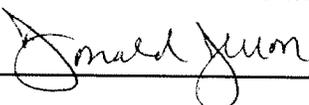


APPLICATION COVER SHEET
SCHOOL IMPROVEMENT GRANTS

<p>Legal Name of Applicant: New York State Education Department</p>	<p>Applicant's Mailing Address: 89 Washington Avenue Albany, NY 12234</p>
<p>State Contact for the School Improvement Grant</p> <p>Name: Sally Bachofer</p> <p>Position and Office: Assistant Commissioner for School Innovation Contact's Mailing Address:</p> <p>Office of School Innovation 475 Education Building Annex 89 Washington Avenue Albany, NY 12234</p> <p>Telephone: 518.474.4817</p> <p>Fax: 518.474.7558</p> <p>Email address: sbachofe@mail.nysed.gov</p>	
<p>Chief State School Officer (Printed Name): Dr. John B. King Jr.</p>	<p>Telephone:</p>
<p>Signature of the Chief State School Officer: Donald Juron, Chief Financial Officer, Signing for Chief State School Officer</p> <p>X </p>	<p>Date: 2/27/13</p>
<p>The State, through its authorized representative, agrees to comply with all requirements applicable to the School Improvement Grants program, including the assurances contained herein and the conditions that apply to any waivers that the State receives through this application.</p>	

School Improvement Grants Application for FY 2012 New Awards Competition

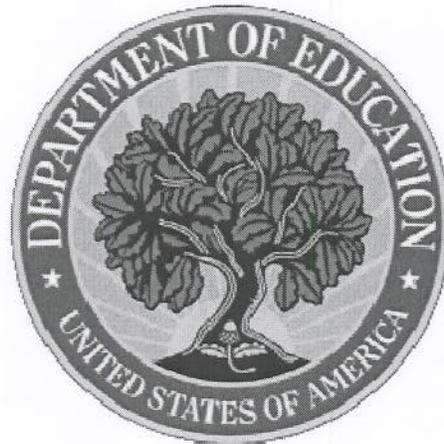
Section 1003(g) of the
Elementary and Secondary Education Act

Fiscal Year 2012

CFDA Number: 84.377A

State Name:

New York State



U.S. Department of Education
Washington, D.C. 20202

OMB Number: _____

Expiration Date: _____

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1810-0682. The time required to complete this information collection is estimated to average 100 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4537.

SCHOOL IMPROVEMENT GRANTS

Purpose of the Program

School Improvement Grants (SIG), authorized under section 1003(g) of Title I of the Elementary and Secondary Education Act of 1965 (Title I or ESEA), are grants to State educational agencies (SEAs) that SEAs use to make competitive subgrants to local educational agencies (LEAs) that demonstrate the greatest need for the funds and the strongest commitment to use the funds to provide adequate resources in order to raise substantially the achievement of students in their lowest-performing schools. Under the final requirements published in the *Federal Register* on October 28, 2010 (<http://www.gpo.gov/fdsys/pkg/FR-2010-10-28/pdf/2010-27313.pdf>), school improvement funds are to be focused on each State's "Priority" or "Tier I" and "Tier II" schools. Tier I schools are the lowest-achieving five percent of a State's Title I schools in improvement, corrective action, or restructuring, Title I secondary schools in improvement, corrective action, or restructuring with graduation rates below 60 percent over a number of years, and, if a State so chooses, certain Title I eligible (and participating) elementary schools that are as low achieving as the State's other Tier I schools ("newly eligible" Tier I schools). Tier II schools are the lowest-achieving five percent of a State's secondary schools that are eligible for, but do not receive, Title I, Part A funds, secondary schools that are eligible for, but do not receive, Title I, Part A funds with graduation rates below 60 percent over a number of years, and, if a State so chooses, certain additional Title I eligible (participating and non-participating) secondary schools that are as low achieving as the State's other Tier II schools or that have had a graduation rate below 60 percent over a number of years ("newly eligible" Tier II schools). An LEA also may use school improvement funds in Tier III schools, which are Title I schools in improvement, corrective action, or restructuring that are not identified as Tier I or Tier II schools and, if a State so chooses, certain additional Title I eligible (participating and non-participating) schools ("newly eligible" Tier III schools). (See Appendix B for a chart summarizing the schools included in each tier.) In the Priority or Tier I and Tier II schools an LEA chooses to serve, the LEA must implement one of four school intervention models: turnaround model, restart model, school closure, or transformation model.

ESEA Flexibility

States that have received approval of their ESEA flexibility request will not be required to maintain a separate list of Tier I and Tier II schools. Under this flexibility, an LEA is eligible to apply for SIG funds to implement one of the four school intervention models defined in the SIG final requirements in a priority school even if that school is not in improvement and thus the LEA would not otherwise be eligible to receive SIG funds for the school. An SEA approved to implement this flexibility may award SIG funds above the amount needed for SIG continuation awards to an LEA with Priority schools according to the rules that apply to Tier I and Tier II schools under the SIG final requirements.

Availability of Funds

The Department of Education Appropriations Act, 2012, provided \$535 million for School Improvement Grants in fiscal year (FY) 2012.

FY 2012 school improvement funds are available for obligation by SEAs and LEAs through September 30, 2013.

State and LEA Allocations

Each State (including the District of Columbia and Puerto Rico), the Bureau of Indian Education, and the outlying areas are eligible to apply to receive a School Improvement Grant. The Department will allocate FY 2012 school improvement funds in proportion to the funds received in FY 2012 by the States, the Bureau of Indian Education, and the outlying areas under Parts A, C, and D of Title I of the ESEA. An SEA must allocate at least 95 percent of its school improvement funds directly to LEAs in accordance with the final requirements (<http://www.gpo.gov/fdsys/pkg/FR-2010-10-28/pdf/2010-27313.pdf>). The SEA may retain an amount not to exceed five percent of its allocation for State administration, evaluation, and technical assistance.

Consultation with the Committee of Practitioners

Before submitting its application for a SIG grant to the Department, an SEA must consult with its Committee of Practitioners established under section 1903(b) of the ESEA regarding the rules and policies contained therein. The Department recommends that the SEA also consult with other stakeholders, such as potential external providers, teachers' unions, and business, civil rights, and community leaders that have an interest in its application.

FY 2012 NEW AWARDS APPLICATION INSTRUCTIONS

This application is for use only by SEAs that will make new awards. New awards are defined as an award of SIG funds to an LEA for a school that the LEA was not previously approved to serve with SIG funds in the school year for which funds are being awarded—in this case, the 2012–2013 school year. New awards may be made with the FY 2012 funds or any remaining FY 2009, FY 2010 and FY 2011 funds not already committed to grants made in earlier competitions. The U.S. Department of Education will not require those SEAs that will use FY 2012 funds solely for continuation awards to submit a SIG application. Rather, such an SEA is required to submit an assurance that it is not making new awards, as defined above, through the separate application titled, “Continuation Awards Only Application for FY 2012 SIG Program”.

An SEA that must submit a FY 2012 application will be required to update its timeline for making awards to LEAs, but may retain all other sections from its FY 2010 application, including its lists of Tier I, II, and III schools and priority schools.

SUBMISSION INFORMATION

Electronic Submission:

The Department strongly prefers to receive an SEA’s FY 2012 SIG application electronically. The application should be sent as a Microsoft Word document, **not** as a PDF.

The SEA should submit its FY 2012 application to the following address: OST.OESE@ED.GOV

In addition, the SEA must submit a paper copy of the cover page signed by the SEA’s authorized representative to the address listed below under “Paper Submission.”

Paper Submission:

If an SEA is not able to submit its application electronically, it may submit the original and two copies of its SIG application to the following address:

Carlas McCauley, Group Leader
Office of School Turnaround
U.S. Department of Education
400 Maryland Avenue, SW, Room 3W320
Washington, DC 20202-6132

Due to potential delays in government processing of mail sent through the U.S. Postal Service, SEAs are encouraged to use alternate carriers for paper submissions.

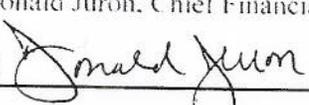
Application Deadline

Applications are due on or before January 18, 2013.

For Further Information

If you have any questions, please contact Carlas McCauley at (202) 260-0824 or by e-mail at Carlas.Mccauley@ed.gov.

APPLICATION COVER SHEET
SCHOOL IMPROVEMENT GRANTS

<p>Legal Name of Applicant: New York State Education Department</p>	<p>Applicant's Mailing Address: 89 Washington Avenue Albany, NY 12234</p>
<p>State Contact for the School Improvement Grant</p> <p>Name: Sally Bachofer</p> <p>Position and Office: Assistant Commissioner for School Innovation Contact's Mailing Address:</p> <p>Office of School Innovation 475 Education Building Annex 89 Washington Avenue Albany, NY 12234</p> <p>Telephone: 518.474.4817</p> <p>Fax: 518.474.7558</p> <p>Email address: sbachofe@mail.nysed.gov</p>	
<p>Chief State School Officer (Printed Name): Dr. John B. King Jr.</p>	<p>Telephone:</p>
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<p>The State, through its authorized representative, agrees to comply with all requirements applicable to the School Improvement Grants program, including the assurances contained herein and the conditions that apply to any waivers that the State receives through this application.</p>	

FY 2012 NEW AWARDS APPLICATION CHECKLIST

Please use this checklist to indicate the changes the SEA elects to make to its FY 2012 application from its FY 2011 application. An SEA will be required to update Section D (Part 1): Timeline, but will have the option to retain all other sections from its FY 2011 application, including its lists of Tier I, II, and III schools.

SECTION A: ELIGIBLE SCHOOLS	<input type="checkbox"/> SEA elects to keep the same definition of “persistently lowest-achieving schools” (PLA schools) as FY 2011	<input checked="" type="checkbox"/> SEA elects to revise its definition of “persistently lowest-achieving schools” (PLA schools) for FY 2012
	<i>For an SEA keeping the same definition of PLA schools, please select one of the following options:</i> <input type="checkbox"/> SEA elects not to generate new lists of Tier I, Tier II, and Tier III schools <input type="checkbox"/> SEA elects to generate new lists	<i>For an SEA revising its definition of PLA schools, please select the following option:</i> <input type="checkbox"/> SEA must generate new lists <input checked="" type="checkbox"/> SEA is substituting the PLA list with its list of priority schools (please see Waiver 4 in Section H of SEA application)
SECTION B: EVALUATION CRITERIA	<input type="checkbox"/> Same as FY 2011	<input checked="" type="checkbox"/> Revised for FY 2012
SECTION B-1: ADDITIONAL EVALUATION CRITERIA	<input type="checkbox"/> Same as FY 2011	<input checked="" type="checkbox"/> Revised for FY 2012
SECTION C: CAPACITY	<input type="checkbox"/> Same as FY 2011	<input checked="" type="checkbox"/> Revised for FY 2012
SECTION D (PART 1): TIMELINE	<input checked="" type="checkbox"/> Revised for FY 2012	
SECTION D (PARTS 2-8): DESCRIPTIVE INFORMATION	<input type="checkbox"/> Same as FY 2011	<input checked="" type="checkbox"/> Revised for FY 2012
SECTION E: SEA RESERVATION	<input type="checkbox"/> Same as FY 2011	<input checked="" type="checkbox"/> Revised for FY 2012
SECTION F: CONSULTATION WITH STAKEHOLDERS	<input checked="" type="checkbox"/> Consultation with stakeholders provided	
SECTION G: WAIVERS	<input type="checkbox"/> Same as FY 2011	<input checked="" type="checkbox"/> Revised for FY 2012

PART I: SEA REQUIREMENTS

As part of its FY 2012 application for a School Improvement Grant under section 1003(g) of the ESEA, an SEA will be required to update its timeline, but may retain all other sections from its FY 2011 application, including its lists of Tier I, II, and III schools.

SECTION A: ELIGIBLE SCHOOLS	
<input type="checkbox"/> Definition of “persistently lowest-achieving schools” (PLA schools) is same as FY 2011	<input type="checkbox"/> Definition of “persistently lowest-achieving schools” (PLA schools) is revised for FY 2012 <input checked="" type="checkbox"/> SEA is substituting the PLA list with its list of priority schools (please see Waiver 4 in Section G of SEA application)
<p><i>For an SEA keeping the same definition of PLA schools, please select one of the following options:</i></p> <input type="checkbox"/> 1. The SEA elects not to generate new lists of Tier I, Tier II, and Tier III schools. The SEA does not need to submit a new list for the FY 2012 application. <input type="checkbox"/> 2. SEA elects to generate new lists. Lists submitted below.	<p><i>For an SEA revising its definition of PLA schools, please select the following option:</i></p> <input type="checkbox"/> 1. SEA must generate new lists of Tier I, Tier II, and Tier III schools because it has revised its definition of “persistently lowest-achieving schools.” Lists submitted below. <input checked="" type="checkbox"/> 2. SEA has generated a PLA list in accordance with their ESEA Flexibility request. List submitted below.

Directions: An SEA that elects to generate new lists or must generate new lists of Priority or Tier I, Tier II, and Tier III schools because it has revised its definition of “persistently lowest-achieving schools” must attach a table to its SIG application that include its lists of all Priority or Tier I, Tier II, and Tier III schools that are eligible for new awards.¹ An SEA that will not generate new lists of Tier I, Tier II, and Tier III schools does not need to submit a new list for the FY 2012 application.

SEAs that generate new lists should create this table in Excel using the format shown below. An example of the table has been provided for guidance.

NYSED is submitting a list of eligible Priority Schools as defined under the New York State accountability system and as approved in the ESEA Flexibility Waiver request in Excel as a separate attachment to this application. The attached list identifies New York’s 221 Priority Schools, and is formatted to indicate schools holding SIG in Cohorts 1, 2 and 3; as well as to indicate those schools eligible for SIG Cohort 4 and beyond, if

¹ A “new award” is defined as an award of SIG funds to an LEA for a school that the LEA was not previously approved to serve with SIG funds in the school year for which funds are being awarded—in this case, the 2012–2013 school year. New awards may be made with the FY 2012 funds or any remaining FY 2009, FY 2010 or FY 2011 funds not already committed to grants made in earlier competitions.

funding is available. According to NYSED’s approved ESEA Flexibility Waiver, a Priority School is among the lowest performing schools in the state based on combined ELA and math performance that is not showing progress or that has had graduation rates below 60% for the last several years. All identified Priority Schools are either:

- Among the lowest five percent of Title I schools in the State based on both achievement and lack of progress of the “all students” group;
- A Title I-participating or Title I-eligible high school with a graduation rate less than 60 percent over a number of years; or
- A currently-served Tier I or Tier II SIG school.

For further detailed information regarding the definition and methodology of identifying Priority Schools, please see NYSED’s approved ESEA Flexibility Waiver, accessible at:

http://www.p12.nysed.gov/accountability/documents/NYSESEAFlexibilityWaiver_REVISIED.pdf (starting on page 77); and in The Part 100 Regulations of the Commissioner of Education – 100.2(p).

SCHOOLS ELIGIBLE FOR FY 2012 SIG FUNDS									
LEA NAME	LEA NCES ID #	SCHOOL NAME	SCHOOL NCES ID#	PRIORITY	TIER I	TIER II	TIER III	GRAD RATE	NEWLY ELIGIBLE ²

EXAMPLE:

SCHOOLS ELIGIBLE FOR FY 2012 SIG FUNDS									
LEA NAME	LEA NCES ID #	SCHOOL NAME	SCHOOL NCES ID#	PRIORITY	TIER I	TIER II	TIER III	GRAD RATE	NEWLY ELIGIBLE
LEA 1	##	HARRISON ES	##		X				
LEA 1	##	MADISON ES	##		X				
LEA 1	##	TAYLOR MS	##				X		X
LEA 2	##	WASHINGTON ES	##		X				
LEA 2	##	FILLMORE HS	##				X		
LEA 3	##	TYLER HS	##			X		X	
LEA 4	##	VAN BUREN MS	##		X				
LEA 4	##	POLK ES	##				X		

Directions: All SEAs are required to list any LEAs with one or more schools for which funding under previously awarded SIG grants will not be renewed. For each such school, note the amount of unused remaining funds and explain how the SEA or LEA plans to use those funds (e.g., reallocate to other schools with SIG grants or retain for a future SIG competition).

² “Newly Eligible” refers to a school that was made eligible to receive SIG funds by the Consolidated Appropriations Act, 2010. A newly eligible school may be identified for Tier I or Tier II because it has not made adequate yearly progress for at least two consecutive years; is in the State’s lowest quintile of performance based on proficiency rates on State’s assessments; and is no higher achieving than the highest-achieving school identified by the SEA as a “persistently lowest-achieving school” or is a high school that has a graduation rate less than 60 percent over a number of years. For complete definitions of and additional information about “newly eligible schools,” please refer to the FY 2010 SIG Guidance, questions A-20 to A-30.

At this time, there are no SIG grants to LEAs that will be non- renewed by NYSED.

LEA NAME	SCHOOL NAME	DESCRIPTION OF HOW REMAINING FUNDS WERE OR WILL BE USED	AMOUNT OF REMAINING FUNDS
TOTAL AMOUNT OF REMAINING FUNDS:			

Directions: In the boxes below, provide updates to any sections, if any, the SEA elects to revise. The only section the SEA will be required to update is *Section D (Part 1): Timeline*. The SEA does not need to resubmit information for any section in which it elects to use the same criteria as its FY 2011 SIG application. See Appendix A for guidelines on the information required for revised sections.

SECTION B: EVALUATION CRITERIA

SEA is using the same information in this section as in its FY 2011 application. The SEA does not need to resubmit this section.

SEA has revised the information in this section for FY 2012. Updated information listed below.

Part 1

The New York State Education Department (NYSED) has updated its SIG RFP for LEAs for FY 2012. A full copy of this updated application is being submitted with this application as a separate attachment. An LEA application for a SIG will be evaluated against the criteria identified in the SIG application scoring guide found on pages 52-69 of the NYSED SIG RFP for LEAs. The following is in specific response to the prompts required by USDE for this section:

1. NYSED will require that the LEA has analyzed the needs of each Priority School for which it is submitting a SIG application to implement one of the four intervention models. Specifically, for each Priority School the LEA must demonstrate a critical and honest assessment of structural/systems gaps and needs, as well as student achievement gaps and needs that are identified as the result of a systemic analysis process. The assessment of needs section must address each of the following elements:
 - Complete the School-level Baseline Data and Target-Setting Chart (Attachment B; SIG RFP).
 - Use statistics and descriptive language, to describe the population of students the school serves, and the unique needs of sub-group (e.g.: students with disabilities, English language learners, students from households that are eligible for free or reduced lunch, first-generation college-goers, and/or students traditionally under-represented in college).
 - Describe the systematic in-depth diagnostic school review of the school conducted by the district, a Joint Intervention Team (JIT), Integrated Intervention Team (ITT), or related outside education experts to determine its existing capacity, strengths, and needs.
 - Describe the results of this systematic school review, including the existing capacity, strengths, and needs to dramatically improve student achievement.
 - Discuss how the LEA/school will prioritize these identified needs in the implementation of the SIG plan.

NYSED will evaluate the quality and completeness of the LEA response to presenting this needs

assessment and its relationship to the intervention model chosen as a solution to identified needs through a 4-level quality rubric (SIG RFP page 57).

2. The FY 2012 SIG RFP requires that LEAs provide acceptable plans and supporting evidence of its capacity to use SIG funds to provide adequate resources and support to each Priority School for which an intervention model (Turnaround, Restart, Closure, and Transformation) is being proposed. LEA proposals for the implementation of one of the four intervention models contain the following areas, specific to the intervention model chosen:
 - Operational Autonomies (4 points)
 - District Accountability and Support (6 points)
 - Teacher and Leader Pipeline (4 points)
 - External Partner Recruitment, Screening, and Matching (2 points)
 - Enrollment and Retention Policies and Practices (2 points)
 - Consultation and Collaboration (2 points)
 - School Overview (2 points)
 - Assessing the Needs of School Systems, Structures, Policies, and Students (4 points)
 - School Model Selection and Rationale (4 points)
 - School Leadership (8 points)
 - Instructional Staff (8 points)
 - Partnerships (6 points)
 - Organizational Plan (8 points)
 - Educational Plan (8 points)
 - Training, Support, and Professional Development (4 points)
 - Communication and Stakeholder Involvement/Engagement (4 points)
 - Project Plan and Timeline (4 points)
 - Budget and Budget Narrative (20 points)

An LEA's capacity to use SIG funds is a part of each of these categories within the LEA RFP. When scored through the SIG Application Scoring Guide (SIG RFP p. 52) the sum of these areas combine for a total of 100 points representing indicators of quality and capacity. As a numerical indicator of quality capacity, and commitment, NYSED has set a minimum threshold 65 points or higher on an individual SIG application to be considered for funding. Thus for FY 2012, an LEA that receives a quality score of 65 points or higher is considered by NYSED to have (initially) demonstrated an overall capacity to use SIG funds to provide adequate resources and support to implement fully and effectively the selected intervention model in the school identified. If an LEA application for a Priority School scores below 65, NYSED will consider the LEA to lack the capacity to implement the intervention model at the specific school.

3. In order to evaluate whether an LEA's budget for a particular Priority School includes sufficient funds to implement the selected intervention fully and effectively, NYSED has laid out explicit criteria for the LEA to present a budget for the school that identifies and explains all proposed costs for district and school-level activities for the entire project period (pre-implementation period plus three years of implementation). In addition, applicants are required to identify all other sources of income that will support and sustain the whole-school change described in this application. Finally, for each major activity, LEAs are required to describe strategies for sustaining these actions or for how/why the district/school practice that will result from the activity can be sustained past the whole project period of

the grant. NYSED will evaluate the quality and completeness of the LEA budget through a 4-level quality rubric (SIG RFP page 68-69).

Part 2

The LEA application for a SIG will be evaluated against the criteria identified in the SIG application scoring guide found on pages 52-69 of the NYSED SIG RFP for LEAs. The following is in specific response to the prompts required by USDE for this section:

1. Embedded throughout the proposal narrative and budget/budget narrative required for the NYSED SIG RFP for LEAs are the quality standards for the design and implementation of interventions consistent with the final requirements of each of the four intervention models. As a numerical indicator of quality, capacity, and commitment, NYSED has set a minimum threshold 65 points or higher on an individual SIG application to be considered for funding. For FY 2012, an LEA that receives a quality score of 65 points or higher is considered by NYSED to have (initially) demonstrated an overall commitment and capacity to fully implement interventions consistent with the final requirements. Once funded, regular reporting to NYSED on progress and leading indicator data, as well as NYSED monitoring efforts will determine an LEA's continued commitment to implementing all final requirements.
2. The FY 2012 SIG RFP for LEAs has a specific section for evaluation; "External Partner Recruitment, Screening, and Matching to Priority Schools." Within this section, NYSED will evaluate an LEA's commitment based on the following standard and sub-criteria (SIG RFP p. 55):
 - The LEA must have a rigorous process for identifying, screening, selecting, matching, and evaluating partner organizations that provide critical services to Priority Schools.
 - Describe the rigorous process and formal LEA mechanisms for identifying, screening, selecting, matching, and evaluating external partner organizations that are providing support to this Priority School.
 - Describe the LEA processes for procurement and budget timelines (or any modifications to standard processes) that will ensure this Priority School will have access to effective external partner support prior to or directly at the start of the year-one implementation period (September 1, 2013).
 - Describe the role of the district and the role of the school principal in terms of identifying, screening, selecting, matching, and evaluating partner organizations supporting this school. Describe the level of choice that the school principal has in terms of the educational partners available and how those options are accessible in a timeline that matches the preparation and start-up of the new school year.

In its FY 2012 SIG RFP, NYSED further defines a rigorous process for external partner selection as one that; 1) explicitly evaluates the track record of quality of an external partner, 2) Reaches a broad audience of potential bidders; 3) is clear in expected deliverables, and 4) is specific in conveying the relationship between the school's needs and the potential external partner's ability to meet those needs.

3. The FY 2012 SIG RFP for LEAs makes explicit the requirement for LEAs to align other resources with

the interventions identified in the SIG model. The notion that the SIG application is a whole-school change plan and not an isolated program within a school is communicated throughout the RFP and broadly evaluated through each section. In addition, the specific budget requirements (SIG RFP p. 22) require LEA applicants to identify all other sources of income that will support and sustain the whole-school change to be implemented through the intervention model.

4. The FY 2012 SIG RFP requires an LEA to explicitly describe how it will modify its practices or policies, if necessary, to enable it to implement the interventions fully and effectively. For example, in the Operational Autonomies section of the RFP (p. 16) the LEA must:

- Provide as evidence formally adopted Board of Education policies and/or procedures for providing the school the appropriate autonomy, operating flexibility, resources, and support to reduce barriers and overly burdensome compliance requirements, and
- Submit as additional evidence, supporting labor-management documentation such as formally executed thin-contracts or election-to-work agreements, or school-based options, that state the conditions for work that match the design needs of Priority School.

As another example, in the External Partner Recruitment, Screening, and Matching section (p. 17), the LEA must:

- Describe the LEA processes for procurement and budget timelines (or any modifications to standard processes) that will ensure this Priority School will have access to effective external partner support prior to or directly at the start of the year-one implementation period (September 1, 2013).

As with other elements, NYSED evaluates the LEAs commitment to these actions, practices, and policies through evaluating LEA responses based on a 4-level rubric.

5. The FY 2012 SIG RFP requires LEAs to explicitly describe the LEAs strategies for sustaining the actions of the intervention model and for how/why the district/school practice that will result from the activity can be sustained past the whole project period of the grant (p. 22). In addition, the three-year SIG opportunity requires descending maximum funding ceilings each year; \$2 million – year 1; \$1.5 million year 2; and \$1 million for year 3. The expectation here is that the LEA makes an increasing commitment to utilize its own resources to support the model. These elements are evaluated within the Budget section of the RFP, through the 4-level rubric.

SECTION B-1: ADDITIONAL EVALUATION CRITERIA FOR PRE-IMPLEMENTATION

SEA is using the same information in this section as in its FY 2011 application. The SEA does not need to resubmit this section.

SEA has revised the information in this section for FY 2012. Updated information listed below.

The NYSED RFP for LEAs for FY 2012 contains the opportunity for pre-implementation activities from the period of April 1, 2013 to August 31, 2013. “Training Support, and Professional Development” (SIG RFP p. 21), and “Project Plan and Time” (SIG RFP p. 22) sections of the LEA RFP are scored within each section.

1. The explicit evaluation criteria for pre-implementation are embedded into the “SIG Budget” (SIG RFP p. 22). NYSED will require LEAs to identify and explain all proposed district and school-level activities for the pre-implementation period. LEAs will be required to organize costs in the pre-implementation budget by major activity, based on each category of the proposal narrative. For each major activity, the LEA will be required to identify the line-item costs associated and provide an explanation/justification of the cost that closely connects to the project activity, goals, and outcomes identified. LEAs will be required to describe how each major pre-implementation activity will enable the LEA to prepare for successful full implementation of the intervention model. The budget and budget narrative will be evaluated on a 4-level scoring guide (SIG RFP p. 68-69.)
2. LEA plans and activities for pre-implementation that demonstrate solid grasp of what will logically prepare the school for effective implementation, accompanied by the capacity of the LEA and school to implement the plan, and budgeted activities that are directly connected to this plan, are the standards for pre-implementation. LEAs will be required to follow section J of USDE SIG guidance for pre-implementation activities. Within the context of USDE budget guidance, specific prompts for pre-implementation include:

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

- Describe the goals and key strategies for the pre-implementation period (April 1 to August 31, 2013) in preparation for the year-one implementation period.

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

- Pre-Implementation Period. Identify in chart form, the planned training, support, and professional development events scheduled during the pre-implementation period (April 1, 2013, to August 31, 2013). For each planned event, identify the specific agent/organization responsible for delivery, the desired measurable outcomes, and the method by which outcomes will be analyzed and reported. Provide a rationale for each planned event and why it will be essential in leading-up to the start of the school year.

Since the LEA application for Round 1 provides for a full 5 months of pre-implementation activities, the LEAs will be required to budget and spend a minimum of \$200,000 for pre-implementation, with no plans for carryover of funds from pre-implementation to year 1 implementation. The rationale for not-allowing funds from pre-implementation to be carried over into the next project cycle, is to create a tighter connection between cash-flow and program activities and to be able to hold LEAs accountable for delivering on the critical start-up activities required to fully and effectively implement the models during the full-implementation phase. In addition, full implementation funds will be available to LEAs and schools at the end of the pre-implementation period so LEAs and schools should not need to access roll-over implementation funds in order to successfully implement and support planned programming. Unspent funds from the round 1 pre-implementation period will be returned to the larger portion of non-awarded 1003(g) and used for subsequent rounds of the competition.

SECTION C: CAPACITY

SEA is using the same information in this section as in its FY 2011 application. The SEA does not need to resubmit this section.

SEA has revised the information in this section for FY 2012. Updated information listed below.

As explained under Section B: Evaluation Criteria, the FY 2012 SIG RFP requires that LEAs provide acceptable plans and supporting evidence of its capacity to implement a SIG intervention model (Turnaround, Restart, Closure, and Transformation) in each Priority School for which a SIG is being proposed. LEA proposals for the implementation of one of the four intervention models contain the following areas, specific to the intervention model chosen:

- Operational Autonomies (4 points)
- District Accountability and Support (6 points)
- Teacher and Leader Pipeline (4 points)
- External Partner Recruitment, Screening, and Matching (2 points)
- Enrollment and Retention Policies and Practices (2 points)
- Consultation and Collaboration (2 points)
- School Overview (2 points)
- Assessing the Needs of School Systems, Structures, Policies, and Students (4 points)
- School Model Selection and Rationale (4 points)
- School Leadership (8 points)
- Instructional Staff (8 points)
- Partnerships (6 points)
- Organizational Plan (8 points)
- Educational Plan (8 points)
- Training, Support, and Professional Development (4 points)
- Communication and Stakeholder Involvement/Engagement (4 points)
- Project Plan and Timeline (4 points)
- Budget and Budget Narrative (20 points)

When scored through the SIG Application Scoring Guide (SIG RFP p. 52) the sum of these areas combine for a total of 100 points representing indicators of quality and capacity. As a numerical indicator of quality and capacity, NYSED has set a minimum threshold 65 points or higher on an individual SIG application to be considered for funding. Thus for FY 2012, an LEA that receives a quality score of 65 points or higher is considered by NYSED to have (initially) demonstrated an overall capacity to implement a SIG model fully and effectively in the school identified. This score of 65 specifically captures an initial assessment of an LEA's capacity to implement because it represents an LEAs demonstration of sound district oversight and support, external partner support identified through a rigorous process, a sound school leadership and instructional staffing plan, and a sound organizational and educational plan, with clear timeline to be implemented. After initial award, structures for communication, support, and monitoring from NYSED will provide for continued and ongoing assessments of capacity. If an LEA application for a Priority School scores below 65, NYSED will consider the LEA to lack the capacity to implement the intervention model at the specific school.

Under NYSED's approved USDE ESEA Flexibility Waiver, LEAs have a choice to serve each Priority School with a whole-school change model through a SIG, a School Innovation Fund (SIF) grant (using RttT and 1003a funding), or to implement a school under registration review (SURR) plan which would be funded solely by the

LEA. Both the SIF and the SURR plans for whole-school change are based upon the U.S. Secretary of Education's turnaround principles. In part due to the sheer number of identified Priority Schools in New York, NYSED does not assume an LEA not applying or planning to serve all its eligible Priority Schools *through a SIG* is a lack of capacity, since there are other mechanisms for the LEA to serve these schools from which the LEA may choose. Therefore, NYSED does not require LEAs to explicitly explain a lack of capacity if it is not applying for a SIG for all its schools in its SIG application.

After the initial submission period for FY 2012 SIG, NYSED will identify LEAs that did not apply for SIG for any of its eligible schools and those LEAs that applied to serve some, but not all of its schools through a SIG. NYSED will follow-up with these LEAs as to the reasons for not applying for a SIG and to determine their alternative plans for serving these Priority Schools. It is NYSED's expectation that all Priority Schools are served through a whole-school change model, whether SIG, SIF, or self-funded, or that they are beginning the closure process.

SECTION D (PART 1): TIMELINE: An SEA must describe its process and timeline for approving LEA applications.

For the FY 2012 competition, NYSED has a goal of approving LEA applications in a time period that provides LEAs enough time to make the necessary structural, staffing, and other pre-implementation activities prior to the start of the 2013-2014 school year. In addition, NYSED has a goal of approving only the highest of quality LEA applications. To meet these goals, NYSED proposes the following timeline:

FY 2012 Competition Round 1:

November 27, 2012: SIG RFP for LEAs Issued
January 25, 2013: LEA applications in response to the RFP submitted
March 1, 2013: Award/non-award decisions made; feedback provided to LEAs
Project Start Date: On or before April 1, 2013

FY 2012 Competition Round 2:

April 15-26, 2013: Round 2 SIG RFP Issued
June 5, 2013: LEA applications in response to the RFP submitted
August 15, 2013: Award/non-award decisions made; feedback provided to LEAs
Project Start Date: On or before September 1, 2013

By running two successive rounds of the FY 2012 SIG competition, NYSED believes that it will be able to meet both goals and timelines identified above. LEA applicants who do not successfully win a SIG from round one, will be provided with quality feedback from its first application. LEAs that were not funded in Round 1 may be able to use this feedback to resubmit an LEA/school application for Round 2. Based on the timeline for Round 2, the LEA application will not provide for a 5-month pre-implementation period.

SECTION D (PARTS 2-8) DESCRIPTIVE INFORMATION:

SEA is using the same information in this section as in its FY 2011 application. The SEA does not need to resubmit this section.

SEA has revised the information in this section for FY 2012. Updated information listed below.

2. For the FY 2012 SIG RFP, Attachment B: School-level Baseline Data and Target Setting Chart (p. 29), requires LEAs to set target benchmarks in a variety of leading and lagging indicators of student achievement. For leading indicators, NYSED will require quarterly reports from SIG schools in order to identify whether the school is trending in a positive or negative direction, relative to the annual goals and targets set. In addition, at the end of each annual period, LEAs will report NYS assessment data, which will provide additional evidence of school progress. While these are initially awarded as 3-year grants, NYSED will compare NYS assessment data and other leading indicator data to the targets set by the LEA during its application and make a determination of whether to renew the funded application for its additional years based on its progress toward these targets.
3. Depending on the number of fundable SIG applications for the first round of the FY 2012 SIG competition, NYSED may open the SIG competition up to Tier III or Focus Schools. In the event that the FY 2012 SIG RFP is made available to Tier III or Focus Schools, the same method of reviewing annual goals identified in #2 of this section will be followed.
4. SIG recipients for the FY 2012 SIG RFP will be required to submit quarterly and annual reports on leading indicators and other program evaluation data. As an initial form of monitoring, NYSED will review these reports for implementation progress and fiscal expenditures on a quarterly basis. In addition, NYSED will conduct an annual on-site school review using the newly developed Diagnostic Tool for District and School Effectiveness, which measures the quality of implementation of the school's whole-school change model within the context of six tenets aligned with the U.S. Secretary of Education's turnaround principles.
5. With the newly created Priority School list under NYSED's approved ESEA waiver, the Department recognizes that it will not have sufficient funding to provide a grant to every eligible Priority School. Thus, NYSED is running the FY 2012 SIG RFP as a true competition. Within this competitive framework, the following describes the NYSED method of prioritization and award:

All applications reviewed for *Turnaround, Restart, and Transformation* models receiving the minimum required final average score or above will be ranked in order of the final average score, regardless of model proposed. All applications reviewed for *Closure* models that receive the minimum required final average score or above will be ranked separately, in order of the final average score. SIG funding will be awarded first to those applications for *Turnaround, Restart and Transformation* models receiving the minimum score or above. Applicants scoring at or above the minimum threshold will be awarded in rank order of score until funds are insufficient to fund the next ranking application in full. After all applicants in the *Turnaround, Restart and Transformation* models have been awarded NYSED will award *Closure* model applicants that have received the minimum average score or more in rank order. In the event of a tie score within the ranking for *Turnaround, Restart, and Transformation* models, the applicant with the highest combined score for Section II D. School Leadership and G. Organizational Plan will be ranked higher. In the event of a tie score within the ranking for the *Closure* model, the applicant with the

highest total score for F. Project Plan Narrative/Timeline will be ranked higher.

6. If after running the first round of the FY 2012 SIG RFP competition, there are not enough fundable applications to expend all available funding, NYSED may opt to include Tier III or Focus Schools into the round 2 competition. If NYSED opens the round two FY 2012 SIG RFP competition up to Priority and Tier III or Focus Schools, these method of prioritization of award will mirror what has been described in #5 of this section.
7. Not Applicable
8. Not Applicable

SECTION E: SEA RESERVATION

SEA is using the same information in this section as in its FY 2011 application. The SEA does not need to resubmit this section.

SEA has revised the information in this section for FY 2012. Updated information listed below.

The SIG program is directly administered by the NYSED Office of School Innovation, School Turnaround Office, with support from the Office of Accountability. The School Turnaround Office in the Office of School Innovation is responsible for the initial design of the SIG RFP for LEAs, and for running the FY 2012 competition. In addition, the School Turnaround Office is responsible for providing formal and informal support through a community of practice with LEAs with SIG schools and basic fiscal administration of the FY 2012 grants. Within the Office of Accountability, a newly created Metrics Unit will be responsible for collecting, analyzing, and reporting leading and lagging indicators for SIG schools. The Title-I Office in the Office of Accountability is responsible for final SIG budget compliance, and fiscal monitoring of all continuing and new SIG grants. In addition, school and district review teams within the Office of Accountability will conduct annual whole school reviews and evaluation of SIG schools using the newly created Diagnostic Tool for School and District Effectiveness (DTSDE).

The SEA reservation has been and will continue to be used to support the salaries, fringe benefit and indirect costs of the offices responsible for the administration of SIG. These offices support:

1) the provision of technical assistance on school intervention strategies including the use of technology to support data collection and monitoring;

2) travel related expenses for on-site technical assistance, monitoring and evaluation of LEA and school implementation of the four intervention models.

NYSED also plans to use SIG administrative funds to support implementation of a statewide evaluation to determine the extent to which LEAs and targeted schools are implementing the selected intervention models and assess impacts that the models are having on student performance.

