New York State Education Department
LEA School Improvement Grant Application
Under 1003 (g) of the Elementary and Secondary Education Act of 1965

School Improvement Grants Application

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

Cover Page

LEA BEDS Code

District:	
Address:	
Contact Person:	**Telephone:**
Address of Contact:	
E-mail Address:	**Fax:**

I hereby certify that I am the applicant's chief school/administrative officer and that the information contained in this application is, to the best of my knowledge, complete and accurate. I further certify, to the best of my knowledge, that any ensuing program and activity will be conducted in accordance with all applicable Federal and State laws and regulations, application guidelines and instructions, Assurances, Certifications, Appendix A, and that the requested budget amounts are necessary for the implementation of this project. It is understood by the applicant that this application constitutes an offer and, if accepted by the NYS Education Department or renegotiated to acceptance, will form a binding agreement. It is also understood by the applicant that immediate written notice will be provided to the grant program office if at any time the applicant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

Authorized Signature of Chief School Officer (**in blue ink**)	
Typed Name:	Date:

New York State Education Department
LEA School Improvement Grant Application
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General Information

Eligible Applicants

This grant is open to Local Education Agencies (LEAs) receiving Title I, Part A serving one or more of the 57 identified Tier I and II persistently lowest-achieving schools in the State. Priority will be given to LEAs that commit to serve all identified Tier I and Tier II schools, and that demonstrate through their application the strongest commitment and capacity to fully implement the four intervention models and raise student achievement. Please see Commissioner Steiner's Press Release regarding Persistently Lowest-Achieving Schools, at www.oms.nysed.gov/press/PersistentlyLowAchiev2010.html for the complete list of schools.

Funds Available and Award Amounts

LEAs with Tier I and II schools will be able to receive up to $2 million per school annually to implement a model selected by the LEA and approved by the New York State Education Department (NYSED). This funding is contingent on the LEA's capacity to implement the selected models and an approved application and budget that includes sufficient funds to implement the selected intervention model fully and effectively in each school. Each grant will be renewable based upon demonstrated success in at least one of the following areas:

- Progress towards meeting achievement goals;
- Progress shown through leading indicators; and/or
- Fidelity of implementation of required model actions.

Funding Period

The proposed award period is anticipated to be July 1, 2010 through September 30, 2013.

Expectations

Through the SIG program, the USED requires State educational agencies (SEAs) to prioritize funding to local educational agencies (LEAs) with the lowest-achieving schools that have the greatest need and demonstrate the strongest commitment to use the funds to significantly raise the achievement of their students. It is USDE's expectation that SIG funds are used for the implementation of one of four rigorous school intervention models—turnaround, restart, school closure, and transformation—in each persistently lowest-achieving school.

Models

The New York State Education Department will provide LEAs with SIG grants under 1003(g) to facilitate implementation of one of the following four school intervention models in Tier I and Tier II schools:

- **Turnaround:** Phase out and replace the school with a new school(s) or completely redesign the school, including replacing the principal and at least half the staff.
- **Restart Model:** Either convert a school to a charter school or replace a public school with a new charter school that will serve the students who would have attended the public school. Under certain circumstances, districts may also enter

into contracts with the City University of New York or the State University of New York for them to manage public schools.

- **Transformation:** Similar to the turnaround model, but with a requirement for an evaluation of staff effectiveness developed by the LEA in collaboration with teachers and principals that takes into account data on student growth, multiple observation-based assessments, and portfolios of professional activities. Evaluations would serve as the basis for rewarding effective teachers and removing ineffective teachers after ample professional development opportunities. A school that opts for a transformation model does not close but rather remains identified as persistently lowest-achieving until it demonstrates improved academic results.
- **School closure:** Close the school and enroll the students who attended the school in higher achieving schools in the LEA.

For the USDOE description of each of the models, please see: www.oms.nysed.gov/press/attachb_jan2010.html.

Definitions

LEA - Local Education Agency, typically a public school district or charter school.
SEA - State Education Agency

Tier I, II and III schools - The USED requires each SEA to identify three tiers of schools:

- **Tier I** schools: any Title I that has been identified as persistently lowest-achieving;
- **Tier II** schools: any secondary school that is eligible for but does not receive Title I, Part A funds that has been identified as persistently lowest-achieving;
- **Tier III** schools: any Title I school in improvement, corrective action, or restructuring that is not a Tier I school.

Leading Indicators- detailed in section III of the final requirements, these are the school-level data that must be annually reported to the SEA:

(1) Number of minutes within the school year;
(2) Student participation rate on State assessments in reading/language arts and in mathematics, by student subgroup;
(3) Dropout rate;
(4) Student attendance rate;
(5) Number and percentage of students completing advanced coursework (e.g., AP/IB), early-college high schools, or dual enrollment classes;
(6) Discipline incidents;
(7) Truants;
(8) Distribution of teachers by performance level on an LEA's teacher evaluation system; and
(9) Teacher attendance rate.

Increased learning time- (A-18 & 19, Guidance on School Improvement Grants): "Increased learning time" means using a longer school day, week, or year schedule to significantly increase the total number of school hours to include additional time for (a) instruction in core academic subjects including English, reading or language arts, mathematics, science, foreign languages, civics and government, economics, arts, history, and geography; (b) instruction in other subjects and enrichment activities that contribute to a well-rounded education, including, for example, physical education, service learning, and experiential and work-based learning opportunities that are provided by partnering, as appropriate, with other organizations; and (c) teachers to collaborate, plan, and engage in professional development within and across grades and subjects.

Extending learning into before- and after-school hours can be difficult to implement effectively, but is permissible under this definition, although the Department encourages LEAs to closely integrate and coordinate academic work between in school and out of school. To satisfy the requirements in Section I.A.2(a)(1)(viii) of the turnaround model and Section I.A.2(d)(3)(i)(A) of the transformation model for providing increased learning time, a before- or after-school instructional program must be available to all students in the school.

Job-imbedded professional development- 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 professional development is usually characterized by the following:

- It occurs on a regular basis (e.g., daily or weekly);
- It is aligned with academic standards, school curricula, and school improvement goals;
- It involves educators working together collaboratively and is often facilitated by school instructional leaders or school-based professional development coaches or mentors;
- It requires active engagement rather than passive learning by participants; and
- It focuses on understanding what and how students are learning and on how to address students' learning needs, including reviewing student work and achievement data and collaboratively planning, testing, and adjusting instructional strategies, formative assessments, and materials based on such data.

Job-embedded professional development can take many forms, including, but not limited to, classroom coaching, structured common planning time, meetings with mentors, consultation with outside experts, and observations of classroom practice.
When implemented as part of a turnaround model, job-embedded professional development must be designed with school staff.

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Additional Information or Assistance

For additional information or assistance, please see:

- New York Education Department Field Guidance Memorandum regarding School Improvement Grants 1003(g), posted at : http://www.emsc.nysed.gov/nyc/TitleI/sigfieldguidance
- New York State Education Department's Race to the Top Application, posted at: http://usny.nysed.gov/rttt/
- USDOE Guidance on School Improvement Grants, at: http://www2.ed.gov/programs/sif/faq.html .

If you have any questions regarding the application, please contact:

Roberto Reyes
Title I Director
rreyes@mail.nysed.gov
518-473-0295

Application Format

Directions for completion of the application materials should be carefully read and followed. The Application has 9 sections:

1. Application Cover Sheet
2. Assurances and Waivers Form
3. Section A: Schools to be served list
4. Section B: Descriptive Information
5. Appendix A: Baseline Data- This must be completed for each school the LEA commits to serve
6. Appendix B: Model Implementation Form- This must be completed for each school the LEA commits to serve
7. Appendix C: Consultation and Collaboration Form
8. Budget Narrative
9. Budget, FS-10

Applicants should use the attached rubrics (Overall LEA Application Rubric and Model Implementation Plan Rubric) to complete the application, and ensure that the quality of the application meets expectations.

Application Submission Due Date

Grant applications are due to the New York State Education Department by **May 24, 2010.**

Assurances (specific to 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 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 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 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; and

(4) Report to the SEA the school-level data required under section III of the final requirements:

a. Number of minutes within the school year;
b. Student participation rate on State assessments in reading/language arts and in mathematics, by student subgroup;
c. Dropout rate;
d. Student attendance rate;
e. Number and percentage of students completing advanced coursework (e.g., AP/IB), early-college high schools, or dual enrollment classes;
f. Discipline incidents;
g. Truants;
h. Distribution of teachers by performance level on an LEA's teacher evaluation system; and
i. Teacher attendance rate.

Waivers

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.

- ❑ Extending the period of availability of school improvement funds.
- ❑ "Starting over" in the school improvement timeline for Tier I and Tier II Title I participating schools implementing a turnaround or restart model.
- ❑ Implementing a schoolwide program in a Tier I or Tier II Title I participating school that does not meet the 40 percent poverty eligibility threshold.

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Section A: Schools to be Served:

An LEA must identify each Tier I, II, and III school the LEA commits to serve and identify the model that the LEA will use in each Tier I and II school. SED has no preference in regards to the models chosen by the LEAs for identified schools. Applications will only be reviewed based on the quality of the plan submitted.

School Name	NCES #:	Tier I	Tier II	Tier III*	Intervention (Tier I and Tier II only)			
					Turnaround	Restart	Closure	Transformation

*Although LEAs are required to identify Tier III schools that they commit to serve, SED will prioritize funding for Tier I and Tier II schools. SED does not anticipate funding Tier III schools unless additional monies become available and/or all Tier I and Tier II schools that LEAs have the capacity to serve are funded fully.

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Section B: Descriptive Information

Directions: When completing this section, LEAs should refer to the Overall LEA SIG Application Rubric, to ensure quality responses.

1. **Describe the capacity of the LEA to implement one of the four models in each Tier I and Tier II school that the LEA has committed to serve. For example, LEAs may demonstrate capacity to fully implement the four models through taking the following actions:**
    - **Submission of any revised collective bargaining agreements that support full implementation of models or a jointly signed letter indicating the status of discussions.**
    - **Creation of a teacher evaluation system that includes student growth in academic achievement as a significant factor. "Significant" will be defined pursuant to NY's Round 1 and, if submitted, Round 2 Race to the Top applications.**
    - **Hiring a fulltime School Implementation Manager (SIM) for each PLA school. A SIM will be equivalent to an assistant principal and will assume most non-instructional responsibilities in the school.**
    - **Requiring Principals of PLA schools to complete training focused on strategies for implementation of chosen models.**
    - **Establishing an LEA Turnaround Office or Officers to manage the school-level implementation of the models and coordinate with NYSED.**
    - **Adding at least one period of instructional time per day and/or extending school year for each PLA school.**
    - **Providing each teacher in PLA schools, 90 minutes of time dedicated to professional learning communities.**
    - **Providing at least 10 days of site-based training each school year for all teachers in PLA schools.**
    - **Providing training to new teachers that join PLA schools after the implementation of the model has begun and throughout the three year grant period.**
    - **Identifying partner organizations and the role that they will play in supporting implementation of a model.**

In addition, the LEA should indicate that it has the ability to get the basic elements of its selected models up and running by the beginning of the 2012011 school year. If the LEA asserts that it does not have the capacity to implement one of the four models in each Tier I and II school that has been identified , the LEA must submit in this section a detailed explanation of the specific reasons that it lacks capacity.

Section B: Descriptive Information (cont.)

2. **Describe any obstacles (ex: collective bargaining, lack of professional staff, etc.) the LEA faces in implementing the four models in identified schools. Describe the LEA's plan for addressing these obstacles, including specific activities, responsible personnel and expected timeline for overcoming the obstacles.**

Section B: Descriptive Information (cont.)

3. **Describe any LEA level activities or services (including establishing operating conditions, planning, implementation, and monitoring) that will support the implementation of the four models in identified schools. Provide a timeline of these activities that extends over the three year grant period. Identify who will be responsible within the LEA for these activities, and include a description of their specific duties.**

LEA level Activities for Tier I and II Schools

Type of Activity/Description	Timeline	Persons Responsible	Description of duties

Section B: Descriptive Information (cont.)

4. **For each Tier I and Tier II school that the LEA commits to serve, please complete the baseline data chart (Appendix A) and appropriate LEA Model Implementation Plan (Appendix B). When completing the LEA Model Implementation Plan, LEAs should refer to the Model Implementation Plan Rubric, to ensure quality responses.**

Section B: Descriptive Information (cont.)

5. **Describe the annual goals the LEA has established for monitoring student achievement on the State's assessments in reading/language arts and mathematics in Tier I and II schools that receive school improvement funds. Describe the LEA's plan for assessing school progress on meeting those goals, and for monitoring the implementation of the four models.**

   Please see NYSED guidance on setting goals for persistently lowest achieving schools at http://www.emsc.nysed.gov/nyc/TitleI/sigfieldguidance **.**

   Note that the determination of whether a school meets the goals for student achievement established by the LEA is in addition to the determination of whether the school makes AYP as required by section 1111(b)(2) of the ESEA. In other words, each LEA receiving SIG funds must monitor the Tier I and Tier II schools it is serving to determine whether they have met the LEA's annual goals for student achievement and must also comply with its obligations for making accountability determinations under section 1111(b)(2) of the ESEA.

Section B: Descriptive Information (cont.)

6. **Describe how the LEA has consulted with relevant stakeholders regarding the LEA's application and implementation of school improvement models in its Tier I and II schools. Identify stakeholders, and describe any relevant outcomes from the consultations. Complete Appendix C: Collaboration and Consultation Form with signatures from consulted stakeholders. Consultation must be consistent with the State School Governance Law for New York City, Commissioner's Regulations Part 100.11 and each LEA's Title I Parent Involvement Policy.**

Section B: Descriptive Information (cont.)

7. **Describe for each Tier III school that the LEA commits to serve, the services the school will receive or the activities the school will implement (including establishing operating conditions, planning, implementation, and monitoring) that will support an increase in student achievement in identified Tier III schools. Provide a timeline of these activities that extends over the three year grant period. Identify who will be responsible within the LEA for these activities, and include a description of their specific duties.***

LEA level Activities for Tier III Schools

Type of Activity/Description	Timeline	Persons Responsible	Description of duties

*Although LEAs are required to identify Tier III schools that they commit to serve, SED will prioritize funding for Tier I and Tier II schools. SED does not anticipate funding Tier III schools unless additional monies become available and/or all Tier I and Tier II schools that LEAs have the capacity to serve are funded fully.

Section B: Descriptive Information (cont.)

8. **Describe the annual goals the LEA has established for monitoring student achievement on the State's assessments in reading/language arts and mathematics in Tier III schools that receive school improvement funds.***
   According to the USED Guidance on School Improvement Grants under Section 1003(g), "An LEA must establish, and the SEA must approve, goals to hold accountable the Tier III schools it serves with SIG funds (see section II.C(a) of the final requirements), although the LEA has discretion in establishing those goals. For example, the LEA might establish for its Tier III schools the same student achievement goals that it establishes for its Tier I and Tier II schools, or it might establish for its Tier III schools goals that align with the already existing AYP requirements, such as meeting the State's annual measurable objectives or making AYP through safe harbor. Note that the goals that the LEA establishes must be approved by the SEA."

*Although LEAs are required to identify Tier III schools that they commit to serve, SED will prioritize funding for Tier I and Tier II schools. SED does not anticipate funding Tier III schools unless additional monies become available and/or all Tier I and Tier II schools that LEAs have the capacity to serve are funded fully.

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APPENDIX A: BASELINE DATA

Directions: Please complete the following form for **each** persistently lowest-achieving Tier I or Tier II school within the LEA.

To inform and evaluate the effectiveness of the interventions described in this grant application, NYSED will monitor a school's progress on achievement and leading indicators listed in the charts on these pages. NYSED will pre-populate most of the information, and require LEAs to provide school data on the indicators followed by an asterisk (*).

School:_____
NCES#:_____
Grades Served:_____
Number of students:_____

Model to be implemented:_____

Achievement Indicators	2008-2009
AYP status	
Which AYP targets the school met and missed	
School improvement status	
Percentage of students at or above each proficiency level on State assessments in reading/language arts and mathematics (e.g., Basic, Proficient, Advanced), by grade and by student subgroup	
Average scale scores on State assessments in reading/language arts and in mathematics, by grade, for the "all students" group, for each achievement quartile, and for each subgroup*	
Percentage of limited English proficient students who attain English language proficiency	
Graduation rate	
College enrollment rates / Achievement	

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APPENDIX A: BASELINE DATA (cont.)

School:_____
NCES#:_____
Grades Served:_____
Number of students:_____

Model to be implemented:_____

Leading Indicators	2008-2009
Number of minutes within the school year*	
Student participation rate on State assessments in reading/language arts and in mathematics, by student subgroup	
Dropout rate	
Student attendance rate	
Number and percentage of students completing advanced coursework (e.g., AP/IB), early-college high schools, or dual enrollment classes*	
Discipline incidents	
Truants	
Distribution of teachers by performance level on LEA's teacher evaluation system	
Teacher attendance rate*	

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APPENDIX B: TURNAROUND MODEL

LEA Implementation Plan for the Turnaround Model

Directions: Please complete the following form for **each** persistently lowest-achieving Tier I or Tier II school within the LEA that will implement a **Turnaround Model**. When completing this plan, please refer to the Model Implementation Plan Rubric to ensure quality responses.

LEA:_____ **NCES#:**_____

School:_____ **NCES#:**_____
Grades Served:_____
Number of students:_____

In the chart below, describe the needs assessment process used, and the conclusions drawn for the school listed above. Include data gathered during any Joint Intervention Team or School Under Registration Review visit, with any additional information from local assessment tools.

Needs Assessment Process	List Data Analyzed	Major Findings

Describe how the Turnaround Model addresses the major findings of the needs assessment.

APPENDIX B: TURNAROUND MODEL

In the chart below, provide a description of the LEA plan for implementation of the turnaround model at the school.

Action Required By Turnaround Model	**Description of how the action will be accomplished by LEA**	**Describe when the action will occur during the grant period, and why at that time**	**Description of costs associated with the action (description should align with budget narrative and budget provided for grant)**
1. Replace the principal and grant the principal sufficient operational flexibility (including in staffing, calendars/time, and budgeting) to implement fully a comprehensive approach in order to substantially improve student achievement outcomes and increase high school graduation rates			
2. Use locally adopted competencies to measure the effectiveness of staff who can work within the turnaround environment to meet the needs of students, (A) Screen all existing staff and rehire no more than 50 percent; and			

Action Required By Turnaround Model	**Description of how the action will be accomplished by LEA**	**Describe when the action will occur during the grant period, and why at that time**	**Description of costs associated with the action (description should align with budget narrative and budget provided for grant)**
(B) Select new staff			
3. Implement such strategies as financial incentives, increased opportunities for promotion and career growth, and more flexible work conditions that are designed to recruit, place, and retain staff with the skills necessary to meet the needs of the students in the turnaround school			
4. Provide staff ongoing, high-quality, job-embedded professional development that is aligned with the school's comprehensive instructional program and designed with school staff to ensure that they are equipped to facilitate effective teaching and learning and have the capacity to successfully implement school reform strategies			

Action Required By Turnaround Model	**Description of how the action will be accomplished by LEA**	**Describe when the action will occur during the grant period, and why at that time**	**Description of costs associated with the action (description should align with budget narrative and budget provided for grant)**
5. Adopt a new governance structure, which may include, but is not limited to, requiring the school to report to a new "turnaround office" in the LEA or SEA, hire a "turnaround leader" who reports directly to the Superintendent or Chief Academic Officer, or enter into a multi-year contract with the LEA or SEA to obtain added flexibility in exchange for greater accountability			
6. Use data to identify and implement an instructional program that is research-based and vertically aligned from one grade to the next as well as aligned with State academic standards			
7. Promote the continuous use of student data (such as from formative, interim, and			

Action Required By Turnaround Model	**Description of how the action will be accomplished by LEA**	**Describe when the action will occur during the grant period, and why at that time**	**Description of costs associated with the action (description should align with budget narrative and budget provided for grant)**
summative assessments) to inform and differentiate instruction in order to meet the academic needs of individual students			
8. Establish schedules and implement strategies that provide increased learning time			
9. Provide appropriate social-emotional and community-oriented services and supports for students.			
10. If external partners will be used to accomplish all or any of the actions described- Recruit, screen, and select external providers to ensure their quality			

Cost of Implementation of Model (over 3 years)	Amount of 1003(g) funds LEA will allocate to school	Amount of additional funds, to be provided by other sources, LEA will allocate to school
$	$	$

APPENDIX B: TURNAROUND MODEL

Describe how the LEA will fund the actions described in the model, including resources other than 1003(g) to support the interventions, and plans to sustain the interventions after the grant ends.

Describe any obstacles to implementing this plan (ex: collective bargaining agreements, lack of professional staff, etc.) that the LEA faces with this particular school, and how the LEA plans to address these challenges.

Describe how the LEA will modify its practices or policies, if necessary, to enable it to implement the interventions fully and effectively at this school.

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APPENDIX B: RESTART MODEL

LEA Implementation Plan for the Restart Model

Directions: Please complete the following form for **each** persistently lowest-achieving Tier I or Tier II school within the LEA that will implement a **Restart Model**. When completing this plan, please refer to the Model Implementation Plan Rubric to ensure quality responses.

LEA:_____ **NCES#:**_____

School:_____ **NCES#:**_____
Grades Served:_____
Number of students:_____

In the chart below, describe the needs assessment process used, and the conclusions drawn for the school listed above. Include data gathered during any Joint Intervention Team or School Under Registration Review visit, with any additional information from local assessment tools.

Needs Assessment Process	List Data Analyzed	Major Findings

Describe how the Restart Model addresses the major findings of the needs assessment.

APPENDIX B: RESTART MODEL

In the chart below, provide a description of the LEA plan for implementation of the model at the school.

Action Required By Restart Model	**Description of how the action will be accomplished by LEA**	**Describe when the action will occur during the grant period, and why at that time**	**Description of costs associated with the action (description should align with budget narrative and budget provided for grant)**
A restart model is one in which an LEA converts a school or closes and reopens a school under a charter school operator, a charter management organization (CMO), or an education management organization (EMO) that has been selected through a rigorous review process. (A CMO is a non-profit organization that operates or manages charter schools by centralizing or sharing certain functions and resources among schools. An EMO is a for-profit or non-profit organization that provides "whole-school operation" services to an LEA.)			
Fulfill all New York State requirements for converting			

Action Required By Restart Model	**Description of how the action will be accomplished by LEA**	**Describe when the action will occur during the grant period, and why at that time**	**Description of costs associated with the action (description should align with budget narrative and budget provided for grant)**
school into a charter school.			
Enroll, within the grades it serves, any former student who wishes to attend the school.			
Notify parents and community of conversion, and provide information on school choice options available			
Create a plan to transfer students who either a) cannot attend the new school because their grade is not served; or b) have parents who wish to opt-out of the new charter school. Provide NYSED with a list of schools that will receive transfer students.			
Create an accountability contract with the CMO, with clearly defined goals for student achievement			
If external partners will be used to accomplish all or any of the actions described- Recruit, screen, and select			

Action Required By Restart Model	Description of how the action will be accomplished by LEA	Describe when the action will occur during the grant period, and why at that time	Description of costs associated with the action (description should align with budget narrative and budget provided for grant)
external providers to ensure their quality.			

Cost of Implementation of Model (over 3 years)	Amount of 1003(g) funds LEA will allocate to school	Amount of additional funds, to be provided by other sources, LEA will allocate to school
$	$	$

Describe how the LEA will fund the actions described in the model, including resources other than 1003(g) to support the interventions, and plans to sustain the interventions after the grant ends.

Describe any obstacles to implementing this plan (ex: collective bargaining agreements, lack of professional staff, etc.) that the LEA faces with this particular school, and how the LEA plans to address these challenges.

Describe how the LEA will modify its practices or policies, if necessary, to enable it to implement the interventions fully and effectively at this school.

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APPENDIX B: CLOSURE MODEL

LEA Implementation Plan for the Closure Model

Directions: Please complete the following form for **each** persistently lowest-achieving Tier I or Tier II school within the LEA that will implement a **Closure Model**. When completing this plan, please refer to the Model Implementation Plan Rubric to ensure quality responses.

