, although a signed MOA **for each partner** is included.
(0 pts.)

Total points for Partnerships ___ / 10

COMMENTS/CONCERNS:

PROGRAM OBJECTIVES, STRATEGIES, ACTIVITIES, SERVICES, AND PERFORMANCE MEASURES/DATA SOURCES (Maximum 40 points for Objectives 1-5)

Objective 1: To establish and maintain partnerships in order to maximize TLQP resources and program success by increasing student academic achievement (Maximum: 8 pts.)

Proposal clearly explains how the choice of partners helps to maximize grant resources and program success and describes strategies used to maintain a strong collaboration that leads to program success and increased student academic achievement. It also clearly describes activities and/or services aligned with the proposed strategies and indicates the staff responsible for their implementation, the proposed timeframe for each activity and service, and the performance measure(s)/data source(s) that assess effectiveness of activities and services.
(6-8 pts.)

Proposal gives a general outline of strategies, methods, and assessment tools used for achieving the above objective, but includes few details and may provide incomplete information on implementation, timeframe, or assessment tools.
(1-5 pts.)

Proposal fails to outline strategies, methods, and assessment tools used for achieving the above objective.
(0 pts.)

Objective 1=_____/_8 Points

COMMENTS/CONCERNS:

Objective 2: To provide sustained, intensive, and high-quality professional development and teacher/leader activities that address school/ district needs identified in the school/district professional plan (Maximum 8 pts.)

Proposal clearly describes one or more needs identified in the school/district professional development plan and proposes strategy(ies) designed to address these needs. It indicates in some detail sustained and intensive activities and/or services that are aligned with the proposed strategy(ies) and that are to a large extent embedded in the everyday life of the school. It indicates the staff responsible for the implementation of these activities and services, the proposed timeframe for each, and the performance measure(s)/data source(s) that assess effectiveness of activities and services.
(6-8 pts.)

Proposal gives a general outline of strategies, methods, and assessment tools used for achieving the above objective, but includes few details and may provide incomplete information about implementation, timeframe, or evaluation of the proposed strategies. Proposed activities and services may not be strongly embedded in the everyday life of the school.
(1-5 pts.)

Proposal fails to outline strategies, methods, and assessment tools used for achieving the above objective, **or** activities described are not sustained and intensive, **or** no indication is given that the proposal is addressing needs identified in the school/district professional development plan.
(0 pts.)

Objective 2= _____ / 8 Points

COMMENTS/CONCERNS:

Objective 3: To align academic content and classroom methods with New York State's Learning Standards and student assessment standards (Maximum 8 pts.)

Proposal clearly describes strategies and aligned activities and/or services and indicates the staff responsible for their implementation, the proposed timeframe for each activity and service, and the performance measure(s)/data source(s) that assess effectiveness of activities and services. It indicates explicitly how the strategies and activities are aligned with the Learning Standards and assessment standards, and it includes training in the use of disaggregated classroom and school student achievement data, to help teachers identify teaching and learning needs.
(6-8 pts.)

Proposal indicates that strategies, methods, and assessment tools are aligned with the Learning Standards, but includes little detail. Proposal provides a general description of strategies, implementation, and evaluation, but gives few details and may even omit discussion of some aspect of implementation or evaluation.
(1-5 pts.)

Proposal fails to outline strategies, methods, and assessment tools used for achieving the above objective, **or** strategies proposed do not address NYS Learning Standards.
(0 pts.)

Objective 3= _____ / 8 Points

COMMENTS/CONCERNS:

Objective 4: To provide strong academic content and develop effective practices that value equity and diversity and increase the ability of current and prospective educators to meet the needs of all students (Maximum: 8 pts.)

Proposal clearly describes strategy(ies) designed to achieve the objective and provides detailed information about significant equity activities and/or services, with some of the strategies and/or activities being grounded on scientifically-based research. The proposal indicates the staff responsible for implementation of the activities and services, the proposed timeframe for each, and the performance measure(s)/data source(s) that assess effectiveness of activities and services.
(6-8 pts.)