The SEA reservation also has supported the build and maintenance of a student data system that tracks student performance and accountability.

SECTION F: CONSULTATION WITH STAKEHOLDERS

By checking this box, the SEA assures that it has consulted with its Committee of Practitioners regarding the information set forth in its application.

NYSED consulted with its Title I Committee of Practitioners (Title I COP) on this specific application at the February 12, 2013 COP meeting. In addition, NYSED identified the parameters and information set forth in the SIG competition for FY 2012 in its ESEA waiver application, and has consulted with the COP around this waiver application, which includes the information on FY 2012 SIG, in October of 2011, January, 12, 2012, and January 31, 2012. The more than sixty (60) Title I COP members include NYSED staff, school superintendents, district administrators and five (5) teachers, advocacy groups, parents, state and local collective bargaining units for teachers, and representatives from the nonpublic school sector.

SECTION G: WAIVERS: SEAs are invited to request waivers of the requirements set forth below. An SEA must check the corresponding box(es) to indicate which waiver(s) it is requesting.

WAIVERS OF SEA REQUIREMENTS

The New York State Education Department requests a waiver of the State-level requirements it has indicated below. The State believes that the requested waiver(s) will increase its ability to implement the SIG program effectively in eligible schools in the State in order to improve the quality of instruction and raise the academic achievement of students in Priority or Tier I, Tier II, and Tier III schools.

Waiver 1: Tier II waiver

Note: An SEA that requested and received the Tier II waiver for its FY 2011 definition of “persistently lowest achieving schools” should request the waiver again only if it is generating new lists of Tier I, Tier II, and Tier III schools.

In order to enable the State to generate new lists of Tier I, Tier II, and Tier III schools for its FY 2012 competition, waive paragraph (a)(2) of the definition of “persistently lowest-achieving schools” in Section I.A.3 of the SIG final requirements and incorporation of that definition in identifying Tier II schools under Section I.A.1(b) of those requirements to permit the State to include, in the pool of secondary schools from which it determines those that are the persistently lowest-achieving schools in the State, secondary schools participating under Title I, Part A of the ESEA that have not made adequate yearly progress (AYP) for at least two consecutive years or are in the State’s lowest quintile of performance based on proficiency rates on the State’s assessments in reading/language arts and mathematics combined.

Assurance

The State assures that it will include in the pool of schools from which it identifies its Tier II schools all Title I secondary schools not identified in Tier I that either (1) have not made AYP for at least two consecutive years; or (2) are in the State’s lowest quintile of performance based on proficiency rates on the State’s assessments in reading/language arts and mathematics combined. Within that pool, the State assures that it will identify as Tier II schools the persistently lowest-achieving schools in accordance with its approved definition. The State is attaching the list of schools and their level of achievement (as determined under paragraph (b) of the definition of “persistently lowest-achieving schools”) that would be identified as Tier II schools without the waiver and those that would be identified with the waiver. The State assures that it will ensure that any LEA that chooses to use SIG funds in a Title I secondary school that becomes an eligible Tier II school based on this waiver will comply with the SIG final requirements for serving that school.

Waiver 2: n-size waiver

Note: An SEA that requested and received the n-size waiver for its FY 2011 definition of “persistently lowest-achieving schools” should request the waiver again only if it is generating new lists of Tier I, Tier II, and Tier III schools.

In order to enable the State to generate new lists of Tier I, Tier II, and Tier III schools for its FY 2012 competition, waive the definition of “persistently lowest-achieving schools” in Section I.A.3 of the SIG final requirements and the use of that definition in Section I.A.1(a) and (b) of those requirements to permit the State to exclude, from the pool of schools from which it identifies the persistently lowest-achieving schools for Tier I and Tier II, any school in which the total number of students in the “all students” group in the grades assessed is less than **[Please indicate number]**.

Assurance

The State assures that it determined whether it needs to identify five percent of schools or five schools in each tier prior to excluding small schools below its “minimum n.” The State is attaching, and will post on its Web site, a list of the schools in each tier that it will exclude under this waiver and the number of students in each school on which that determination is based. The State will include its “minimum n” in its definition of “persistently lowest-achieving schools.” In addition, the State will include in its list of Tier III schools any schools excluded from the pool of schools from which it identified the persistently lowest-achieving schools in accordance with this waiver.

Waiver 3: New list waiver

Because the State does not elect to generate new lists of Tier I, Tier II, and Tier III schools, waive Sections I.A.1 and II.B.10 of the SIG final requirements to permit the State to use the same Tier I, Tier II, and Tier III lists it used for its FY 2011 competition.

Waiver 4: Priority schools list waiver

In order to enable the State to replace its lists of Tier I, Tier II, and Tier III schools with its list of Priority schools under ESEA flexibility, waive the school eligibility requirements in Section I.A.1 of the SIG final requirements.

Assurance

The State assures that, through its request for ESEA flexibility, its priority school definition provides an acceptable alternative methodology for identifying the State's lowest-performing schools and thus is an appropriate replacement for the eligibility requirements and definition of PLA schools in the SIG final requirements.

WAIVERS OF LEA REQUIREMENTS

The New York State Education Department requests a waiver of the requirements it has indicated below. These waivers would allow any local educational agency (LEA) in the State that receives a School Improvement Grant to use those funds in accordance with the final requirements for School Improvement Grants and the LEA's application for a grant.

The State believes that the requested waiver(s) will increase the quality of instruction for students and improve the academic achievement of students in Priority, Tier I, Tier II, and Tier III schools by enabling an LEA to use more effectively the school improvement funds to implement one of the four school intervention models in its Priority or Tier I, Tier II, or Tier III schools. The four school intervention models are specifically designed to raise substantially the achievement of students in the State's Priority or Tier I, Tier II, and Tier III schools.

Waiver 5: School improvement timeline waiver

Note: An SEA that requested and received the school improvement timeline waiver for the FY 2011 competition and wishes to also receive the waiver for the FY 2012 competition must request the waiver again in this application.

Schools that started implementation of a turnaround or restart model in the 2010-2011, 2011-2012 or 2012-2013 school years cannot request this waiver to "start over" their school improvement timeline again.

Waive section 1116(b)(12) of the ESEA to permit LEAs to allow their Priority or Tier I, Tier II, and Tier III Title I participating schools that will fully implement a turnaround or restart model beginning in the 2013-2014 school year to "start over" in the school improvement timeline.

Assurances

The State assures that it will permit an LEA to implement this waiver only if the LEA receives a School Improvement Grant and requests the waiver in its application as part of a plan to implement the turnaround or restart model beginning in 2013-2014 in a school that the SEA has approved it to serve. As such, the LEA may only implement the waiver in Priority or Tier I, Tier II, and Tier III schools, as applicable, included in its application.

The State assures that, if it is granted this waiver, it will submit to the U.S. Department of Education a report that sets forth the name and NCES District Identification Number for each LEA implementing a waiver.

Waiver 6: Schoolwide program waiver

Note: An SEA that requested and received the schoolwide program waiver for the FY 2011 competition and wishes to also receive the waiver for the FY 2012 competition must request the waiver again in this application.

Waive the 40 percent poverty eligibility threshold in section 1114(a)(1) of the ESEA to permit LEAs to implement a schoolwide program in a Priority, Tier I, Tier II, or Tier III Title I participating school that does not meet the poverty threshold and is fully implementing one of the four school intervention models.

Assurances

The State assures that it will permit an LEA to implement this waiver only if the LEA receives a School Improvement Grant and requests to implement the waiver in its application. As such, the LEA may only implement the waiver in Priority or Tier I, Tier II, and Tier III schools, as applicable, included in its application.

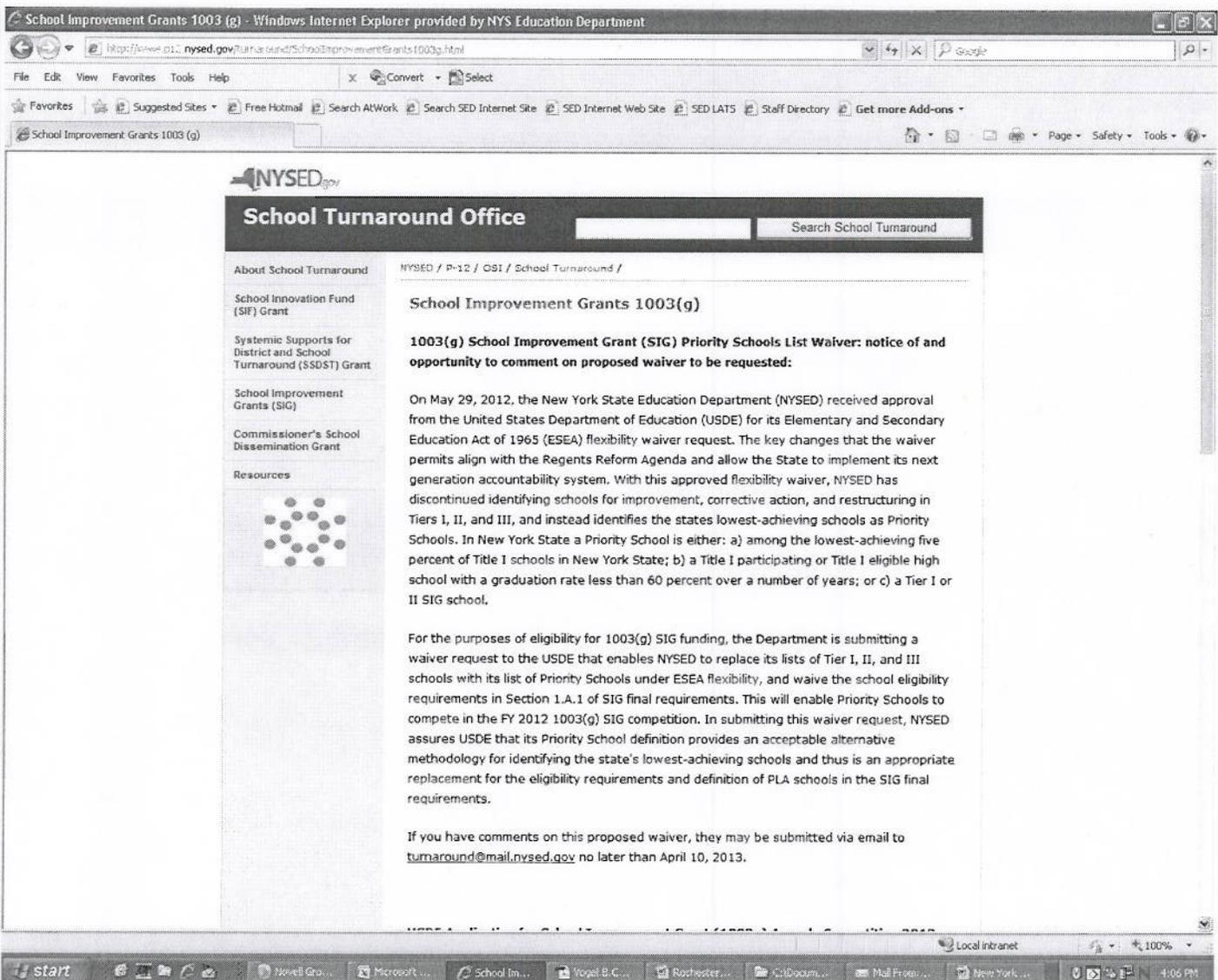
The State assures that, if it is granted this waiver, it will submit to the U.S. Department of Education a report that sets forth the

name and NCES District Identification Number for each LEA implementing a waiver.

ASSURANCE OF NOTICE AND COMMENT PERIOD – APPLIES TO ALL WAIVER REQUESTS
(Must check if requesting one or more waivers)

X The State assures that, prior to submitting its School Improvement Grant application, the State provided all LEAs in the State that are eligible to receive a School Improvement Grant with notice and a reasonable opportunity to comment on its waiver request(s) and has attached a copy of that notice as well as copies of any comments it received from LEAs. The State also assures that it provided notice and information regarding the above waiver request(s) to the public in the manner in which the State customarily provides such notice and information to the public (e.g., by publishing a notice in the newspaper; by posting information on its Web site) and has attached a copy of, or link to, that notice.

NYSED posted the following public notice for the Priority Schools List waiver (waiver # 4). NYSED received no public comments in response to this posting. A copy of the web-posting is presented below:



School Improvement Grants 1003 (g) - Windows Internet Explorer provided by NYS Education Department

http://www.nysed.gov/turnaround/SchoolImprovementGrants1003g.html

File Edit View Favorites Tools Help

School Improvement Grants 1003 (g)

NYSED
School Turnaround Office

Search School Turnaround

About School Turnaround

School Innovation Fund (SIF) Grant

Systemic Supports for District and School Turnaround (SSDST) Grant

School Improvement Grants (SIG)

Commissioner's School Dissemination Grant

Resources

NYSED / P-12 / OS1 / School Turnaround /

School Improvement Grants 1003(g)

1003(g) School Improvement Grant (SIG) Priority Schools List Waiver: notice of and opportunity to comment on proposed waiver to be requested:

On May 29, 2012, the New York State Education Department (NYSED) received approval from the United States Department of Education (USDE) for its Elementary and Secondary Education Act of 1965 (ESEA) flexibility waiver request. The key changes that the waiver permits align with the Regents Reform Agenda and allow the State to implement its next generation accountability system. With this approved flexibility waiver, NYSED has discontinued identifying schools for improvement, corrective action, and restructuring in Tiers I, II, and III, and instead identifies the states lowest-achieving schools as Priority Schools. In New York State a Priority School is either: a) among the lowest-achieving five percent of Title I schools in New York State; b) a Title I participating or Title I eligible high school with a graduation rate less than 60 percent over a number of years; or c) a Tier I or II SIG school.

For the purposes of eligibility for 1003(g) SIG funding, the Department is submitting a waiver request to the USDE that enables NYSED to replace its lists of Tier I, II, and III schools with its list of Priority Schools under ESEA flexibility, and waive the school eligibility requirements in Section 1.A.1 of SIG final requirements. This will enable Priority Schools to compete in the FY 2012 1003(g) SIG competition. In submitting this waiver request, NYSED assures USDE that its Priority School definition provides an acceptable alternative methodology for identifying the state's lowest-achieving schools and thus is an appropriate replacement for the eligibility requirements and definition of PLA schools in the SIG final requirements.

If you have comments on this proposed waiver, they may be submitted via email to turnaround@mail.nysed.gov no later than April 10, 2013.

PART II: LEA APPLICATION

An SEA must develop an LEA application form that it will use to make subgrants of school improvement funds to eligible LEAs.

LEA APPLICATION	
<input type="checkbox"/> SEA is using the same FY 2011 LEA application form for FY 2012. The SEA does not need to resubmit the LEA application.	<input checked="" type="checkbox"/> SEA has revised its LEA application form for FY 2012. The SEA must submit its LEA application form with its application to the Department for a School Improvement Grant. The SEA should attach the LEA application form in a separate document.

Note: NYSED is including with this application, a copy of the FY 2012 SIG RFP for LEAs in MS Word. This RFP for LEAs contains all of the LEA application requirements identified below. In order to facilitate a review of the RFP for LEAs, NYSED has also included a **crosswalk**, which identifies the specific LEA application requirement identified below, and its corresponding page numbers in the RFP for LEAs (see **FY 2012 SIG requirements crosswalk.doc**, attached).

1
LEA APPLICATION REQUIREMENTS

The LEA application form that the SEA uses must contain, at a minimum, the information set forth below. An SEA may include other information that it deems necessary in order to award school improvement funds to its LEAs.

A. SCHOOLS TO BE SERVED: An LEA must include the following information with respect to the schools it will serve with a School Improvement Grant.									
An LEA must identify each Priority, Tier I, Tier II, or Tier III school the LEA commits to serve and identify the model that the LEA will use in each Priority, Tier I or Tier II school.									
SCHOOL NAME	NCES ID #	PRIORITY	TIER I	TIER II	TIER III	INTERVENTION (TIER I AND II ONLY)			
						turnaround	restart	closure	transformation
Note: An LEA that has nine or more Tier I, Tier II or priority schools may not implement the transformation model in more than 50 percent of those schools.									

B. DESCRIPTIVE INFORMATION: An LEA must include the following information in its application for a School Improvement Grant.

- (1) For each Priority or Tier I and Tier II school that the LEA commits to serve, the LEA must demonstrate that—
 - The LEA has analyzed the needs of each school and selected an intervention for each school; and
 - The LEA has the capacity to use school improvement funds to provide adequate resources and related support to each Priority or Tier I and Tier II school identified in the LEA's application in order to implement, fully and effectively, the required activities of the school intervention model it has selected.
- (2) If the LEA is not applying to serve each Priority or Tier I school, the LEA must explain why it lacks capacity to serve each Priority or Tier I school.
- (3) The LEA must describe actions it has taken, or will take, to—
 - Design and implement interventions consistent with the final requirements;
 - Recruit, screen, and select external providers, if applicable, to ensure their quality;
 - Align other resources with the interventions;
 - Modify its practices or policies, if necessary, to enable its schools to implement the interventions fully and effectively; and
 - Sustain the reforms after the funding period ends.
- (4) The LEA must include a timeline delineating the steps it will take to implement the selected intervention in each Priority or Tier I and Tier II school identified in the LEA's application.
- (5) The LEA must describe the annual goals for student achievement on the State's assessments in both reading/language arts and mathematics that it has established in order to monitor its Priority or Tier I and Tier II schools that receive school improvement funds.
- (6) For each Tier III school the LEA commits to serve, the LEA must identify the services the school will receive or the activities the school will implement.
- (7) The LEA must describe the goals it has established (subject to approval by the SEA) in order to hold accountable its Tier III schools that receive school improvement funds.
- (8) As appropriate, the LEA must consult with relevant stakeholders regarding the LEA's application and implementation of school improvement models in its Priority or Tier I and Tier II schools.

C. BUDGET: An LEA must include a budget that indicates the amount of school improvement funds the LEA will use each year in each Priority, Tier I, Tier II, and Tier III school it commits to serve.

The LEA must provide a budget that indicates the amount of school improvement funds the LEA will use each year to—

- Implement the selected model in each Priority or Tier I and Tier II school it commits to serve;
- Conduct LEA-level activities designed to support implementation of the selected school intervention models in the LEA’s Priority or Tier I and Tier II schools; and
- Support school improvement activities, at the school or LEA level, for each Tier III school identified in the LEA’s application.

Note: An LEA’s budget should cover three years of full implementation and be of sufficient size and scope to implement the selected school intervention model in each Priority or Tier I and Tier II school the LEA commits to serve. Any funding for activities during the pre-implementation period must be included in the first year of the LEA’s three-year budget plan.

An LEA’s budget for each year may not exceed the number of Priority or Tier I, Tier II, and Tier III schools it commits to serve multiplied by \$2,000,000 or no more than \$6,000,000 over three years.

Example:

LEA XX BUDGET					
	Year 1 Budget		Year 2 Budget	Year 3 Budget	Three-Year Total
	Pre-implementation	Year 1 - Full Implementation			
Tier I ES #1	\$257,000	\$1,156,000	\$1,325,000	\$1,200,000	\$3,938,000
Tier I ES #2	\$125,500	\$890,500	\$846,500	\$795,000	\$2,657,500
Tier I MS #1	\$304,250	\$1,295,750	\$1,600,000	\$1,600,000	\$4,800,000
Tier II HS #1	\$530,000	\$1,470,000	\$1,960,000	\$1,775,000	\$5,735,000
LEA-level Activities	\$250,000		\$250,000	\$250,000	\$750,000
Total Budget	\$6,279,000		\$5,981,500	\$5,620,000	\$17,880,500

D. ASSURANCES: An LEA must include the following assurances in its application for a School Improvement Grant.

The LEA must assure that it will—

- (1) Use its School Improvement Grant to implement fully and effectively an intervention in each Priority or Tier I and Tier II school that the LEA commits to serve consistent with the final requirements;
- (2) Establish annual goals for student achievement on the State’s assessments in both reading/language arts and mathematics and measure progress on the leading indicators in section III of the final requirements in order to monitor each Priority or Tier I and Tier II school that it serves with school improvement funds, and

establish goals (approved by the SEA) to hold accountable its Tier III schools that receive school improvement funds;

- (3) If it implements a restart model in a Priority, Tier I or Tier II school, include in its contract or agreement terms and provisions to hold the charter operator, charter management organization, or education management organization accountable for complying with the final requirements;
- (4) Monitor and evaluate the actions a school has taken, as outlined in the approved SIG application, to recruit, select and provide oversight to external providers to ensure their quality.
- (5) Monitor and evaluate the actions schools have taken, as outlined in the approved SIG application, to sustain the reforms after the funding period ends and that it will provide technical assistance to schools on how they can sustain progress in the absence of SIG funding.; and
- (6) Report to the SEA the school-level data required under section III of the final requirements.

E. WAIVERS: If the SEA has requested any waivers of requirements applicable to the LEA's School Improvement Grant, an LEA must indicate which of those waivers it intends to implement.

The LEA must check each waiver that the LEA will implement. If the LEA does not intend to implement the waiver with respect to each applicable school, the LEA must indicate for which schools it will implement the waiver.

- "Starting over" in the school improvement timeline for Priority or Tier I and Tier II Title I participating schools implementing a turnaround or restart model.
- Implementing a school-wide program in a Priority, Tier I or Tier II Title I participating school that does not meet the 40 percent poverty eligibility threshold.

APPENDIX A

REQUIRED INFORMATION FOR REVISED SEA APPLICATION SECTIONS

B. EVALUATION CRITERIA:

Part 1: The three actions listed in Part 1 are ones that an LEA must take prior to submitting its application for a School Improvement Grant. Accordingly, the SEA must describe, with specificity, the criteria the SEA will use to evaluate an LEA's application with respect to each of the following actions:

- (1) The LEA has analyzed the needs of each Priority or Tier I and Tier II school identified in the LEA's application and has selected an intervention for each school.
- (2) The LEA has demonstrated that it has the capacity to use school improvement funds to provide adequate resources and related support to each Priority or Tier I and Tier II school identified in the LEA's application in order to implement fully and effectively the selected intervention in each of those schools.
- (3) The LEA's budget includes sufficient funds to implement the selected intervention fully and effectively in each Priority or Tier I and Tier II school identified in the LEA's application, as well as to support school improvement activities in Tier III schools, throughout the period of availability of those funds (taking into account any waiver extending that period received by either the SEA or the LEA).

Part 2: The actions in Part 2 are ones that an LEA may have taken, in whole or in part, prior to submitting its application for a School Improvement Grant, but most likely will take after receiving a School Improvement Grant. Accordingly, an SEA must describe the criteria it will use to assess the LEA's commitment to do the following:

- (1) Design and implement interventions consistent with the final requirements.
- (2) Recruit, screen, and select external providers, if applicable, to ensure their quality.
- (3) Align other resources with the interventions.
- (4) Modify its practices or policies, if necessary, to enable it to implement the interventions fully and effectively.
- (5) Sustain the reforms after the funding period ends.

B-1. ADDITIONAL EVALUATION CRITERIA: In addition to the evaluation criteria listed in Section B, the SEA must evaluate the following information in an LEA's budget and application:

- (1) How will the SEA review an LEA's proposed budget with respect to activities carried out during the pre-implementation period² to help an LEA prepare for full implementation in the following school year?
- (2) How will the SEA evaluate the LEA's proposed activities to be carried out during the pre-implementation period to determine whether they are allowable? *(For a description of allowable activities during the pre-implementation period, please refer to section J of the FY 2010 SIG Guidance.)*

² "Pre-implementation" enables an LEA to prepare for full implementation of a school intervention model at the start of the 2012-2013 school year. For a full description of pre-implementation, please refer to section J of the SIG Guidance.

C. CAPACITY: The SEA must explain how it will evaluate whether an LEA lacks capacity to implement a school intervention model in each Tier I school.

An LEA that applies for a School Improvement Grant must serve each of its Priority or Tier I schools using one of the four school intervention models unless the LEA demonstrates that it lacks sufficient capacity to do so. If an LEA claims it lacks sufficient capacity to serve each Priority or Tier I school, the SEA must evaluate the sufficiency of the LEA's claim. Claims of lack of capacity should be scrutinized carefully to ensure that LEAs effectively intervene in as many of their Priority or Tier I schools as possible.

The SEA must explain how it will evaluate whether an LEA lacks capacity to implement any of the school intervention models in its Priority or Tier I school(s). The SEA must also explain what it will do if it determines that an LEA has more capacity than the LEA demonstrates.

D (PARTS 2-8). DESCRIPTIVE INFORMATION:

(2) Describe the SEA's process for reviewing an LEA's annual goals for student achievement for its Priority or Tier I and Tier II schools and how the SEA will determine whether to renew an LEA's School Improvement Grant with respect to one or more Priority, Tier I or Tier II schools in the LEA that are not meeting those goals and making progress on the leading indicators in section III of the final requirements.

(3) Describe the SEA's process for reviewing the goals an LEA establishes for its Tier III schools (subject to approval by the SEA) and how the SEA will determine whether to renew an LEA's School Improvement Grant with respect to one or more Tier III schools in the LEA that are not meeting those goals.

(4) Describe how the SEA will monitor each LEA that receives a School Improvement Grant to ensure that it is implementing a school intervention model fully and effectively in the Priority or Tier I and Tier II schools the LEA is approved to serve.

(5) Describe how the SEA will prioritize School Improvement Grants to LEAs if the SEA does not have sufficient school improvement funds to serve all eligible schools for which each LEA applies.

(6) Describe the criteria, if any, that the SEA intends to use to prioritize among Tier III schools.

(7) If the SEA intends to take over any Priority, Tier I or Tier II schools, identify those schools and indicate the school intervention model the SEA will implement in each school.

(8) If the SEA intends to provide services directly to any schools in the absence of a takeover, identify those schools and, for Priority, Tier I or Tier II schools, indicate the school intervention model the SEA will implement in each school and provide evidence of the LEA's approval to have the SEA provide the services directly.³

³ If, at the time an SEA submits its application, it has not yet determined whether it will provide services directly to any schools in the absence of a takeover, it may omit this information from its application. However, if the SEA later decides that it will provide such services, it must amend its application to provide the required information.

E. ASSURANCES

By submitting this application, the SEA assures that it will do the following (check each box):

- Comply with the final requirements and ensure that each LEA carries out its responsibilities outlined in the final requirements.
- Award each approved LEA a School Improvement Grant in an amount that is of sufficient size and scope to implement the selected intervention in each Priority or Tier I and Tier II school that the SEA approves the LEA to serve.
- Ensure, if the SEA is participating in the Department's differentiated accountability pilot, that its LEAs will use school improvement funds consistent with the final requirements.
- Monitor and evaluate the actions an LEA has taken, as outlined in its approved SIG application, to recruit, select and provide oversight to external providers to ensure their quality.
- Monitor and evaluate the actions the LEA has taken, as outlined in its approved SIG application, to sustain the reforms after the funding period ends and that it will provide technical assistance to LEAs on how they can sustain progress in the absence of SIG funding.
- If a Priority, Tier I or Tier II school implementing the restart model becomes a charter school LEA, hold the charter school operator or charter management organization accountable, or ensure that the charter school authorizer holds the respective entity accountable, for meeting the final requirements.
- Post on its Web site, within 30 days of awarding School Improvement Grants, all final LEA applications and a summary of the grants that includes the following information: name and NCES identification number of each LEA awarded a grant; total amount of the three year grant listed by each year of implementation; name and NCES identification number of each school to be served; and type of intervention to be implemented in each Priority or Tier I and Tier II school.
- Report the specific school-level data required in section III of the final SIG requirements.

F. SEA RESERVATION: The SEA may reserve an amount not to exceed five percent of its School Improvement Grant for administration, evaluation, and technical assistance expenses.

The SEA must briefly describe the activities related to administration, evaluation, and technical assistance that the SEA plans to conduct with any State-level funds it chooses to reserve from its School Improvement Grant allocation.

The SIG program is directly administered by the NYSED Office of School Innovation, School Turnaround Office, with support from the Office of Accountability. The School Turnaround Office in the Office of School Innovation is responsible for the initial design of the SIG RFP for LEAs, and for running the FY 2012 competition. In addition, the School Turnaround Office is responsible for providing formal and informal support through a community of practice with LEAs with SIG schools and basic fiscal administration of the

FY 2012 grants. Within the Office of Accountability, a newly created Metrics Unit will be responsible for collecting, analyzing, and reporting leading and lagging indicators for SIG schools. The Title-I Office in the Office of Accountability is responsible for final SIG budget compliance, and fiscal monitoring of all continuing and new SIG grants. In addition, school and district review teams within the Office of Accountability will conduct annual whole school reviews and evaluation of SIG schools using the newly created Diagnostic Tool for School and District Effectiveness (DTSDE).

APPENDIX B

	Schools an SEA MUST identify	Newly eligible schools an SEA MAY identify
Priority	Schools that, based on the most recent data available, have been identified as among the lowest-performing schools in the State. The total number of priority schools in a State must be at least five percent of the Title I schools in the State.	A school among the lowest five percent of Title I schools in the State based on the achievement of the “all students” group in terms of proficiency on the statewide assessments that are part of the SEA’s differentiated recognition, accountability, and support system, combined, and has demonstrated a lack of progress on those assessments over a number of years in the “all students” group; A Title I-participating or Title I-eligible high school with a graduation rate less than 60 percent over a number of years; or A Tier I or Tier II school under the SIG program that is using SIG funds to implement a school intervention model.
Tier I	Schools that meet the criteria in paragraph (a)(1) in the definition of “persistently lowest-achieving schools.” ³	Title I eligible ⁴ elementary schools that are no higher achieving than the highest-achieving school that meets the criteria in paragraph (a)(1)(i) in the definition of “persistently lowest-achieving schools” <u>and</u> that are: <ul style="list-style-type: none"> • in the bottom 20% of all schools in the State based on proficiency rates; <u>or</u> • have not made AYP for two consecutive years.
Tier II	Schools that meet the criteria in paragraph (a)(2) in the definition of “persistently lowest-achieving schools.”	Title I eligible secondary schools that are (1) no higher achieving than the highest-achieving school that meets the criteria in paragraph (a)(2)(i) in the definition of “persistently lowest-achieving schools” or (2) high schools that have had a graduation rate of less than 60 percent over a number of years <u>and</u> that are: <ul style="list-style-type: none"> • in the bottom 20% of all schools in the State based on proficiency rates; <u>or</u> • have not made AYP for two consecutive years.
Tier III	Title I schools in improvement, corrective action, or restructuring that are not in Tier I. ⁵	Title I eligible schools that do not meet the requirements to be in Tier I or Tier II <u>and</u> that are:

³ “Persistently lowest-achieving schools” means, as determined by the State--

(a)(1) Any Title I school in improvement, corrective action, or restructuring that--

- (i) Is among the lowest-achieving five percent of Title I schools in improvement, corrective action, or restructuring or the lowest-achieving five Title I schools in improvement, corrective action, or restructuring in the State, whichever number of schools is greater; or
- (ii) Is a high school that has had a graduation rate as defined in 34 CFR 200.19(b) that is less than 60 percent over a number of years; and

(2) Any secondary school that is eligible for, but does not receive, Title I funds that--

- (i) Is among the lowest-achieving five percent of secondary schools or the lowest-achieving five secondary schools in the State that are eligible for, but do not receive, Title I funds, whichever number of schools is greater; or
- (ii) Is a high school that has had a graduation rate as defined in 34 CFR 200.19(b) that is less than 60 percent over a number of years.

⁴ For the purposes of schools that may be added to Tier I, Tier II, or Tier III, “Title I eligible” schools may be schools that are eligible for, but do not receive, Title I, Part A funds or schools that are Title I participating (i.e., schools that are eligible for and do receive Title I, Part A funds).

⁵ Certain Title I schools in improvement, corrective action, or restructuring that are not in Tier I may be in Tier II rather than Tier III. In particular, certain Title I secondary schools in improvement, corrective action, or restructuring that are not in Tier I may be in Tier

		<ul style="list-style-type: none">• in the bottom 20% of all schools in the State based on proficiency rates; <u>or</u>• have not made AYP for two years.
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II if an SEA receives a waiver to include them in the pool of schools from which Tier II schools are selected or if they meet the criteria in section I.A.1(b)(ii)(A)(2) and (B) and an SEA chooses to include them in Tier II.

New York State Education Department:
1003(g) School Improvement Grant (SIG)
RFP# TA-11

Background

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

Purpose

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

Turnaround

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

Restart

Convert the school to a charter school, replace the school with a new charter school that will serve the students who would have attended the public school, or contract with an Educational Partner Organization (EPO), such as a local Board of Cooperative Educational Services (BOCES), institution of higher education, or other non-profit partner organization as identified in Education Law 211-e, to govern and manage the Priority School and its implementation of the SIG plan.*

Transformation

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

Closure

Close the school and enroll the students who attended the school in higher achieving schools in the LEA. School closure and the transfer of students in this model occurs in one year or less, plus a 5-month pre-implementation period.

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

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

Eligibility

This grant is open to Local Education Agencies (LEAs) with one or more eligible Priority Schools. An eligible Priority School is a Priority School that the LEA has designated as implementing a whole-school change model beginning in 2013-2014, that is not currently receiving nor has previously received a SIG 1003[g] or a School Innovation Fund (SIF) grant. For each eligible Priority School proposing to implement a *Turnaround, Restart, or Transformation* model, LEAs are eligible for up to \$4.5 million for the full grant term that includes three years of implementation and a 5-month pre-implementation period. For applications proposing to implement a *Closure* model plan, NYSED does not anticipate the funding to exceed \$300,000 dollars for the full grant term. NYSED does not anticipate the Closure project period to exceed one-year that includes a one-year closure period and a 5-month pre-implementation period. LEAs may submit multiple applications in response to this RFP, however; **only separate and complete applications for each eligible Priority School will be accepted.** Charter schools identified under the State accountability system are not eligible for award to implement a whole-school change model. New charter applicants/schools partnering with a district to replace an identified Priority School may receive SIG funding as new replacement schools under Turnaround and Restart models.

A full list of Priority Schools is available at:
<http://www.p12.nysed.gov/accountability/ESEADesignations.html>.

Funding

Estimated funds available: **\$250,000,000**
Estimated number of awards: **60**

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

Project Period

For applications proposing to implement a *Turnaround, Restart, or Transformation* model, the full project period for this grant is three years, plus a required 5-month pre-implementation period prior to the start of year one. Continuation funding after each period of the project is contingent upon progress toward meeting achievement goals, leading indicators, fidelity of implementation of required model actions, and maintenance of all grant requirements.

<i>Turnaround, Restart, and Transformation Model Project Period</i>	
Pre-implementation Period	April 1, 2013, to August 31, 2013
Year One Implementation Period	September 1, 2013, to August 31, 2014

Year Two Implementation Period	September 1, 2014, to August 31, 2015
Year Three Implementation Period	September 1, 2015, to August 31, 2016

For applications proposing a *Closure* model, NYSED does not anticipate the full project period to exceed one year plus an additional 5-month pre-implementation period.

Closure Model Project Period	
Pre-implementation Period	April 1, 2013, to August 31, 2013
Year One Implementation Period	September 1, 2013, to August 31, 2014

Application Deadline and Submission Requirements

Letter of Intent

LEAs should submit a Letter of Intent (LOI) designating the specific identified schools for which applications will be submitted, identifying the intervention models being proposed for each school. The LOI should be submitted electronically through the Review Room Portal available at the following link: <https://nysed-schoolturnaround.myreviewroom.com/>. The LOI should be received through Review Room by January 11, 2013. (Note: The LOI is not a requirement for submitting a complete application by the application due date. NYSED encourages all prospective applicants to submit an LOI in order to ensure appropriate resources are available for a timely and thorough review and rating process.)

Full Application Submission

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

New York State Education Department
Contracts Administration Unit, 505 W EB
89 Washington Ave
Albany, New York 12234
Attn: Nell Brady, RFP # TA-11

Complete hardcopy applications **must** be postmarked by January 25, 2013, and electronic copies must be submitted through the Review Room portal no later than 3:00pm on January 25, 2013.

Review Room Electronic Submission Portal

The electronic Review Room submission portal <https://nysed-schoolturnaround.myreviewroom.com/> will be live and accessible with instructions to applicants on December 21, 2012. If there are any technical questions regarding electronic submission through the Review Room portal, you must contact Tracy Farrell at tfarrell@mail.nysed.gov.

Additional Information

- A pre-recorded applicant informational webinar will be posted at <http://usny.nysed.gov/rttt/rfp> during the week of December 17, 2012.

- Questions about this RFP must be received no later than December 21, 2012, submitted to: SIGAPP2013@mail.nysed.gov and should not include technical questions related to submission of the application through the Review Room portal.
- Questions and Answers, not including technical questions related to submission through the electronic portal, will be posted by January 4, 2013, with this RFP at <http://usny.nysed.gov/rttt/rfp>. No individual responses will be provided.
- Technical questions related to submission through the electronic portal can be submitted at any time and must be directed toward Tracy Farrell at tfarrell@mail.nysed.gov.

Annual Professional Performance Review (APPR) Requirement

- LEAs must have an APPR for all principals and teachers that is fully compliant with Education Law §3012-c and Subpart 30-2 of the Rules of the Board of Regents, approved prior to the SIG application submission deadline, and regardless of the model selected (Turnaround, Restart, Transformation, and Closure). Any applications from LEAs that do not have an approved APPR prior to the submission deadline will be rejected and will not be reviewed.
- LEAs must continuously maintain Commissioner’s approval of its APPR plan for all principals and teachers for the entire three and a half-year period of the grant – April 1, 2013, to August 31, 2016. **If the Commissioner approved APPR in effect upon submission is set to expire prior to the end of the grant, subsequent APPR plans must obtain and maintain Commissioner approval with no break in force or effect.** Any period of break in Commissioner approved agreement will result in the immediate suspension of SIG funds.

Consultation and Collaboration Form Requirement

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

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

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

SIG Plan Standards for Turnaround, Restart, and Transformation Models	
District-Level Category	Standard
District Commitment and Capacity to Implement	The LEA must demonstrate a commitment to success in the turnaround of its lowest achieving schools and the capacity to implement the model proposed in its Priority School in this application. This is an overarching standard, which is met by achieving an overall application score that is at or above the minimum score for a fundable application.
Operational Autonomies	The LEA must provide operational autonomies for Priority Schools in exchange for greater accountability for performance results in the following areas: 1) staffing; 2)

	school-based budgeting; 3) use of time during and after school; 4) program selection; and 5) educational partner selection. In addition to providing quality responses to each element requested in this section of the Proposal Narrative, the Priority School must have school-level autonomy in at least two of these areas for an acceptable rating in this category. Applications that provide quality responses and that are granted anywhere from 3 to 5 of these autonomies will receive a rating of exemplary for this category.
District Accountability and Support	The LEA must have the organizational structures and functions in place at the district-level to provide quality oversight and support for its identified Priority Schools in general, as well as specifically for the school identified in this application.
Teacher and Leader Pipeline	The LEA must have a clear understanding of the type and nature of teachers and leaders that are needed to create dramatic improvement in its lowest-achieving schools. In addition, the LEA must have a coherent set of goals and actions that lead to the successful recruitment, training, and retention of teachers and leaders who are effective in low-achieving schools.
External Partner Recruitment, Screening, and Matching to Priority Schools	The LEA must have a rigorous process for identifying, screening, selecting, matching, and evaluating partner organizations that provide critical services to Priority Schools.
Enrollment and Retention Policies, Practices, and Strategies	The LEA must have clear policies, practices, and strategies for managing student enrollment and retention to ensure that Priority Schools are not receiving disproportionately high numbers of students with disabilities, English-language learners, and students performing below proficiency.
District-level Labor and Management Consultation and Collaboration	The LEA/school must fully and transparently consult and collaborate with recognized district leaders of the principals' and teachers' labor unions about district Priority Schools and the development and implementation of the plan proposed for this specific Priority School.
School-Level Category	Standard
School Overview	The LEA/school must demonstrate a clear and organized synopsis of the major quality design elements of the school. In addition, the school overview should be suitable in substance and grammar for sharing with the general public, including essential stakeholders such as families, students, and school-level educators.
Assessing the Needs of the School Systems, Structures, Policies, and Students	The LEA/school must demonstrate a critical and honest assessment of structural/systems gaps and needs, as well as student achievement gaps and needs that are identified as the result of a systemic analysis process.
School Model and Rationale	The LEA/school must propose and present the SIG plan as a plausible solution to the challenges and needs identified in the previous section, as well as the appropriate fit for the particular school and community.
School Leadership	The LEA/school must have the mechanisms in place to replace the existing principal and select/assign a new school principal and supporting leadership that possess the strengths and capacity to drive the successful implementation of the SIG plan.
Instructional Staff	The LEA/school must have the mechanisms in place to assign the instructional staff to the school that have the strengths and capacity necessary to meet the needs of the school and its students. This standard and the actions that accompany it are required regardless of the model chosen. If the Turnaround model is chosen for the Priority School in this application, responses to this section should be planned/proposed in the context of the requirements for that model, replacing at least 50% of instructional staff. A new school staff that meets the Turnaround requirement must be in place prior to September 1, 2013. If the Turnaround model staffing requirement is not met by September 1, 2013 the SIG funding will be suspended immediately and the LEA will

	be at risk of having the grant terminated.
Partnerships	The LEA/school must be able to establish effective partnerships to address areas where the school lacks the capacity to improve. The external partnership/s may vary in terms of role and relationship to the governance of the school. If the model chosen for this school is a Restart, the LEA must provide a Memorandum of Understanding, signed by both parties, which identifies joint-agreement and the scope of services of the EPO and the broad achievement outcomes for the school. The fully executed EPO-District contract, signed by both parties, in full accordance with Education Law 211-e must be received by NYSED no later than July 1, 2013.
Organizational Plan	The LEA/school must provide a sound plan for how the school will be operated, beginning with its governance and management. It should present a clear picture of the school's operating priorities, delegation of responsibilities, and relationships with key stakeholders.
Educational Plan	The LEA/school must provide an educationally sound and comprehensive plan for the school. Components of this plan include: curriculum; instruction; use of time; data-driven inquiry/instruction; student support; school climate and discipline; and parent and community engagement.
Training, Support, and Professional Development	The LEA/school must have a coherent framework for training, support, and professional development clearly linked to the identified SIG plan and student needs.
Communication and Stakeholder Involvement/Engagement	The LEA/school must fully and transparently consult and collaborate with key education stakeholders about the school's Priority status and on the development and implementation of the SIG plan.
Project Plan and Timeline	The LEA/school must provide a project plan that provides a detailed and specific, measurable, realistic, and time-phased set of actions and outcomes that reasonably lead to the effective implementation of the SIG plan.

SIG Plan Standards - *Closure*

The *Closure* model involves closing the existing identified Priority School and enrolling its students in higher achieving schools. For the purposes of this RFP "higher achieving schools," means schools that are in good academic standing (not identified as a Focus or Priority School). These higher achieving schools should be within reasonable proximity to the closed school and may include, but are not limited to, charter schools or new schools for which achievement data are not yet available. Since the *Closure* model must be implemented in one year implementation period or less (plus a 5-month pre-implementation period), and since the requirements of closure are different from those of implementing a full organizational and instructional plan, applications for a *Closure* model will be reviewed and rated separately and have a different set of standards. The following chart identifies the program standards of the *Closure* model plan.

SIG Plan Standards for Closure Models	
Category	Requirements
District Organizational Capacity	The LEA must have the organizational structures and functions in place at the district-level to provide high quality oversight over the closure process and support for the schools that will accept transferring students from the closing school.
Assessing the Needs of the School and its Students	The LEA must demonstrate a critical and honest assessment of structural/systems gaps and needs, as well as student achievement needs, specific to the Priority School identified for Closure in this application. The identified needs should be the result of a systemic analysis process.

School Overview, Model Selection, and Rationale	The LEA must propose and present the selection of a Closure model as a plausible and best-case solution to the challenges and needs identified in the previous section, as well as the appropriate fit for this particular school and community.
Communication, Collaboration, and Stakeholder Involvement/Engagement	The LEA must fully and transparently consult and collaborate with recognized district and local leaders of the LEAs labor unions, parent organizations, and the local school community on the development and implementation of the plan to close the Priority School identified in this application.
School Choice Options Available	The LEA must have the mechanisms to transfer students from the closing Priority School and clear options for enrolling them in higher achieving schools within one year or less (plus a 5-month pre-implementation period).
Project Plan and Timeline	The LEA must provide a detailed and specific, measurable, realistic, and time-phased set of actions and outcomes that reasonably lead to the effective closure of the school and the transfer of its students into the higher achieving school options identified in the previous section. The project plan and timeline should include a reasonable and feasible plan for: 1) plan effectively transferring the students to a higher achieving school option of their choice; 2) downsizing teachers and other staff in the closing school; and 3) providing support for schools that will receive transferring students.

Budget Requirements

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

Budget Documents Required for Submission

- Budget Narrative – the budget narrative, described in the Proposal Narrative sections of this RFP, should identify and explain SIG funded costs for the entire project period (pre-implementation period plus three years of implementation for Turnaround, Restart, or Transformation Models; and pre-implementation period plus one year of implementation for Closure models).
- Budget Summary Chart (Attachment D) - This chart summarizes the budget for the entire project period (pre-implementation period plus three years of implementation for Turnaround, Restart, or Transformation Models; and pre-implementation period plus one year of implementation for Closure models).
- FS-10 for the pre-implementation period (April 1, 2013, to August 31, 2013).
- FS-10 for the year one implementation period (September 1, 2013, to August 31, 2014).

Maximum Funding Amounts for Turnaround, Restart, and Transformation Models

- The pre-implementation period and year one implementation period total combined SIG funding request must be no greater than \$2 million dollars.

- The total year-two implementation period SIG funding request must be no greater than \$1.5 million dollars.
- The total year-three SIG funding request may be no greater than \$1 million dollars.
- The SIG funding directed at district-level administration and support activities for each period, may be no greater than ten percent (10%) of the total maximum funding request for each period. (Ninety-percent (90%) of the maximum funding requests for each period must be directed toward school-level activities supporting the implementation of the SIG plan. Applicants must describe and justify in the budget narrative any specific district-level expenses to be supported by SIG funds (at no more than 10% of total request).
- For Turnaround, Restart, and Transformation model applications, LEAs must budget for a minimum of \$200,000 for the pre-implementation period of this grant, and there will be no carryover of funds from the pre-implementation period to the implementation periods.

Funding Amounts for Closure Models

- NYSED does not anticipate funding for Closure models to exceed \$300,000.

Non-Allowable Costs

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

Other

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

Additional Budget Guidance

Appropriate Costs

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

Budgeting and Planning for Sustainability

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

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

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

Payment Schedule

Payments are generated by the submission of an FS-25: Request for Funds for a Federal or State Project form. Requests for Interim Payments may only represent actual expenditures. All FS-25's must be submitted directly to the State Education Department Grants Finance Unit at the address listed on the form for payment.

A final payment for the balance of each project period will be made after an FS-10-F: Final Expenditure Report for a State or Federal Project is submitted to the Grants Finance Unit and approved. The FS-10-F for each project period (ending August 31 each year within the grant term) is due in the Grants Finance Unit no later than 90 days after the end of the period.

Reporting Requirements

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

Leading Indicators

- Aggregate student attendance and school average daily attendance
- Aggregate attendance by instructional staff and staff average daily attendance
- Instructional staff turnover rate
- Instructional staff APPR ratings
- Aggregate in-school and out-of-school suspension rates and average in-school and out-of-school suspension rates by total school and broken down by sub-group
- Truancy rates
- Dropout rates

- Number of students completing advanced coursework by subgroup (e.g., Advanced Placement/ International Baccalaureate, college pathways or dual enrollment classes [high schools only])
- Other program evaluation data as needed

Lagging indicators

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

Additional Requirements Post-Award

- If not specifically identified in the initial application, the principal selected to lead the school must be in place no later than July 1, 2013, to ensure sufficient time to lead summer activities in preparation for the beginning of the school year. Once the specific principal is identified, NYSED must approve that they have met the standard set forth in this application.
- If the model initially approved in this application is a *Turnaround* model, the full school-staff roster successfully meeting the 50% staffing requirement must be in place prior to September 1, 2013.
- If the model initially approved in this application is a *Restart*, the fully executed EPO-District contract, signed by both parties, which identifies the scope of services of the EPO, the specific autonomies the EPO will have, and the mechanism for the district to hold the EPO accountable in accordance with Education Law 211-e, must be received by NYSED no later than July 1, 2013. For SIG purposes, NYSED must approve the EPO-District contract in order to continue grant funding.
- LEAs awarded to implement the Turnaround, Restart, or Transformation models must submit a new FS-10 and refined project plan and timeline no less than thirty-days prior to the start of the Year Two Implementation Period and no less than thirty days prior to Year Three Implementation Period, to be reviewed and approved by NYSED prior to any expenditure for that project period.

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

Other LEA Requirements

Rule of Nine

LEAs must adhere to the “Rule of 9,” which states that an LEA with nine or more Priority Schools **may not** implement the Transformation model in more than 50% of those schools.

Review and Rating of Applications

Only complete applications from eligible LEAs received at NYSED by the due date will be accepted. LEAs must clearly identify the specific Priority School for which SIG funding is being sought and the specific model

(Turnaround, Restart, Transformation, or Closure) being proposed in each separate application or the application will be rejected as incomplete.

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

Method of Award

All applications reviewed for *Turnaround, Restart, and Transformation* models receiving the minimum required final average score or above will be ranked in order of the final average score, regardless of model proposed. All applications reviewed for *Closure* models that receive the minimum required final average score or above will be ranked separately, in order of the final average score.

SIG funding will be awarded first to those applications for *Turnaround, Restart and Transformation* models receiving the minimum score or above. Applicants scoring at or above the minimum threshold will be awarded in rank order of score until funds are insufficient to fund the next ranking application in full. After all applicants in the *Turnaround, Restart and Transformation* models have been awarded NYSED will award *Closure* model applicants that have received the minimum average score or more in rank order.

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

The New York State Education Department reserves the right to reject all proposals received or cancel this RFP if it is in the best interest of the Department. If any funded LEAs withdraw or become ineligible within the year of funding, the leftover funds may be used to fund the next highest ranking applications.

Post-Award Debriefing Process

At the conclusion of the rating and ranking process, and the notification to all applicants as to the status of their application, an applicant who has not been awarded funds will have five (5) business days from notification of non-award to request a debriefing by emailing the request to SIGAPP2013@mail.nysed.gov. NYSED staff will summarize the comments identified by the raters. This will be emailed to the applicant within ten (10) business days of receipt of the request.

Protest Procedures

Applicants who receive a notice of non-award may protest the NYSED award decision subject to the following:

1. The protest must be in writing and must contain specific factual and/or legal allegations setting forth the basis on which the protesting party challenges the contract award by NYSED.

2. The protest must be filed within ten (10) business days of receipt of the notice of the written debriefing letter. The protest letter must be filed with:

NYS Education Department
Contract Administration Unit
89 Washington Avenue
Room 505W EB
Albany, NY 12234

3. The NYSED Contract Administration Unit (CAU) will convene a review team that will include at least one staff member from each of NYSED's Office of Counsel, CAU, and the Program Office. The review team will review and consider the merits of the protest and will decide whether the protest is approved or denied. Counsel's Office will provide the applicant with written notification of the review team's decision within seven (7) business days of the receipt of the protest. The original protest and decision will be filed with OSC when the contract procurement record is submitted for approval and CAU will advise OSC that a protest was filed.
4. The NYSED Contract Administration Unit (CAU) may summarily deny a protest that fails to contain specific factual or legal allegations, or where the protest only raises issues of law that have already been decided by the courts.

Entities' Responsibility

Projects must operate under the jurisdiction of the local board of education or other appropriate governing body and are subject to at least the same degree of accountability as all other expenditures of the local agency. The local board of education or other appropriate governing body is responsible for the proper disbursement of, and accounting for, project funds. Written agency policy concerning wages, mileage and travel allowances, overtime compensation, or fringe benefits, as well as State rules pertaining to competitive bidding, safety regulations, and inventory control must be followed. Supporting or source documents are required for all grant related transactions entered into the local agency's recordkeeping system. Source documents that authorize the disbursement of grant funds consist of purchase orders, contracts, time & effort records, delivery receipts, vendor invoices, travel documentation and payment documents, including check stubs. Supporting documentation for grants and grant contracts must be kept for at least six years after the last payment was made unless otherwise specified by program requirements. Additionally, audit or litigation will "freeze the clock" for records retention purposes until the issue is resolved. All records and documentation must be available for inspection by State Education Department officials or its representatives.

For additional information about grants, please refer to the [Fiscal Guidelines for Federal and State Grants](#).

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

DO NOT WRITE IN THIS SPACE	
Log Number	Date Received

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

Certification and Approval

I hereby certify that I am the applicant's Chief Administrative Officer, and that the information contained in this application is, to the best of my knowledge, complete and accurate. I further certify, to the best of my knowledge, that any ensuing program and activity will be conducted in accordance with all applicable application guidelines and instructions, and that the requested budget amounts are necessary for the implementation of this project. I understand that this application constitutes an offer and, if accepted by the NYSED or renegotiated to acceptance, will form a binding agreement. I also agree that immediate written notice will be provided to NYSED if at any time I learn that this certification was erroneous when submitted, or has become erroneous by reason of changed circumstances.

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

SUBMISSION CHECKLIST - Turnaround, Restart, and Transformation Models

Documents For Submission	Checked – applicant	Checked – SED
Application Cover Sheet <i>(with original signatures in blue ink)</i>	<input type="checkbox"/>	<input type="checkbox"/>
Proposal Narrative <i>(Including District-level Plan, School-level Plan)</i>	<input type="checkbox"/>	<input type="checkbox"/>
Attachment A Consultation and Collaboration Form	<input type="checkbox"/>	<input type="checkbox"/>
Attachment B School-level Baseline Data and Target Setting Chart	<input type="checkbox"/>	<input type="checkbox"/>
Attachment C Evidence of Partner Effectiveness Chart	<input type="checkbox"/>	<input type="checkbox"/>
Attachment D Budget Summary Chart	<input type="checkbox"/>	<input type="checkbox"/>
Two FS-10 Forms: one for the Pre-implementation Period and one for the Year One Implementation Period. (FS-10 available here: http://www.oms.nysed.gov/cafe/forms/)	<input type="checkbox"/>	<input type="checkbox"/>
Budget Narrative	<input type="checkbox"/>	<input type="checkbox"/>
Memorandum of Understanding <i>(only if proposing a Restart model)</i>	<input type="checkbox"/>	<input type="checkbox"/>
Assurances for Federal and Discretionary Program Funds	<input type="checkbox"/>	<input type="checkbox"/>
<p>SED Comments: Has the applicant submitted all of the documents listed above? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Reviewer: _____ Date: _____</p>		

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

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

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

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

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

A. District Overview

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

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

B. Operational Autonomies

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

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

C. District Accountability and Support

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

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

D. Teacher and Leader Pipeline

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

- i. Identify and describe recruitment goals and strategies for high poverty and high minority schools to ensure that students in those schools have equal access to high-quality leaders and teachers.
- ii. Describe the district processes for altering hiring procedures and budget timelines to ensure that the appropriate number and types of teachers and principals can be recruited and hired in time to bring schools through dramatic change.
- iii. Identify and describe any district-wide training programs designed to build the capacity of leaders to be successful in leading dramatic change in low-achieving schools. In addition, describe how these programs are aligned to the specific implementation of the model chosen (Turnaround, Restart, or Transformation). Provide a history of these or similarly purposed programs in the district, how they are or have been funded, and identify whether the school principals chosen to lead the new school designs proposed in this application have emerged as a direct result of these programs. Please identify the goals in terms of quantity and quality of effective leader development.*
- iv. Identify and describe any district-wide training programs designed to build the capacity of teachers to be effective specifically in low-achieving schools. Provide a history of these programs in the district, how they are or have been funded, and identify whether the instructional staff chosen for the new school designs proposed in this application have emerged as a direct result of these programs. If the programs are newly proposed, please identify the goals in terms of quantity and quality of effective teacher development. *
- v. Identify in chart form, the district-offered training events for items “iii & iv” above, scheduled during the pre-implementation period (April 1, 2013, to August 31, 2013) and year-one implementation period (September 1, 2013 to August 31, 2014). For each planned event, identify the specific agent/organization responsible for delivery, the desired measurable outcomes, and the method by which outcomes will be analyzed and reported. Provide a rationale for each planned event and why it will be critical to the successful implementation of the SIG plan.

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

E. External Partner Recruitment, Screening, and Matching

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

- i. Describe the rigorous process and formal LEA mechanisms for identifying, screening, selecting, matching, and evaluating external partner organizations that are providing support to this Priority school.
- ii. Describe the LEA processes for procurement and budget timelines (or any modifications to standard processes) that will ensure this Priority School will have access to effective external partner support prior to or directly at the start of the year-one implementation period (September 1, 2013).
- iii. Describe the role of the district and the role of the school principal in terms of identifying, screening, selecting, matching, and evaluating partner organizations supporting this school. Describe the level of choice that the school principal has in terms of the educational partners available and how those options are accessible in a timeline that matches the preparation and start-up of the new school year.

F. Enrollment and Retention Policies, Practices, and Strategies

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

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

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

G. District-level Labor and Management Consultation and Collaboration

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

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

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

A. School Overview

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

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

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

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

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

C. School Model and Rationale

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

- i. Describe the rationale for the selected model (Turnaround, Transformation, or Restart), the research-based key design elements and other unique characteristics of the new school design. The rationale should reference the identified needs, student population, core challenges, and school capacity and strengths discussed above.

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

D. School Leadership

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

- i. Identify and describe the specific characteristics and core competencies of the school principal that are necessary to meet the needs of the school and produce dramatic gains in student achievement.
- ii. Identify the specific school principal by name and include in this narrative a short biography, an explanation of the leadership pipeline from which she/he came, as well as the rationale for the selection in this particular school. In addition, provide an up-to-date resume and track record of success in leading the improvement of low-performing schools; OR
- iii. If the specific persons who will serve in this position are not yet known, describe the action steps necessary to put leadership in place, and identify the formal LEA/school mechanisms that enable this personnel action. The principal selected to lead the school must be in place no later than July 1, 2013, to ensure sufficient time to lead summer activities in preparation for the beginning of the school year. Identify any barriers or obstacles to accomplishing these tasks, as well as strategies for overcoming them. If the principal selected to lead the school is not in place by July 1, 2013, or does not meet the quality standards set forth in this application, the SIG will be suspended immediately and the LEA will be at risk of having the grant terminated.
- iv. Provide the specific job description and duties, aligned to the needs of the school, for the following supporting leadership positions; 1) assistant principal/s who will serve in the building; 2) School Implementation Manager (SIM), if the school is utilizing one.
- v. Describe and discuss the current supporting leadership profile of the school in terms of quality, effectiveness, and appropriateness to the model proposed and needs of the students. Identify specific individuals who will remain in supporting leadership positions from the previous administration and discuss the strategies employed by the new school principal and the LEA/school to ensure buy-in and support from the entire leadership team. Identify any barriers or obstacles to obtaining leadership buy-in or support as well as strategies for overcoming them.

E. Instructional Staff

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

- i. Describe and discuss the current school-specific staffing picture in terms of quality, effectiveness, and appropriateness for the needs of students in this school. In addition, describe the specific quantitative and qualitative change that is needed in this school's staffing between the time of application and the start-up of model implementation.
- ii. For each key instructional staff to be employed at the start of model implementation identify and describe the characteristics and core competencies necessary to meet the needs of its students.
- iii. Describe the process and action steps by which existing instructional staff will be informed of the new model being implemented.
- iv. Describe the process and identify the formal LEA/school mechanisms that enable all instructional staff to be screened, selected, retained, transferred, and/or recruited. Identify any barriers or obstacles to assigning the appropriate staff as required by the model and new school design, as well as strategies for overcoming them.

*This standard and the actions that accompany it are required regardless of the model chosen. If the Turnaround model is chosen for the Priority School in this application, responses to this section should be planned/proposed in the context of the requirements for that model, retaining no more than 50% of existing

instructional staff. A new school staff meeting the Turnaround requirement must be in place prior to September 1, 2013. If Turnaround staffing requirements are not met by September 1, 2013 SIG funding will be immediately suspended and the LEA will be at risk of having the grant terminated.

F. Partnerships

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

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

*If the model chosen for this school is an EPO-Restart, the LEA must provide a Memorandum of Understanding, signed by both parties, which identifies joint-agreement and the scope of services of the EPO and the broad achievement outcomes for the school. The fully executed EPO-District contract, signed by both parties, which identifies the scope of services of the EPO, the specific autonomies the EPO will have, and the mechanism for the district to hold the EPO accountable must be received by NYSED no later than July 1, 2013.

G. Organizational Plan

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

- i. Submit an organizational chart (or charts) identifying the management and team structures, and lines of reporting. (If a Restart model is being proposed, be sure to include the specific role of the EPO in governance and decision making that is compliant with education law).
- ii. Describe how the structures function in day-to-day operations (e.g., the type, nature, and frequency of interaction, data-sources used to drive discussion and decision making, manner in which the results of interactions are communicated and acted upon, etc.).
- iii. Describe in detail, the plan for implementing the annual professional performance review (APPR) of all instructional staff within the school. Include in this plan an identification of who will be responsible for scheduling, conducting, and reporting the results of pre-observation conferences, classroom observations, and post-observation conferences.
- iv. Provide a full calendar schedule of the events listed in "iii" for the 2013-2014 school year that reaches all instructional personnel who will staff the building.

H. Educational Plan

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

- i. Curriculum. Describe the curriculum to be used with the model, including the process to be used to ensure that the curriculum aligns with the New York State Learning Standards, inclusive of the Common Core State Standards and the New York State Testing Program (see: <http://engageny.org/common-core-curriculum-assessments>).
- ii. Instruction. Describe the instructional strategies to be used in core courses and common-branch subjects in the context of the 6 instructional shifts for Mathematics and 6 instructional shifts for ELA. Provide details of how the events of

instruction in additional required and elective courses will be arranged to reflect all of these instructional shifts. Describe a plan to accelerate learning in academic subjects by making meaningful improvements to the quality and quantity of instruction (Connect with iii below.).

- iii. *Use of Time*. Present the daily proposed school calendar showing the number of days the school will be in session and sample daily class schedule showing daily hours of operation and allocation of time for core instruction, supplemental instruction, and increased learning time activities. Describe a logical and meaningful set of strategies for the use of instructional time that leads to a pedagogically sound restructuring of the daily/weekly/monthly schedule **to increase learning time extend the school day and/or year**. The structure for learning time described here should be aligned with the Board of Regents standards for Expanded Learning Time, as outlined here: <http://www.regents.nysed.gov/meetings/2012Meetings/April2012/412bra5.pdf>, which requires that Priority Schools increase learning time by at least 200 hours per year.
- iv. *Data-Driven Instruction/Inquiry (DDI)*. Describe the school's functional cycle of Data-Driven Instruction/Inquiry (DDI). Present the schedule for administering common interim assessments in ELA and Math. Describe procedures, and schedule of space and time (e.g., through common planning time, teacher-administrator one-on-one meetings, group professional development, etc.) provided to the teachers for the examination of interim assessment data and test-in-hand analysis. Describe the types of supports and resources that will be provided to teachers, as the result of analysis. (See <http://engageny.org/data-driven-instruction> for more information on DDI).
- v. *Student Support*. Describe the school-wide framework for providing academic, social-emotional, and student support to the whole school population. List the major systems for the identification of students at-risk for academic failure, disengagement/drop-out, and health issues and then present the key interventions chosen to support them. Describe the school's operational structures and how they function to ensure that these systems of support operate in a timely and effective manner. Student support programs described here should be aligned with Part 100.2 Regulations on implementing Academic Intervention Services, accessible at <http://www.p12.nysed.gov/part100/pages/1002.html#ee>.
- vi. *School Climate and Discipline*. Describe the strategies the model will employ to develop and sustain a safe and orderly school climate. Explain the school's approach to student behavior management and discipline for both the general student population and those students with special needs.
- vii. *Parent and Community Engagement*. Describe the formal mechanisms and informal strategies for how the school will encourage parent/family involvement and communication to support student learning, and how it will gauge parent and community satisfaction. Programs and initiatives described should be aligned with the Title I requirements for parental involvement, as well as Part 100.11 regulations outlining requirements for shared decision-making in school-based planning; accessible at <http://www.p12.nysed.gov/part100/pages/10011.html>.

I. Training, Support, and Professional Development

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

- i. Describe the process by which the school leadership/staff were involved in the development of this plan.
- ii. Pre-Implementation Period. Identify in chart form, the planned training, support, and professional development events scheduled during the pre-implementation period (April 1, 2013, to August 31, 2013). For each planned event, identify the specific agent/organization responsible for delivery, the desired measurable outcomes, and the method by which outcomes will be analyzed and reported. Provide a rationale for each planned event and why it will be essential in leading-up to the start of the school year.
- iii. Implementation Period. Identify in chart form, the planned training, support, and professional development events scheduled during the year one implementation period (September 1, 2013, to August 31, 2014). For each planned event, identify the specific agent/organization responsible for delivery, the desired measurable outcomes, and the method by which outcomes will be analyzed and reported. Provide in the project narrative, a rationale for each planned event and why it will be critical to the successful implementation of the SIG plan.
- iv. Describe the schedule and plan for regularly evaluating the effects of training, support, and professional development, including any subsequent modifications to the plan as the result of evaluation, tying in any modification processes that may be the result of professional teacher observations and/or the results of common student interim assessment data.

The training, support, and professional development plan to be described in this section should be job-embedded, school-specific,

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

J. Communication and Stakeholder Involvement/Engagement

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

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

K. Project Plan and Timeline

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

- i. Describe the goals and key strategies for the pre-implementation period (April 1 to August 31, 2013) in preparation for the year-one implementation period.
- ii. Identify the specific, measurable, and time-phased actions/activities on the part of the district, school leadership, external partners, and teaching, and/or support personnel that are aligned to the key strategies for pre-implementation work. For each specific action/activity, identify the specific person or group that will be accountable for its completion.
- iii. Identify and describe the goals and key strategies for year-one implementation period (September 1, 2013, to August 31, 2014).
- iv. Identify the "early wins" that will serve as early indicators of a successful SIG plan implementation and foster increased buy-in and support for the plan.
- v. Identify the leading indicators of success that will be examined on no less than a quarterly basis. Describe how these data indicators will be collected, how and who will analyze them, and how and to whom they will be reported.
- vi. Identify the goals and key strategies for year-two and year-three of implementation.

III. SIG Budget

A. Budget Narrative and Budget Forms

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

- i. An FS-10 for the pre-implementation period (April 1, 2013, to August 31, 2013).
- ii. An FS-10 for the year-one implementation period (September 1, 2013, to August 31, 2014).
- iii. A complete Budget Summary Chart for the entire project period (pre-implementation period plus three years of implementation) (Attachment D).
- iv. A Budget Narrative that identifies and explains all proposed costs for district and school-level activities for the entire project period (pre-implementation period plus three years of implementation). **In addition, applicants should identify all other sources of income that will support and sustain the whole-school change described in this application.** Organize costs in the Budget Narrative by the major project activity they serve, based on each category of the proposal narrative, for the entire grant term. For each major activity, identify the line item costs associated and provide an explanation/justification for the cost that closely connects to the project activity, goals, and outcomes identified. For each major activity, describe the LEAs strategies for sustaining these actions or for how/why the district/school practice that will result from the activity can be sustained past the whole project period of the grant. Clearly describe and justify any specific district-level administration and support expenses to be funded by SIG at no more than 10% of the total SIG

funding request.

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

SUBMISSION CHECKLIST - *Closure Models*

Documents For Submission	<i>Checked – applicant</i>	<i>Checked – SED</i>
Application Cover Sheet <i>(with original signatures in blue ink)</i>	<input type="checkbox"/>	<input type="checkbox"/>
Proposal Narrative	<input type="checkbox"/>	<input type="checkbox"/>
Attachment A Consultation and Collaboration Form	<input type="checkbox"/>	<input type="checkbox"/>
Attachment D Budget Summary Chart	<input type="checkbox"/>	<input type="checkbox"/>
Two FS-10 Forms: one for the Pre-implementation Period and one for the Year One Implementation Period (FS-10 available here: http://www.oms.nysed.gov/cafe/forms/)	<input type="checkbox"/>	<input type="checkbox"/>
Budget Narrative	<input type="checkbox"/>	<input type="checkbox"/>
Assurances for Federal and Discretionary Program Funds	<input type="checkbox"/>	<input type="checkbox"/>
<p>SED Comments: Has the applicant submitted all of the documents listed above? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Reviewer: _____ Date: _____</p>		

PROPOSAL NARRATIVE - *Closure* Model

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

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

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

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

elements:

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

C. School Overview, Model Selection, and Rationale

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

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

D. Communication, Collaboration and Stakeholder Involvement/Engagement

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

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

E. School Choice Options and Student Transfers

The LEA must have the mechanisms to transfer students from the closing Priority School and clear options for enrolling them in higher achieving schools within one year or less (plus a 5-month pre-implementation period). The evidence presented for school choice options and student transfers must contain each of the following elements:

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

F. Project Plan Narrative/Timeline

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

- i. Describe the goals and key strategies for the pre-implementation period (April 1, 2013, to August 31, 2013) and year-one implementation period (September 1, 2013, to August 31, 2014) in preparation for and completion of the school's Closure.
- ii. Identify the specific, measurable, and time-phased actions/outcomes on the part of the district, school leadership, external partners, and teaching, and/or support personnel that are aligned to the key strategies for pre-implementation

and implementation work. Include action steps and strategies for: downsizing teachers and other staff within the closing school; effectively transferring students to higher achieving options; and providing support to higher performing schools who will receive students transferring from the closing school.

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

G. Budget Narrative and Forms

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

- i. An FS-10 for the pre-implementation period (April 1, 2013, to August 31, 2013).
- ii. An FS-10 for the year-one implementation period (September 1, 2013, to August 31, 2014).
- iii. A Budget Narrative that identifies and explains all proposed costs for district and school-level activities for the entire project period (pre-implementation period plus one year of implementation). Organize costs in the Budget Narrative by the major project activity they serve, based on each category of the project narrative, for the entire grant term. For each major activity, identify the line item costs associated and provide an explanation/justification for the cost that closely connects to the project activity, goals, and outcomes identified. For each major activity, describe the LEAs strategies for sustaining these actions or for how/why the district/school practice that will results from the activity can be sustained past the grant. Clearly describe and justify any specific district-level administration and support expenses to be funded by SIG at no more than 10% of the total SIG funding request.

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

Attachment A Consultation and Collaboration Documentation Form

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

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

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

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

SCHOOL-LEVEL BASELINE DATA AND TARGET SETTING CHART	Unit	NYS State Average	District Average	Baseline Data	Target for 2013-2014	Target for 2014-2015	Target for 2015-16
I. Leading Indicators							
a. Number of minutes in the school year	min						
b. Student participation in State ELA assessment	%						
c. Student participation in State Math assessment	%						
d. Drop-out rate	%						
e. Student average daily attendance	%						
f. Student completion of advanced coursework							
g. Suspension rate	%						
h. Number of discipline referrals	num						
i. Truancy rate	%						
j. Teacher attendance rate	%						
k. Teachers rated as “effective” and “highly effective”	%						
l. Hours of professional development to improve teacher performance	num						
m. Hours of professional development to improve leadership and governance	num						
n. Hours of professional development in the implementation of high quality interim assessments and data-driven action	num						
II. Academic Indicators							
o. ELA performance index	PI						
p. Math performance index	PI						
q. Student scoring “proficient” or higher on ELA assessment	%						
r. Students scoring “proficient” or higher on Math assessment	%						
s. Average SAT score	score						
t. Students taking PSAT	num						
u. Students receiving Regents diploma with advanced designation	%						
v. High school graduation rate	%						
w. Ninth graders being retained	%						
x. High school graduates accepted into two or four year colleges	%						

Attachment C Evidence of Partner Effectiveness Chart

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

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

Attachment D - (1003g) Budget Summary Chart

Agency Code										
Agency Name										

Pre-implementation Period (April 1, 2013 - August 31, 2013)		
Categories	Code	Costs
Professional Salaries	15	
Support Staff Salaries	16	
Purchased Services	40	
Supplies and Materials	45	
Travel Expenses	46	
Employee Benefits	80	
Indirect Cost (IC)	90	
BOCES Service	49	
Minor Remodeling	30	
Equipment	20	
Total		

Year 1 Implementation Period (September 1, 2013 - August 31, 2014)		
Categories	Code	Costs
Professional Salaries	15	
Support Staff Salaries	16	
Purchased Services	40	
Supplies and Materials	45	
Travel Expenses	46	
Employee Benefits	80	
Indirect Cost (IC)	90	
BOCES Service	49	
Minor Remodeling	30	
Equipment	20	
Total		

Year 2 Implementation Period (September 1, 2014 - August 31, 2015 – for Turnaround, Restart, and Transformation models only)		
Categories	Code	Costs
Professional Salaries	15	
Support Staff Salaries	16	
Purchased Services	40	
Supplies and Materials	45	
Travel Expenses	46	
Employee Benefits	80	
Indirect Cost (IC)	90	
BOCES Service	49	
Minor Remodeling	30	
Equipment	20	
Total		

Year 3 Implementation Period (September 1, 2015 - August 31, 2016 – for Turnaround, Restart, and Transformation models only)		
Categories	Code	Costs
Professional Salaries	15	
Support Staff Salaries	16	
Purchased Services	40	
Supplies and Materials	45	
Travel Expenses	46	
Employee Benefits	80	
Indirect Cost (IC)	90	
BOCES Service	49	
Minor Remodeling	30	
Equipment	20	
Total		

Total Project Period (April 1, 2013 - August 31, 2016 for Turnaround, Restart, and Transformation OR April 1, 2013 – August 31, 2014 for Closure models)		
Categories	Code	Costs
Professional Salaries	15	
Support Staff Salaries	16	
Purchased Services	40	
Supplies and Materials	45	
Travel Expenses	46	
Employee Benefits	80	
Indirect Cost (IC)	90	
BOCES Service	49	
Minor Remodeling	30	
Equipment	20	
Total Project Budget		

Assurances and Waivers for Federal Discretionary Program Funds

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

Federal Assurances and Certifications, General

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

Federal Assurances and Certifications, NCLB (if appropriate)

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

- NCLB Assurances
- School Prayer Certification

New York State Assurances and Certifications (For discretionary grant programs only)

- Appendix A
- Appendix A-1G
- Appendix A-2

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

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

ASSURANCES – NON-CONSTRUCTION PROGRAMS

Note: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the Education Department Program Contact listed in the Application. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, and by signing the Application Cover Page, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C §§ 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) "§§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§" 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.

8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328), which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§ 276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §§874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.), which prohibits the use of lead-based paint in construction or rehabilitation of residence structure.
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

1003g SIG-specific Assurances: The LEA must assure that it will—

- (1) Use its School Improvement Grant to implement fully and effectively an intervention in each Priority or Tier I and Tier II school that the LEA commits to serve consistent with the final requirements;
- (2) Establish annual goals for student achievement on the State’s assessments in both reading/language arts and mathematics and measure progress on the leading indicators in section III of the final requirements in order to monitor each Priority or Tier I and Tier II school that it serves with school improvement funds, and establish goals (approved by the SEA) to hold accountable its Tier III schools that receive school improvement funds;
- (3) If it implements a restart model in a Priority, Tier I or Tier II school, include in its contract or agreement terms and provisions to hold the charter operator, charter management organization, or education management organization accountable for complying with the final requirements;
- (4) Monitor and evaluate the actions a school has taken, as outlined in the approved SIG application, to recruit, select and provide oversight to external providers to ensure their quality.
- (5) Monitor and evaluate the actions schools have taken, as outlined in the approved SIG application, to sustain the reforms after the funding period ends and that it will provide technical assistance to schools on how they can sustain progress in the absence of SIG funding.; and
- (6) Report to the SEA the school-level data required under section III of the final requirements.

**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 judgement 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.

Section 1.01 ED 80-0014, as amended by the New York State Education Department

New York State Education Department 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) that the local educational agency will administer each program covered by the application in accordance with all applicable statutes, regulations, program plans, and applications;

(2) that 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) that 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) that 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) that 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) that 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) that 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) that 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) that 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 Education Department
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) (A) 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
(B) 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.

Section 1.02

Article II. School Prayer Certification

As a condition of receiving federal funds under the Elementary and Secondary Education Act, as amended by the No Child Left Behind Act of 2001 (NCLB), the local educational agency hereby certifies that no policy of the local educational agency prevents, or otherwise denies participation in, constitutionally protected prayer in public elementary schools and secondary schools, as detailed in the current guidance issued pursuant to NCLB Section 9524(a).

APPENDIX A

STANDARD CLAUSES FOR NYS CONTRACTS

The parties to the attached contract, license, lease, amendment or other agreement of any kind (hereinafter, "the contract" or "this contract") agree to be bound by the following clauses which are hereby made a part of the contract (the word "Contractor" herein refers to any party other than the State, whether a contractor, licenser, licensee, lessor, lessee or any other party):

1. EXECUTORY CLAUSE. In accordance with Section 41 of the State Finance Law, the State shall have no liability under this contract to the Contractor or to anyone else beyond funds appropriated and available for this contract.

2. NON-ASSIGNMENT CLAUSE. In accordance with Section 138 of the State Finance Law, this contract may not be assigned by the Contractor or its right, title or interest therein assigned, transferred, conveyed, sublet or otherwise disposed of without the State's previous written consent, and attempts to do so are null and void. Notwithstanding the foregoing, such prior written consent of an assignment of a contract let pursuant to Article XI of the State Finance Law may be waived at the discretion of the contracting agency and with the concurrence of the State Comptroller where the original contract was subject to the State Comptroller's approval, where the assignment is due to a reorganization, merger or consolidation of the Contractor's business entity or enterprise. The State retains its right to approve an assignment and to require that any Contractor demonstrate its responsibility to do business with the State. The Contractor may, however, assign its right to receive payments without the State's prior written consent unless this contract concerns Certificates of Participation pursuant to Article 5-A of the State Finance Law.

3. COMPTROLLER'S APPROVAL. In accordance with Section 112 of the State Finance Law (or, if this contract is with the State University or City University of New York, Section 355 or Section 6218 of the Education Law), if this contract exceeds \$50,000 (or the minimum thresholds agreed to by the Office of the State Comptroller for certain S.U.N.Y. and C.U.N.Y. contracts), or if this is an amendment for any amount to a contract which, as so amended, exceeds said statutory amount, or if, by this contract, the State agrees to give something other than money when the value or reasonably estimated value of such consideration exceeds \$10,000, it shall not be valid, effective or binding upon the State until it has been approved by the State Comptroller and filed in his office. Comptroller's approval of contracts let by the Office of General Services is required when such contracts exceed \$85,000 (State Finance Law Section 163.6.a).

4. WORKERS' COMPENSATION BENEFITS. In accordance with Section 142 of the State Finance Law, this contract shall be void and of no force and effect unless the Contractor shall provide and maintain coverage during the life of this contract for the benefit of such employees as are required to be covered by the provisions of the Workers' Compensation Law.

5. NON-DISCRIMINATION REQUIREMENTS. To the extent required by Article 15 of the Executive Law (also known as the Human Rights Law) and all other State and Federal statutory and constitutional non-discrimination provisions, the Contractor will not discriminate against any employee or applicant for employment because of race, creed, color, sex, national origin, sexual orientation, age, disability, genetic predisposition or carrier status, or marital status. Furthermore, in accordance with Section 220-e of the Labor Law, if this is a contract for the construction, alteration or repair of any public building or public work or for the manufacture, sale or distribution of materials, equipment or supplies, and to the extent that this contract shall be performed within the State of New York, Contractor agrees that neither it nor its subcontractors shall, by reason of race, creed, color, disability, sex, or national origin: (a) discriminate in hiring against any New York State citizen who is qualified and available to perform the work; or (b) discriminate against or intimidate any employee hired for the performance of work under this contract. If this is a building service contract as defined in Section 230 of the Labor Law, then, in accordance with Section 239 thereof, Contractor agrees that neither it nor its subcontractors shall by reason of race, creed, color, national origin, age, sex or disability: (a) discriminate in hiring against any New York State citizen who is qualified and available to perform the work; or (b) discriminate against or intimidate any employee hired for the performance of work under this contract. Contractor is subject to fines of \$50.00 per person per day for any violation of Section 220-e or Section 239 as well as possible termination of this contract and forfeiture of all moneys due hereunder for a second or subsequent violation.

6. WAGE AND HOURS PROVISIONS. If this is a public work contract covered by Article 8 of the Labor Law or a building service contract covered by Article 9 thereof, neither Contractor's employees nor the employees of its subcontractors may be required or permitted to work more than the number of hours or days stated in said statutes, except as otherwise provided in the Labor Law and as set forth in prevailing wage and supplement schedules issued by the State Labor Department. Furthermore, Contractor and its subcontractors must pay at least the prevailing wage rate and pay or provide the prevailing supplements, including the premium rates for

Under 1003(g) of the Elementary and Secondary Education Act of 1965 practices including, in cases of set-off pursuant to an audit, the finalization of such audit by the State agency, its representatives, or the State Comptroller.

overtime pay, as determined by the State Labor Department in accordance with the Labor Law. Additionally, effective April 28, 2008, if this is a public work contract covered by Article 8 of the Labor Law, the Contractor understands and agrees that the filing of payrolls in a manner consistent with Subdivision 3-a of Section 220 of the Labor Law shall be a condition precedent to payment by the State of any State approved sums due and owing for work done upon the project.

7. NON-COLLUSIVE BIDDING CERTIFICATION. In accordance with Section 139-d of the State Finance Law, if this contract was awarded based upon the submission of bids, Contractor affirms, under penalty of perjury, that its bid was arrived at independently and without collusion aimed at restricting competition. Contractor further affirms that, at the time Contractor submitted its bid, an authorized and responsible person executed and delivered to the State a non-collusive bidding certification on Contractor's behalf.

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

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

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

11. IDENTIFYING INFORMATION AND PRIVACY NOTIFICATION. (a) FEDERAL EMPLOYER IDENTIFICATION NUMBER and/or FEDERAL SOCIAL SECURITY NUMBER. All invoices or New York State standard vouchers submitted for payment for the sale of goods or services or the lease of real or personal property to a New York State agency must include the payee's identification number, i.e., the seller's or lessor's identification number. The number is either the payee's Federal employer identification number or Federal social security number, or both such numbers when the payee has both such numbers. Failure to include this number or numbers may delay payment. Where the payee does not have such number or numbers, the payee, on its invoice or New York State standard voucher, must give the reason or reasons why the payee does not have such number or numbers.

(b) PRIVACY NOTIFICATION. (1) The authority to request the above personal information from a seller of goods or services or a lessor of real or personal property, and the authority to maintain such information, is found in Section 5 of the State Tax Law. Disclosure of this information by the seller or lessor to the State is mandatory. The principal purpose for which the information is collected is to enable the State to identify individuals, businesses and others

Under 1003(g) of the Elementary and Secondary Education Act of 1965 cooperate in the implementation of the contractor's obligations herein; and

(c) the Contractor shall state, in all solicitations or advertisements for employees, that, in the performance of the State contract, all qualified applicants will be afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex, age, disability or marital status. Contractor will include the provisions of "a", "b", and "c" above, in every subcontract over \$25,000.00 for the construction, demolition, replacement, major repair, renovation, planning or design of real property and improvements thereon (the "Work") except where the Work is for the beneficial use of the Contractor. Section 312 does not apply to: (i) work, goods or services unrelated to this contract; or (ii) employment outside New York State; or (iii) banking services, insurance policies or the sale of securities. The State shall consider compliance by a contractor or subcontractor with the requirements of any federal law concerning equal employment opportunity which effectuates the purpose of this section. The contracting agency shall determine whether the imposition of the requirements of the provisions hereof duplicate or conflict with any such federal law and if such duplication or conflict exists, the contracting agency shall waive the applicability of Section 312 to the extent of such duplication or conflict. Contractor will comply with all duly promulgated and lawful rules and regulations of the Governor's Office of Minority and Women's Business Development pertaining hereto.

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

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

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

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

17. SERVICE OF PROCESS. In addition to the methods of service allowed by the State Civil Practice Law & Rules ("CPLR"), Contractor hereby consents to service of process upon it by registered or certified mail, return receipt requested. Service hereunder shall be complete upon Contractor's actual receipt of process or upon the State's

who have been delinquent in filing tax returns or may have understated their tax liabilities and to generally identify persons affected by the taxes administered by the Commissioner of Taxation and Finance. The information will be used for tax administration purposes and for any other purpose authorized by law. (2) The personal information is requested by the purchasing unit of the agency contracting to purchase the goods or services or lease the real or personal property covered by this contract or lease. The information is maintained in New York State's Central Accounting System by the Director of Accounting Operations, Office of the State Comptroller, 110 State Street, Albany, New York 12236.

12. EQUAL EMPLOYMENT OPPORTUNITIES FOR MINORITIES AND WOMEN.

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

(a) The Contractor will not discriminate against employees or applicants for employment because of race, creed, color, national origin, sex, age, disability or marital status, and will undertake or continue existing programs of affirmative action to ensure that minority group members and women are afforded equal employment opportunities without discrimination. Affirmative action shall mean recruitment, employment, job assignment, promotion, upgradings, demotion, transfer, layoff, or termination and rates of pay or other forms of compensation;

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

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

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

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

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

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

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

receipt of the return thereof by the United States Postal Service as refused or undeliverable. Contractor must promptly notify the State, in writing, of each and every change of address to which service of process can be made. Service by the State to the last known address shall be sufficient. Contractor will have thirty (30) calendar days after service hereunder is complete in which to respond.

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

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

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

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

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

NYS Department of Economic Development

Division for Small Business

30 South Pearl St -- 7th Floor

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

22. COMPLIANCE WITH NEW YORK STATE INFORMATION SECURITY BREACH AND NOTIFICATION ACT. Contractor shall comply with the provisions of the New York State Information Security Breach and Notification Act (General Business Law Section 899-aa; State Technology Law Section 208).

23. COMPLIANCE WITH CONSULTANT DISCLOSURE LAW. If this is a contract for consulting services, defined for purposes of this requirement to include analysis, evaluation, research, training, data processing, computer programming, engineering, environmental, health, and mental health services, accounting, auditing, paralegal, legal or similar services, then, in accordance with Section 163 (4-g) of the State Finance Law (as amended by Chapter 10 of the Laws of 2006), the Contractor shall timely, accurately and properly comply with the requirement to submit an annual employment report for the contract to the agency that awarded the contract, the Department of Civil Service and the State Comptroller.

24. PROCUREMENT LOBBYING. To the extent this agreement is a "procurement contract" as defined by State Finance Law Sections 139-j and 139-k, by signing this agreement the contractor certifies and affirms that all disclosures made in accordance with State Finance Law Sections 139-j and 139-k are complete, true and accurate. In the event such certification is found to be intentionally false or intentionally incomplete, the State may terminate the agreement by providing written notification to the Contractor in accordance with the terms of the agreement.

25. CERTIFICATION OF REGISTRATION TO COLLECT SALES AND COMPENSATING USE TAX BY CERTAIN STATE CONTRACTORS, AFFILIATES AND SUBCONTRACTORS.

To the extent this agreement is a contract as defined by Tax Law Section 5-a, if the contractor fails to make the certification required by Tax Law Section 5-a or if during the term of the contract, the Department of Taxation and Finance or the covered agency, as defined by Tax Law 5-a, discovers that the certification, made under penalty of perjury, is false, then such failure to file or false certification shall be a material breach of this contract and this contract may be terminated, by providing written notification to the Contractor in accordance with the terms of the agreement, if the covered agency determines that such action is in the best interest of the State.

November, 2010

APPENDIX A-1 G

General

- A. In the event that the Contractor shall receive, from any source whatsoever, sums the payment of which is in consideration for the same costs and services provided to the State, the monetary obligation of the State hereunder shall be reduced by an equivalent amount provided, however, that nothing contained herein shall require such reimbursement where additional similar services are provided and no duplicative payments are received.
- B. This agreement is subject to applicable Federal and State Laws and regulations and the policies and procedures stipulated in the NYS Education Department Fiscal Guidelines found at <http://www.nysed.gov/cafe/>.
- C. For each individual for whom costs are claimed under this agreement, the contractor warrants that the individual has been classified as an employee or as an independent contractor in accordance with 2 NYCRR 315 and all applicable laws including, but not limited to, the Internal Revenue Code, the New York Retirement and Social Security Law, the New York Education Law, the New York Labor Law, and the New York Tax Law. Furthermore, the contractor warrants that all project funds allocated to the proposed budget for Employee Benefits, represent costs for employees of the contractor only and that such funds will not be expended on any individual classified as an independent contractor.
- D. Any modification to this Agreement that will result in a transfer of funds among program activities or budget cost categories, but does not affect the amount, consideration, scope or other terms of this Agreement must be approved by the Commissioner of Education and the Office of the State Comptroller when:
 - a. The amount of the modification is equal to or greater than ten percent of the total value of the contract for contracts of less than five million dollars; or
 - b. The amount of the modification is equal to or greater than five percent of the total value of the contract for contracts of more than five million dollars.
- E. Funds provided by this contract may not be used to pay any expenses of the State Education Department or any of its employees.

Terminations

- A. The State may terminate this Agreement without cause by thirty (30) days prior written notice. In the event of such termination, the parties will adjust the accounts due and the Contractor will undertake no additional expenditures not already required. Upon any such termination, the parties shall endeavor in an orderly manner to wind down activities hereunder.

Safeguards for Services and Confidentiality

- A. Any copyrightable work produced pursuant to said agreement shall be the sole and exclusive property of the New York State Education Department. The material prepared under the terms of this agreement by the Contractor shall be prepared by the Contractor in a form so that it will be ready for copyright in the name of the New York State Education Department. Should the Contractor use the services of consultants or other organizations or individuals who are not regular employees of the Contractor, the Contractor and such organization or individual shall, prior to the performance of any work pursuant to this agreement, enter into a written agreement, duly executed, which shall set forth the services to be provided by such organization or individual and the consideration therefor. Such agreement shall provide that any copyrightable work produced pursuant to said agreement shall be the sole and exclusive property of the New York State Education Department and that such work shall be prepared in a form ready for copyright by the New York State Education Department. A copy of such agreement shall be provided to the State.
- B. All reports of research, studies, publications, workshops, announcements, and other activities funded as a result of this proposal will acknowledge the support provided by the State of New York.
- C. This agreement cannot be modified, amended, or otherwise changed except by a written agreement signed by all parties to this contract.
- D. No failure to assert any rights or remedies available to the State under this agreement shall be considered a waiver of such right or remedy or any other right or remedy unless such waiver is contained in a writing signed by the party alleged to have waived its right or remedy.

- E. Expenses for travel, lodging, and subsistence shall be reimbursed in accordance with the policies stipulated in the aforementioned Fiscal guidelines.
- F. No fees shall be charged by the Contractor for training provided under this agreement.
- G. Nothing herein shall require the State to adopt the curriculum developed pursuant to this agreement.
- H. All inquiries, requests, and notifications regarding this agreement shall be directed to the Program Contact or Fiscal Contact shown on the Grant Award included as part of this agreement.
- I. This agreement, including all appendices, is, upon signature of the parties and the approval of the Attorney General and the State Comptroller, a legally enforceable contract. Therefore, a signature on behalf of the Contractor will bind the Contractor to all the terms and conditions stated therein.
- J. The parties to this agreement intend the foregoing writing to be the final, complete, and exclusive expression of all the terms of their agreement.

Appendix A-2

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

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

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

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

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

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

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

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

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

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

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

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

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

	<p>of these programs. Please identify the goals in terms of quantity and quality of effective leader development.*</p> <ul style="list-style-type: none"> iv. Identify and describe any district-wide training programs designed to build the capacity of teachers to be effective specifically in low-achieving schools. Provide a history of these programs in the district, how they are or have been funded, and identify whether the instructional staff chosen for the new school designs proposed in this application have emerged as a direct result of these programs. If the programs are newly proposed, please identify the goals in terms of quantity and quality of effective teacher development.* v. Identify in chart form, the district-offered training events for items “iii & iv” above, scheduled during the pre-implementation period (April 1, 2013, to August 31, 2013) and year-one implementation period (September 1, 2013, to August 31, 2014). For each planned event, identify the specific agent/organization responsible for delivery, the desired measurable outcomes, and the method by which outcomes will be analyzed and reported. Provide a rationale for each planned event and why it will be critical to the successful implementation of the SIG plan. <p>*The district-wide training and professional development programs to be identified in this section are those that are offered by the district to a group or cluster of like schools (Turnaround, Restart, Transformation) and/or to cohorts of teachers and leaders who will serve in them (e.g, training for turnaround leaders; training for teachers who need to accelerate learning in Priority Schools where students are several levels below proficiency; training for school climate and culture in Priority Schools, etc.). School-specific and embedded training and professional-development should be detailed in the Training, Support, and Professional Development section within the school-level plan.</p>			
<p>External Partner Recruitment, Screening, and Matching to Priority Schools</p>	<p>The LEA must have a rigorous process for identifying, screening, selecting, matching, and evaluating partner organizations that provide critical services to Priority Schools.</p> <ul style="list-style-type: none"> i. Describe the rigorous process and formal LEA mechanisms for identifying, screening, selecting, matching, and evaluating external partner organizations that are providing support to this Priority school. ii. Describe the LEA processes for procurement and budget timelines (or any modifications to standard processes) that will ensure this Priority School will have access to effective external partner support prior to or directly at the start of the year-one implementation period (September 1, 2013). iii. Describe the role of the district and the role of the school principal in terms of identifying, screening, selecting, matching, and evaluating partner organizations supporting this school. Describe the level of choice that the school principal has in terms of the educational partners available and how those options are accessible in 		.5	

	a timeline that matches the preparation and start-up of the new school year.			
Enrollment and Retention Policies, Practices, and Strategies	<p>The LEA must have clear policies, practices, and strategies for managing student enrollment and retention to ensure that Priority Schools are not receiving disproportionately high numbers of students with disabilities, English-language learners, and students performing below proficiency.</p> <ul style="list-style-type: none"> i. Identify and describe similarities and differences in the school enrollment of SWDs, ELLs, and students performing below proficiency in this Priority School as compared with other schools within the district. Discuss the reasons why these similarities and differences exist. ii. Describe the district policies and practices that help to ensure SWDs, ELLs, and students performing below proficiency have increasing access to diverse high school programs across the district. iii. Describe specific strategies employed by the district to ensure that Priority schools in the district are not receiving or incentivized to receive disproportionately high numbers of SWDs, ELLs, and students performing below proficiency. 		.5	
District-level Labor and Management Consultation and Collaboration	<p>The LEA/school must fully and transparently consult and collaborate with recognized district leaders of the principals’ and teachers’ labor unions about district Priority Schools and the development and implementation of the plan proposed for this specific Priority School proposed in this application. The evidence of consultation and collaboration provided by the LEA must contain each of the following elements:</p> <ul style="list-style-type: none"> i. Describe in detail, the steps that have occurred to consult and collaborate in the development of the district and school-level implementation plans. ii. Complete the Consultation and Collaboration Form and submit with this application (Attachment A). 		.5	
School-Level Standards				
School Overview	<p>The LEA/school must demonstrate a clear and organized synopsis of the major quality design elements of the school. In addition, the executive summary should be suitable in substance and grammar for sharing with the general public, including essential stakeholders such as families, students, and school-level educators. This executive summary may also be used by NYSED to share school plans with stakeholders statewide, other LEAs, and will be posted to the NYSED website. The school overview must address each of the following elements:</p> <ul style="list-style-type: none"> i. Provide and describe the clear vision, mission, and <u>identify one to three goals</u> of the 		.5	

	<p>proposed model, to be achieved at the end of three years of implementation of this plan.</p> <p>ii. Explain how the school plans to achieve its vision, mission, and goals by identifying and describing its research-based key design elements, core strategies, and key partnership organizations to assist in the plan implementation.</p>			
Assessing the Needs of the School Systems, Structures, Policies, and Students	<p>The LEA/school must demonstrate a critical and honest assessment of structural/systems gaps and needs, as well as student achievement gaps and needs that are identified as the result of a systemic analysis process. The assessment of needs section must address each of the following elements:</p> <p>i. Complete the School-level Baseline Data and Target-Setting Chart (Attachment B).</p> <p>ii. Use statistics and descriptive language, to describe the population of students the school serves, and the unique needs of sub-group (e.g.: students with disabilities, English language learners, students from households that are eligible for free or reduced lunch, first-generation college-goers, and/or students traditionally underrepresented in college).</p> <p>iii. Describe the systematic in-depth diagnostic school review of the school conducted by the district, a Joint Intervention Team (JIT), Integrated Intervention Team (ITT), or related outside education experts to determine its existing capacity, strengths, and needs.</p> <p>iv. Describe the results of this systematic school review, including the existing capacity, strengths, and needs to dramatically improve student achievement.</p> <p>v. Discuss how the LEA/school will prioritize these identified needs in the implementation of the SIG plan.</p>		1	
School Model and Rationale	<p>The LEA/school must propose and present the SIG plan as a plausible solution to the challenges and needs identified in the previous section, as well as the appropriate fit for the particular school and community. The SIG plan and rationale must contain descriptions of the following elements:</p> <p>i. Describe the rationale for the selected model (Turnaround, Transformation, or Restart), the research-based key design elements and other unique characteristics of the new school design. The rationale should reference the identified needs, student population, core challenges, and school capacity and strengths discussed above.</p> <p>ii. Describe the process by which this model was chosen, including all steps taken to engage the school staff, leadership, labor unions, and community stakeholders in the design and decision-making processes for model selection and plan development.</p>		1	

<p>School Leadership</p>	<p>The LEA/school must have the mechanisms in place to replace the existing principal and select/assign a new school principal and supporting leaders that possess the strengths and capacity to drive the successful implementation of the SIG Plan. (While the replacement of the principal is not a requirement of Restart, the LEA and EPO should have the mechanism to replace the existing principal if through a screening process by the LEA / EPO, principal replacement is determined to be the best approach to ensuring school and student success.) Whether the principal being replaced or not, the LEA must make the case by providing a clear rationale and supporting evidence that the principal identified is likely to be successful in effectively implementing the SIG plan. The selection and identification of the school principal and supporting school leadership must contain the following elements:</p> <ul style="list-style-type: none"> i. Identify and describe the specific characteristics and core competencies of the school principal that are necessary to meet the needs of the school and produce dramatic gains in student achievement. ii. Identify the specific school principal by name and include in this narrative a short biography, an explanation of the leadership pipeline from which she/he came, as well as the rationale for the selection in this particular school. In addition, provide an up-to-date resume and track record of success in leading the improvement of low-performing schools; <u>OR</u> iii. If the specific persons who will serve in this position are not yet known, describe the action steps necessary to put leadership in place, and identify the formal LEA/school mechanisms that enable this personnel action. The principal selected to lead the school must be in place no later than July 1, 2013, to ensure sufficient time to lead summer activities in preparation for the beginning of the school year. Identify any barriers or obstacles to accomplishing these tasks, as well as strategies for overcoming them. If the principal selected to lead the school is not in place by July 1, 2013, or does not meet the quality standards set forth in this application, the SIG will be suspended immediately and the LEA will be at risk of having the grant terminated. iv. Provide the specific job description and duties, aligned to the needs of the school, for the following supporting leadership positions; 1) assistant principal/s who will serve in the building; 2) School Implementation Manager (SIM), if the school is utilizing one. v. Describe and discuss the current supporting leadership profile of the school in terms of quality, effectiveness, and appropriateness to the model proposed and needs of the students. Identify specific individuals who will remain in supporting leadership positions from the previous administration and discuss the strategies employed by the new school principal and the LEA/school to ensure buy-in and support from the entire leadership team. Identify any barriers or obstacles to obtaining leadership buy-in or support as well as strategies for overcoming them. 	<p style="text-align: center;">2</p>	
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<p>Instructional Staff</p>	<p>The LEA/school must have the mechanisms in place to assign the instructional staff to the school that have the strengths and capacity necessary to meet the needs of the school and its students. * The selection and identification of instructional staff must contain the following elements:</p> <ul style="list-style-type: none"> i. Describe and discuss the current school-specific staffing picture in terms of quality, effectiveness, and appropriateness for the needs of students in this school. In addition, describe the specific quantitative and qualitative change that is needed in this school’s staffing between the time of application and the start-up of model implementation. ii. For each key instructional staff to be employed at the start of model implementation identify and describe the characteristics and core competencies necessary to meet the needs of its students. iii. Describe the process and action steps by which existing instructional staff will be informed of the new model being implemented. iv. Describe the process and identify the formal LEA/school mechanisms that enable all instructional staff to be screened, selected, retained, transferred, and/or recruited. Identify any barriers or obstacles to assigning the appropriate staff as required by the model and new school design, as well as strategies for overcoming them. <p>*This standard and the actions that accompany it are required regardless of the model chosen. If the Turnaround model is chosen for the Priority School in this application, responses to this section should be planned/proposed in the context of the requirements for that model, retaining no more than 50% of existing instructional staff. A new school staff meeting the Turnaround requirement must be in place prior to September 1, 2013. If Turnaround staffing requirements are not met by September 1, 2013, SIG funding will be immediately suspended and the LEA will be at risk of having the grant terminated.</p>		2	
<p>Partnerships</p>	<p>The LEA/school must be able to establish effective partnerships for areas where the LEA/school lacks specific capacity on their own to deliver. The external partnership/s may vary in terms of role and relationship to the governance of the school. For example the type and nature of educational partner may range from a community-based organization providing wrap-around services with no formal governance functions to an Education Partner Organization (EPO) that has a direct role in governing the school. In either case, the partnerships articulated in this section should be those that are critical to the successful implementation of the school. LEA/schools are encouraged to have a few targeted and purposeful partnerships with a shared goal of college and career readiness, rather than a large variety of disconnected partner groups/services with multiple goals. For partnerships selected to support the implementation of the SIG/SURR plan, the LEA/school must provide a response to each of the following elements:</p>		1.5	

	<ul style="list-style-type: none"> i. Identify by name, the partner organizations that will be utilized to provide services critical to the implementation of the new school design. Additionally, provide the rationale for the selection of each. Explain specifically, the role they will play in the implementation of the new school design. * ii. Complete the Evidence of Partner Effectiveness Chart (Attachment C). This evidence should be able to be validated by an external source that each partner organization selected has a proven track-record of success in implementing school turnaround strategies that result in measured and timely successes with respect to the school's needs. iii. For any key external partner funded through this plan, provide a clear and concise description of how the LEA/school will hold the partner accountable for its performance. <p>*If the model chosen for this school is an EPO-Restart, the LEA must provide a Memorandum of Understanding, signed by both parties, which identifies joint-agreement and the scope of services of the EPO and the broad achievement outcomes for the school. The fully executed EPO-District contract, signed by both parties, which identifies the scope of services of the EPO, the specific autonomies the EPO will have, and the mechanism for the district to hold the EPO accountable must be received by NYSED no later than July 1, 2013.</p>			
Organizational Plan	<p>The LEA/school must provide a sound plan for how the school will be operated, beginning with its governance and management. It should present a clear picture of the school's operating priorities, delegation of responsibilities, and relationships with key stakeholders. The organizational plan must contain the following elements:</p> <ul style="list-style-type: none"> i. Submit an organizational chart (or charts) identifying the management and team structures, and lines of reporting. (If a Restart model is being proposed, be sure to include the specific role of the EPO in governance and decision making that is compliant with Education Law 211-e. ii. Describe how the structures function in day-to-day operations (e.g., the type, nature, and frequency of interaction, data-sources used to drive discussion and decision making, manner in which the results of interactions are communicated and acted upon, etc.). iii. Describe in detail, the plan for implementing the annual professional performance review (APPR) of all instructional staff within the school. Include in this plan an identification of who will be responsible for scheduling, conducting, and reporting the results of pre-observation conferences, classroom observations, and post-observation conferences. iv. Provide a full calendar schedule of the events listed in "iii" for the 2013-2014 school year that reaches all instructional personnel who will staff the building. 		2	
Educational Plan	The LEA/school must provide an educationally sound and comprehensive plan for the school.		2	

	<p>The LEA/school must provide a detailed educational plan with a description of each of the following elements:</p> <ol style="list-style-type: none"> i. <u>Curriculum</u>. Describe the curriculum to be used with the model, including the process to be used to ensure that the curriculum aligns with the New York State Learning Standards, inclusive of the Common Core State Standards and the New York State Testing Program (see: http://engageny.org/common-core/). ii. <u>Instruction</u>. Describe the instructional strategies to be used in core courses and common-branch subjects in the context of the 6 instructional shifts for Mathematics and 6 instructional shifts for ELA. Provide details of how the events of instruction in additional required and elective courses will be arranged to reflect all of these instructional shifts. Describe a plan to accelerate learning in academic subjects by making meaningful improvements to the quality and quantity of instruction (Connect with iii below.). iii. <u>Use of Time</u>. Present the daily proposed school calendar showing the number of days the school will be in session and sample daily class schedule showing daily hours of operation and allocation of time for core instruction, supplemental instruction, and increased learning time activities. Describe a logical and meaningful set of strategies for the use of instructional time that leads to a pedagogically sound restructuring of the daily/weekly/monthly schedule to increase learning time and/or extend the school day or year. The structure for learning time described here should be aligned with the Board of Regents standards for Expanded Learning Time, as outlined here : http://www.regents.nysed.gov/meetings/2012Meetings/April2012/412bra5.pdf iv. <u>Data-Driven Instruction/Inquiry (DDI)</u>. Describe the school’s functional cycle of Data-Driven Instruction/Inquiry (DDI). Present the schedule for administering common interim assessments in ELA and Math. Describe procedures, and schedule of space and time (e.g., through common planning time, teacher-administrator one-on-one meetings, group professional development, etc.) provided to the teachers for the examination of interim assessment data and test-in-hand analysis. Describe the types of supports and resources that will be provided to teachers, as the result of analysis. (See http://engageny.org/inquiryddi for more information on DDI) v. <u>Student Support</u>. Describe the school-wide framework for providing academic, social-emotional, and student support to the whole school population. List the major systems for the identification of students at-risk for academic failure, disengagement/drop-out, and health issues and then present the key interventions chosen to support them. Describe the school’s operational structures and how they function to ensure that these systems of support operate in a timely and effective manner. Student support programs described here should be aligned with Part 100.2 Regulations on implementing Academic Intervention Services, accessible at 			
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	<p>vi. http://www.p12.nysed.gov/part100/pages/1002.html#ee. <i>School Climate and Discipline</i>. Describe the strategies the model will employ to develop and sustain a safe and orderly school climate. Explain the school’s approach to student behavior management and discipline for both the general student population and those students with special needs.</p> <p>vii. <i>Parent and Community Engagement</i>. Describe the formal mechanisms and informal strategies for how the school will encourage parent/family involvement and communication to support student learning, and how it will gauge parent and community satisfaction. Programs and initiatives described should be aligned with the Title I requirements for parental involvement, as well as Part 100.11 regulations outlining requirements for shared decision-making in school-based planning; accessible at http://www.p12.nysed.gov/part100/pages/10011.html.</p>			
<p>Training, Support, and Professional Development</p>	<p>The LEA/school must have a coherent school-specific framework for training, support, and professional development clearly linked to the identified SIG plan and student needs. The framework articulated must contain each of the following elements:</p> <ul style="list-style-type: none"> i. Describe the process by which the school leadership/staff were involved in the development of this plan. ii. Pre-Implementation Period. Identify in chart form, the planned training, support, and professional development events scheduled during the <u>pre-implementation period (April 1, 2013 to August 31, 2013)</u>. For each planned event, identify the specific agent/organization responsible for delivery, the desired measurable outcomes, and the method by which outcomes will be analyzed and reported. Provide a rationale for each planned event and why it will be essential in leading-up to the start of the school year. iii. Implementation Period. Identify in chart form, the planned training, support, and professional development events scheduled during the <u>year one implementation period (September 1, 2013 to August 31, 2014)</u>. For each planned event, identify the specific agent/organization responsible for delivery, the desired measurable outcomes, and the method by which outcomes will be analyzed and reported. Provide in the proposal narrative, a rationale for each planned event and why it will be critical to the successful implementation of the SIG plan. iv. Describe the schedule and plan for regularly evaluating the effects of training, support, and professional development, including any subsequent modifications to the plan as the result of evaluation, tying in any modification processes that may be the result of professional teacher observations and/or the results of common student interim assessment data. <p>The training, support, and professional development plan to be described in this section</p>		1	

	<p>should be job-embedded, school-specific, and linked to student instructional and support data, as well as teacher observation and interim benchmark data. For the purposes of this grant, job-embedded professional development is defined as professional learning that occurs at a school as educators engage in their daily work activities. It is closely connected to what teachers are asked to do in the classroom so that the skills and knowledge gained from such learning can be immediately transferred to classroom instructional practices. Job-embedded training, support, and professional development can take many forms; including but not limited to classroom coaching, structured common planning time, meeting with mentors, consultation with external partners or outside experts, observations of classroom practice.</p>			
<p>Communication and Stakeholder Involvement/Engagement</p>	<p>The LEA/school must fully and transparently consult and collaborate with key education stakeholders about the school’s Priority status and on the implementation of the SIG plan. The plan for consultation and collaboration provided by the LEA/school must contain the following elements:</p> <ul style="list-style-type: none"> i. Describe in detail the methods, times, and places that will be used for regularly and systematically updating parents, families and the community on the implementation of the SIG plan. 		1	
<p>Project Plan and Timeline</p>	<p>The LEA/school must provide a project plan that provides a detailed and specific, measurable, realistic, and time-phased set of actions and outcomes that reasonably lead to the effective implementation of the SIG plan. The project plan must contain each of the following elements:</p> <ul style="list-style-type: none"> i. Describe the goals and key strategies for the <u>pre-implementation period (April 1 to August 31, 2013)</u> in preparation for the year-one implementation period. ii. Identify the specific, measurable, and time-phased actions/activities on the part of the district, school leadership, external partners, and teaching, and/or support personnel that are aligned to the key strategies for pre-implementation work. For each specific action/activity, identify the specific person or group that will be accountable for its completion. iii. Identify and describe the goals and key strategies for <u>year-one implementation period (September 1, 2013, to August 31, 2014)</u>. iv. Identify the “early wins” that will serve as early indicators of a successful SIG plan implementation and foster increased buy-in and support for the plan. v. Identify the leading indicators of success that will be examined on no less than a quarterly basis. Describe how these data indicators will be collected, how and who will analyze them, and how and to whom they will be reported. vi. Identify the goals and key strategies for year-two and year-three of implementation. 		1	

III. SIG Budget				
A. Budget Narrative and Forms	<p>The LEA/school must provide appropriate and complete required budget items identified below:</p> <ul style="list-style-type: none"> i. An FS-10 for the pre-implementation period, uniquely identifying all costs (April 1, 2013 to August 31, 2013). ii. An FS-10 for the year-one implementation period, uniquely identifying all costs (September 1, 2013 to August 31, 2014). iii. A complete Budget Summary Chart for the entire project period (pre-implementation period plus three years of implementation) (Attachment D). iv. A Budget Narrative that identifies and explains all proposed costs for district and school-level activities for the entire project period (pre-implementation period plus three years of implementation). In addition, applicants should identify all other sources of income that will support and sustain the whole-school change described in this application. Organize costs in the Budget Narrative by the major project activity they serve, based on each category of the proposal narrative for the entire grant term. For each major activity, identify the line item costs associated and provide an explanation/justification for the cost that closely connects to the project activity, goals, and outcomes identified. For each major activity, describe the LEAs strategies for sustaining these actions or for how/why the district/school practice that will result from the activity can be sustained past the whole project period of the grant. Clearly describe and justify any specific district-level administration and support expenses to be funded by SIG at no more than 10% of the total SIG funding request. <p>The budget items must be clear and obvious about how the proposed activities are directly impacting the school-level implementation of the SIG plan proposed in this application. The proposed expenditures must be reasonable and necessary to support the proposal's initiatives and goals. They must also be supplemental to and must not supplant core activities currently provided or to be provided through other funding sources.</p>		5	

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

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

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

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

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

	proximity to the closed school.			
Project Plan Narrative and Timeline	<p>The LEA must provide a detailed and specific, measurable, realistic, and time-phased set of actions and outcomes that reasonably lead to the effective closure of the school and the transfer of its students into the higher achieving school options identified in the proposal narrative. The Project Plan Narrative/Timeline should be comprehensive and suitable for publication. The Project Plan Narrative/Timeline must contain each of the following elements:</p> <ul style="list-style-type: none"> i. Describe the goals and key strategies for the <u>pre-implementation period (April 1, 2013 to August 31, 2013)</u> and <u>implementation period (September 1, 2013 to August 31, 2014)</u> in preparation for and completion of the school's Closure. ii. Identify the specific, measurable, and time-phased actions/outcomes on the part of the district, school leadership, external partners, and teaching, and/or support personnel that are aligned to the key strategies for pre-implementation and implementation work. Include action steps and strategies for: downsizing teachers and other staff within the closing school; effectively transferring students to higher achieving options; and providing support to higher performing schools who will receive students transferring from the closing school. iii. For each specific action/outcomes, identify the specific person or group that will be accountable for its completion. 		5	
Budget Narrative and Forms	<p>The LEA/school must provide appropriate and complete required budget items identified below:</p> <ul style="list-style-type: none"> i. An FS-10 for the pre-implementation period (April 1, 2013, to August 31, 2013). ii. An FS-10 for the year-one implementation period (September 1, 2013, to August 31, 2014). iii. A Budget Narrative that identifies and explains all proposed costs for district and school-level activities for the entire project period (pre-implementation period plus one year of implementation). Organize costs in the Budget Narrative by the major project activity they serve, based on each category of the project narrative, for the entire grant term. For each major activity, identify the line item costs associated and provide an explanation/justification for the cost that closely connects to the project activity, goals, and outcomes identified. For each major activity, describe 		5	

	<p>the LEAs strategies for sustaining these actions or for how/why the district/school practice that will results from the activity can be sustained past the grant. Clearly describe and justify any specific district-level administration and support expenses to be funded by SIG at no more than 10% of the total SIG funding request.</p> <p>The budget items must be clear and obvious about how the proposed activities are directly impacting the school-level implementation of the SIG plan proposed in this application. The proposed expenditures must be reasonable and necessary to support the proposal’s initiatives and goals. They must also be supplemental to and must not supplant core activities currently provided or to be provided through other funding sources.</p>			