LEA:_____ **NCES#:**_____

School:_____ **NCES#:**_____
Grades Served:_____
Number of students:_____

In the chart below, describe the needs assessment process used, and the conclusions drawn for the school listed above. Include data gathered during any Joint Intervention Team or School Under Registration Review visit, with any additional information from local assessment tools.

Needs Assessment Process	List Data Analyzed	Major Findings

Describe how the Closure Model addresses the major findings of the needs assessment.

APPENDIX B: CLOSURE MODEL

In the chart below, provide a description of the LEA plan for implementation of the model at the school.

Action Required By Closure Model	**Description of how the action will be accomplished by LEA**	**Describe when the action will occur during the grant period, and why at that time**	**Description of costs associated with the action (description should align with budget narrative and budget provided for grant)**
School closure occurs when an LEA closes a school and enrolls the students who attended that school in other schools in the LEA that are higher achieving. These other 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. Provide NYSED with a list of schools that will receive transfer students.			
Notify parents and community of closure, and provide information on school choice options available			
Create a plan to transfer students			

Action Required By Closure Model	**Description of how the action will be accomplished by LEA**	**Describe when the action will occur during the grant period, and why at that time**	**Description of costs associated with the action (description should align with budget narrative and budget provided for grant)**
Create a plan for downsizing teachers and other staff			
Create a support plan for schools receiving transferred students			

Cost of Implementation of Model (over 3 years)	**Amount of 1003(g) funds LEA will allocate to school**	**Amount of additional funds, to be provided by other sources, LEA will allocate to school**
$	**$**	**$**

Describe how the LEA will fund the actions described in the model, including resources other than 1003(g) to support the interventions.

Describe any obstacles to implementing this plan (ex: collective bargaining agreements, lack of professional staff, etc.) that the LEA faces with this school, and how the LEA plans to address these challenges.

Describe how the LEA will modify its practices or policies, if necessary, to enable it to implement the interventions fully and effectively at this school.

APPENDIX B: TRANSFORMATION MODEL

LEA Implementation Plan for the Transformation Model

Directions: Please complete the following form for **each** persistently lowest-achieving Tier I or Tier II school within the LEA that will implement a **Transformation Model**. When completing this plan, please refer to the Model Implementation Plan Rubric to ensure quality responses.

LEA:_____ **NCES#:**_____

School:_____ **NCES#:**_____
Grades Served:_____
Number of students:_____

In the chart below, describe the needs assessment process used, and the conclusions drawn for the school listed above. Include data gathered during any Joint Intervention Team or School Under Registration Review visit, with additional information from local assessment tools.

Needs Assessment Process	List Data Analyzed	Major Findings

Describe how the Transformation Model addresses the major findings of the needs assessment.

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APPENDIX B: TRANSFORMATION MODEL

In the chart below, provide a description of the LEA plan for implementation of the model at the school.

Action Required By Transformation Model	**Description of how the action will be accomplished by LEA**	**Describe when the action will occur during the grant period, and why at that time**	**Description of costs associated with the action (description should align with budget narrative and budget provided for grant)**
Required Activities: Developing and increasing teacher and school leader effectiveness			
Replace the principal who led the school prior to commencement of the transformation model			
Use rigorous, transparent, and equitable evaluation systems for teachers and principals that-- (1) Take into account data on student growth (as defined in this notice) as a significant factor as well as other factors such as multiple observation-based assessments of performance and ongoing collections of professional practice reflective of student achievement and increased high school graduations rates; and (2) Are designed and			

Action Required By Transformation Model	**Description of how the action will be accomplished by LEA**	**Describe when the action will occur during the grant period, and why at that time**	**Description of costs associated with the action (description should align with budget narrative and budget provided for grant)**
developed with teacher and principal involvement; Note: LEAs can demonstrate commitment through developing teacher evaluations that are based on a significant percentage of student growth in achievement.. "Significant" will be defined pursuant to NY's Round 1 and, if submitted, Round 2 Race to the Top applications.			
Identify and reward school leaders, teachers, and other staff who, in implementing this model, have increased student achievement and high school graduation rates and identify and remove those who, after ample opportunities have been provided for them to improve their professional practice, have not done so.			
Provide staff ongoing, high-			

Action Required By Transformation Model	**Description of how the action will be accomplished by LEA**	**Describe when the action will occur during the grant period, and why at that time**	**Description of costs associated with the action (description should align with budget narrative and budget provided for grant)**
quality, job-embedded professional development (e.g., regarding subject-specific pedagogy, instruction that reflects a deeper understanding of the community served by the school, or differentiated instruction) that is aligned with the school's comprehensive instructional program and designed with school staff to ensure they are equipped to facilitate effective teaching and learning and have the capacity to successfully implement school reform strategies;			
Implement such strategies as financial incentives, increased opportunities for promotion and career growth, and more flexible work conditions that are designed to recruit, place, and retain staff with the skills necessary to meet the needs of the students in a transformation school.			

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Action Required By Transformation Model	**Description of how the action will be accomplished by LEA**	**Describe when the action will occur during the grant period, and why at that time**	**Description of costs associated with the action (description should align with budget narrative and budget provided for grant)**
Permissible Activities: Developing and increasing teacher and school leader effectiveness			
Providing additional compensation to attract and retain staff with the skills necessary to meet the needs of the students in a transformation school			
Instituting a system for measuring changes in instructional practices resulting from professional development			
Ensuring that the school is not required to accept a teacher without the mutual consent of the teacher and principal, regardless of the teacher's seniority			
Required Activities: Comprehensive instructional reform strategies			
Use data to identify and implement an instructional program that is research-based and vertically aligned from one			

Action Required By Transformation Model	**Description of how the action will be accomplished by LEA**	**Describe when the action will occur during the grant period, and why at that time**	**Description of costs associated with the action (description should align with budget narrative and budget provided for grant)**
grade to the next as well as aligned with State academic standards			
Promote the continuous use of student data (such as from formative, interim, and summative assessments) to inform and differentiate instruction in order to meet the academic needs of individual students.			
Permissible Activities: Comprehensive instructional reform strategies			
Conducting periodic reviews to ensure that the curriculum is being implemented with fidelity, is having the intended impact on student achievement, and is modified if ineffective			
Implementing a schoolwide "response-to-intervention" model			
Providing additional supports and professional development to teachers and principals in order to implement effective			

Action Required By Transformation Model	**Description of how the action will be accomplished by LEA**	**Describe when the action will occur during the grant period, and why at that time**	**Description of costs associated with the action (description should align with budget narrative and budget provided for grant)**
strategies to support students with disabilities in the least restrictive environment and to ensure that limited English proficient students acquire language skills to master academic content			
Using and integrating technology-based supports and interventions as part of the instructional program			
In secondary schools--Increasing rigor by offering opportunities for students to enroll in advanced coursework (such as Advanced Placement; International Baccalaureate; or science, technology, engineering, and mathematics courses, especially those that incorporate rigorous and relevant project-, inquiry-, or design-based contextual learning opportunities), early-college high schools, dual enrollment programs, or			

Action Required By Transformation Model	**Description of how the action will be accomplished by LEA**	**Describe when the action will occur during the grant period, and why at that time**	**Description of costs associated with the action (description should align with budget narrative and budget provided for grant)**
thematic learning academies that prepare students for college and careers, including by providing appropriate supports designed to ensure that low-achieving students can take advantage of these programs and coursework;			
In secondary schools--Improving student transition from middle to high school through summer transition programs or freshman academies			
In secondary schools--Increasing graduation rates through, for example, credit-recovery programs, re-engagement strategies, smaller learning communities, competency-based instruction and performance-based assessments, and acceleration of basic reading and mathematics skills			

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Action Required By Transformation Model	**Description of how the action will be accomplished by LEA**	**Describe when the action will occur during the grant period, and why at that time**	**Description of costs associated with the action (description should align with budget narrative and budget provided for grant)**
In secondary schools--Establishing early-warning systems to identify students who may be at risk of failing to achieve to high standards or graduate			
Required Activities: Increasing learning time and creating community-oriented schools			
Establish schedules and strategies that provide increased learning time			
Provide ongoing mechanisms for family and community engagement			
Permissible Activities: Increasing learning time and creating community-oriented schools			
Partnering with parents and parent organizations, faith- and community-based organizations, health clinics, other State or local agencies, and others to create safe school environments that meet students' social, emotional, and health needs			
Extending or restructuring the school day so as to add time for			

Action Required By Transformation Model	**Description of how the action will be accomplished by LEA**	**Describe when the action will occur during the grant period, and why at that time**	**Description of costs associated with the action (description should align with budget narrative and budget provided for grant)**
such strategies as advisory periods that build relationships between students, faculty, and other school staff			
Implementing approaches to improve school climate and discipline, such as implementing a system of positive behavioral supports or taking steps to eliminate bullying and student harassment			
Expanding the school program to offer full-day kindergarten or pre-kindergarten			
Required Activities: <u>Providing operational flexibility and sustained support</u>			
Give the school sufficient operational flexibility (such as staffing, calendars/time, and budgeting) to implement fully a comprehensive approach to substantially improve student achievement outcomes and increase high school graduation rates			
Ensure that the school receives			

Action Required By Transformation Model	**Description of how the action will be accomplished by LEA**	**Describe when the action will occur during the grant period, and why at that time**	**Description of costs associated with the action (description should align with budget narrative and budget provided for grant)**
ongoing, intensive technical assistance and related support from the LEA, the SEA, or a designated external lead partner organization (such as a school turnaround organization or an EMO)			
Permissible Activities: Providing operational flexibility and sustained support			
Allowing the school to be run under a new governance arrangement, such as a turnaround division within the LEA or SEA			
Implementing a per-pupil school-based budget formula that is weighted based on student needs			
10. If external partners will be used to accomplish all or any of the actions described- Recruit, screen, and select external providers to ensure their quality			

APPENDIX B: TRANSFORMATION MODEL

Cost of Implementation of Model (over 3 years)	Amount of 1003(g) funds LEA will allocate to school	Amount of additional funds, to be provided by other sources, LEA will allocate to school
$	$	$

Describe how the LEA will fund the actions described in the model, including resources other than 1003(g) to support the interventions, and plans to sustain the interventions after the grant ends.

Describe any obstacles to implementing this plan (ex: collective bargaining agreements, lack of professional staff, etc.) that the LEA faces at this school, and how the LEA plans to address these challenges.

Describe how the LEA will modify its practices or policies, if necessary, to enable it to implement the interventions fully and effectively in this school.

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BUDGET NARRATIVE

Directions: For each model type (turnaround, restart, closure, or transformation), complete the following budget narrative. List all of the schools implementing the model type, and complete the chart detailing the costs. For example, if the LEA is implementing turnaround in four schools, the individual schools would be listed below, but the budget narrative would detail the total costs associated for implementing turnaround in all four schools.

Model:_____

List of Schools implementing model:

School Name	NCES #:	Tier I	Tier II

Category	Description of Budget Item	Proposed LEA allocation			Other Federal or State allocations, determined by the LEA			Total Project Allocation
		Year 1	Year 2	Year 3	Year 1	Year 2	Year 3	
Professional Staff								
Support Staff								
Purchased Services (Consultants)								
Supplies and Materials								
Travel								
Employee Benefits								
Equipment								
Grand Total								

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APPENDIX C: CONSULTATION/COLLABORATION DOCUMENTATION FORM

LEA Name:

BEDS Code: | | | | | | | | | | | | |

Copy and use additional pages as necessary

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 the LEA's School Improvement Grant application. LEAs **MUST** include representatives of collective bargaining units and recognized parent groups in the consultation/collaboration around the LEA's School Improvement Grant application. Methods of consultation include face to face meetings, e-mail, fax, telephone calls, letters and video conferencing.

This form must be completed and submitted to SED by each LEA applying for funds under 1003(g) 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 in column 1 are effectively affirming that appropriate consultation has occurred. (The signature does not indicate agreement.) Supporting documentation (e.g., meeting agendas, minutes and rosters) must be maintained by the LEA.
2. For representatives of constituency groups who have consulted with the LEA but whose signatures are unobtainable, information must be entered in column 4; supporting documentation (e.g., meeting agendas, minutes and rosters) must be maintained by the LEA and a summary of such documentation must be submitted to SED with LEA's School Improvement Grant Application.

1. Individuals Consulted	**2. Individual's Title and Constituency Group Represente**	**3. Date and Method of Consultation**	**4. Signatures Unobtainable/ Summary of Documentation**
Individual's Name (Print/Type)			
Signature			
Individual's Name (Print/Type)			
Signature			
Individual's Name (Print/Type)			
Signature			

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Statement of Assurances

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 and certifying that you have read and will comply with the following assurances and certifications.

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

General Federal Assurances

1. The program will be administered in accordance with all applicable statutes, regulations, program plans and applications;

2. Each LEA shall assure its compliance with all supplement not supplant requirements;

3. (a) The control of funds provided under each program and title to property acquired with program funds will be in a public agency or in a non-profit private agency, institution, organization, or Indian tribe, if the law authorizing the program provides for assistance to those entities; (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;

4. 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;

5. 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;

6. 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;

7. The applicant agrees to comply with the following civil rights authorities, their implementing regulations, and appropriate federal and State guidelines: Title VI of the Civil Rights Act of 1964, Title IX of the Federal Educational Amendments of 1972, Section 504 of the Rehabilitation Act of 1973, and the Age Discrimination Act of 1975.

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ASSURANCES - NON-CONSTRUCTION PROGRAMS

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 sub agreements.

10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is $10,000 or more.

11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).

12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.

13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).

14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.

15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.

16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.), which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.

17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, Audits of States, Local Governments, and Non-Profit Organizations.

18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

Standard Form 424B (Rev. 7-97), Prescribed by OMB Circular A-102, Authorized for Local Reproduction, as amended by New York State Education Department

CERTIFICATIONS REGARDING LOBBYING

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 sub awards at all tiers (including sub grants, contracts under grants and cooperative agreements, and subcontracts) and that all sub recipients shall certify and disclose accordingly.

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 whom this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," " person," "primary covered transaction," " principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.

5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion-Lower Tier Covered Transactions," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

Certification

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

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

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.

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.

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NEW YORK STATE DEPARTMENT OF EDUCATION
NO CHILD LEFT BEHIND ACT ASSURANCES

These assurances are required for programs funded under the No Child Left Behind Act.

As the authorized representative of the applicant, by signing the Application Cover Page, I certify that:
(1) each such program will be administered in accordance with all applicable statutes, regulations, program

plans, and applications;

(2) (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.

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).