Proposal gives a general outline of strategies, methods, and assessment tools to be used for achieving the above objective, but includes few details and may provide incomplete information on implementation, timeframe, or evaluation of the proposed strategies. It may give little indication of any activities having a scientific grounding or being related to equity.
(1-5 pts.)

Proposal fails to outline strategies, methods, and assessment tools to be used for achieving the above objective **or** strategies proposed either lack academic content or do not address equity and diversity.
(0 pts.)

Objective 4=____/_8 Points

COMMENTS/CONCERNS:

Objective 5: To increase the number of teachers and principals who are highly qualified and appropriately certified in New York State's high-need districts (Maximum: 8 pts.)

Proposal clearly describes strategy(ies) designed to achieve this objective and provides detailed information about activities and/or services aligned with the proposed strategy, with the proposed activities including induction support for novice teachers. The proposal also indicates the staff responsible for the implementation of these activities and services, the proposed timeframe for each, and the performance measure(s)/data source(s) that assess effectiveness of activities and services.
(6-8pts.)

Proposal gives a general outline of strategies, methods, and assessment tools used for achieving the above objective, but includes few details. It makes either minimal or no reference to plans for induction support for new teachers. It may provide incomplete information about implementation, timeframe, or evaluation of the proposed strategies.
(1-5 pts.)

Proposal fails to outline strategies, methods, and assessment tools that could help achieve the above objective.
(0 pts.)

Objective 5= _____/ 8 Points

COMMENTS/CONCERNS:

_____TOTAL POINTS FOR PROGRAM OBJECTIVES, STRATEGIES, ACTIVITIES,

SERVICES, AND PERFORMANCE MEASURES/DATA SOURCES

RECRUITMENT (Maximum 5 points)

Proposal describes the strategies and activities that will be used to recruit and select a diverse group of pre-service, novice, and experienced teachers/leaders for participation in the project and
lists the specific criteria that must be met by participants in order to be eligible for the program.

Proposal clearly describes these strategies and activities and lists specific criteria to be met.
(4-5 pts.)

Proposal includes only a general description of the strategies, activities, and/or criteria to be met by participants and may omit discussion of **one** of these topics.
(1-3 pts.)

Proposal does not address recruitment strategies/activities and does not list criteria for eligible participants.
(0 pts.)

Total points for Recruitment ____/ 5

COMMENTS/CONCERNS:

RETENTION (Maximum 5 points)

Proposal describes strategies and activities designed to enhance the skills of participants so as to increase their retention rate as teachers and principals in high-need schools.

Proposal provides a clear description of the proposed retention strategies and activities.
(4-5 pts.)

Proposal includes a partial or general description of proposed retention strategies and activities.
(1-3 pts.)

Proposal does not include a description of proposed retention strategies and activities, **or** the described strategies and activities have no clear relevance to retention.
(0 pts.)

Total points for Retention ____ / 5

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/BUDGET NARRATIVE (Maximum 25 points)
NOT-FOR-PROFIT APPLICANTS ONLY

BUDGET AND BUDGET NARRATIVE (Maximum 25 points)

Budget Narrative/Budget

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 2015/2018 Proposed Budget form. **(0-2 points)**

1. Score:_____

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)**

2. Score:_____

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)**

3. Score:_____

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)**

4. Score:_____

Total Budget Narrative/Budget _____ / 25

COMMENTS/CONCERNS:

Scoring

Institutional Effectiveness	**(**	**) out of 10**
Partnerships	**(**	**) out of 10**
Program Objectives, Strategies, Activities, Services And Performance Measures/Data Sources	**(**	**) out of 40**
Recruitment	**(**	**) out of 5**
Retention	**(**	**) out of 5**
Project Staffing and Management	**(**	**) out of 5**
Budget/Budget Narrative (Not-for-profits Only)	**(**	**) out of 25**
Total Score:	**(**	**) out of *100**

*75 points for-profits

Additional Comments: