

2018 Title I School Improvement Section 1003

New York State Integration Project - Professional Learning Community (NYSIP-PLC) Grant

Purpose

New York State (NYS) has been recently found by one measure to have the most racially and socioeconomically segregated school system in the nation.¹ In light of this, the New York State Education Department (NYSED) recently presented a proposed [Diversity Statement](#) to the Board of Regents, outlining the positive impacts of socioeconomic, racial, and other types of integration on academic outcomes for elementary and secondary-school students.

In an effort to support this renewed commitment to racial, socioeconomic, and other types of student integration in New York State, the NYSIP-PLC grant offers funds to assist LEAs to promote staff understanding of the benefits of integration and to assist staff to develop individualized district integration plans.

The purpose of the NYSIP program is to increase student achievement in New York State public schools by encouraging greater racial/ethnic, special education, English Language Learner/Multilingual Learner (ELL/MLL), and socioeconomic integration in Title I schools, particularly those identified for improvement. The three phases of the program are intended to provide districts with the funding and support to 1) learn about the benefits of integration and develop a sustainable integration strategy for the district, 2) refine their strategy and implement a limited pilot, and 3) fully implement a district integration plan. The NYSIP-PLC is Phase I of the three-phased grant program. Brief descriptions of Phases II and III can also be found below.

Title I School Improvement Grant funds under Section 1003 must be used to support Local Education Agencies (LEAs) that receive Title I funds and:

- Serve the lowest achieving schools;
- Demonstrate the greatest need for such funding;
- Demonstrate the strongest commitment to ensuring that such funds are used to enable the lowest achieving schools to meet the progress goals in their school improvement plans; and
- Have been identified for improvement based on the State's accountability system.

¹ Orfield, G., Frankenberg, E., Ee, J., & Kuscera, J. (2014). *Brown at 60: Great progress, a long retreat and an uncertain future*. Civil Rights Project/Proyecto Derechos Civiles.

Eligibility

NYSED has established a list of eligible districts (see below on page 3) from among those districts that (1) identified as Title I Focus Districts, (2) have at least one Priority or Focus School and (3) have a district poverty rate (FRPL) of 50%. From among the cohort of districts that meet those initial criteria, NYSED then identified districts that ranked among the top 12 in the state related to:

- 1.) Within District Overall Segregation² and/or
- 2.) Between District Overall Segregation.³

Eligible school districts must demonstrate that their proposed integration plans are designed in part to improve educational outcomes for students who attend Priority or Focus Schools.

Funding

Funding for the NYSIP-PLC grant will be allocated as follows:

- Up to \$50,000 per participating district with fewer than 5,000 students;
- Up to \$57,500 per participating districts with at least 5,000 but fewer than 15,000 students;
- Up to \$65,000 per participating districts with at least 15,000 students;
- Up to \$68,000 per participating district with at least 15,000 students and located in West New York to account for increased travel expenses.

Phase I is a non-competitive grant, but Phase II and III of the NYSIP program will be competitive grants. Although applicants will be invited to participate in all three phases of the program, participants are not guaranteed to receive funding for Phase II and III of the grant. The final Phase I submission (described below), in addition to districts' participation throughout the PLC, will be taken into account when NYSED decides which participants will advance to Phase II of the program.

The list of eligible districts and allocations are shown below:

² Defined as districts where the demographic makeup of their schools (e.g., Race, Free and Reduced Price Lunch (FRPL), English Language Learners (ELLs) and Students with Disabilities) differ most from their districtwide demographics, such that individual schools in the district have very different demographic groups represented in each school.

³ Defined as districts where the demographic makeup of their district (e.g., Race, FRPL, English Language Learners and Students with Disabilities) differs most from their county demographics, such that the district has a very different demographic makeup as compared to other districts in the county.

District Name	Type of Segregation	Enrolled⁴	Allocation
ALBANY CITY SCHOOL DISTRICT	Overall Between District	8,997	\$57,500
BUFFALO CITY SCHOOL DISTRICT	Overall Within and Between District	31,359	\$68,000
CENTRAL ISLIP UNION FREE SCHOOL DISTRICT	Overall Between District	7021	\$57,500
EAST RAMAPO CENTRAL SCHOOL DISTRICT (SPRING VALLEY)	Overall Between District	8472	\$57,500
HEMPSTEAD UNION FREE SCHOOL DISTRICT	Overall Between District	7,488	\$57,500
MOUNT VERNON SCHOOL DISTRICT	Overall Between District	8096	\$57,500
NEW YORK CITY GEOGRAPHIC DISTRICT # 1	Overall Within District	10,826	\$57,500
NEW YORK CITY GEOGRAPHIC DISTRICT # 2	Overall Within District	60,689	\$65,000
NEW YORK CITY GEOGRAPHIC DISTRICT # 3	Overall Within District	21,703	\$65,000
NEW YORK CITY GEOGRAPHIC DISTRICT #13	Overall Within District	20,501	\$65,000
NEW YORK CITY GEOGRAPHIC DISTRICT #15	Overall Within District	29,637	\$65,000
NEW YORK CITY GEOGRAPHIC DISTRICT #22	Overall Within District	33033	\$65,000
NEW YORK CITY GEOGRAPHIC DISTRICT #24	Overall Within District	56,617	\$65,000
NEW YORK CITY GEOGRAPHIC DISTRICT #27	Overall Within District	42,561	\$65,000

⁴ 2016-17 counts per <https://data.nysed.gov> profiles

NEW YORK CITY GEOGRAPHIC DISTRICT #28	Overall Within District	39173	\$65,000
NEW YORK CITY GEOGRAPHIC DISTRICT #30	Overall Within District	38,182	\$65,000
NEW YORK CITY GEOGRAPHIC DISTRICT #31	Overall Within District	58,317	\$65,000
PEEKSKILL CITY SCHOOL DISTRICT	Overall Between District	3198	\$50,000
ROCHESTER CITY SCHOOL DISTRICT	Overall Between District	27,552	\$68,000
SYRACUSE CITY SCHOOL DISTRICT	Overall Between District	21512	\$68,000
WESTBURY UNION FREE SCHOOL DISTRICT	Overall Between District	4934	\$50,000
WYANDANCH UNION FREE SCHOOL DISTRICT	Overall Between District	2380	\$50,000
YONKERS CITY SCHOOL DISTRICT	Overall Between District	25270	\$65,000

Allowable Use of Funds:

The primary purpose of this grant is to pay for full participation of district representatives in the PLC learning and working meetings (including travel and lodging costs). Any remaining funds may be used for planning, data gathering, community engagement, and staff time to develop each participant's integration strategy and to support districts in completing any required PLC assignments.

Travel expenses for NYSIP-PLC sessions must conform with NYS travel rates and regulations. 2017-18 New York State rates are available at:

<https://www.gsa.gov/travel/plan-book/per-diem-rates>.

Program Description and Requirements

Applicants for a NYSIP-PLC Grant must commit to fully participating in Phase I of the NYSIP program. The three phases of the grant program are described below. If chosen to participate in Phase I of the program, participants must send district and

community representatives (the District's "Design Team") to participate in four two-day bi-monthly Professional Learning Community (PLC) sessions and three additional bi-monthly calls.

The District Design Team will vary in size based on the size of participating districts as follows:

- Districts with fewer than 5,000 students will be expected to have a team of 2-3 people
- Districts with at least 5,000 students but fewer than 15,000 students will be expected to have a team of 3-4 people; and
- Districts with more than 15,000 students will be expected to have a team of 4-5 people.

Districts will be asked to create Design Teams that include districts or community representatives with the following areas of focus or expertise:

- Community engagement
- Enrollment, school assignment, and/or district zoning policy
- Implementation of new programs and policies
- Optional: district representative from the data office. The PLC will include sessions to review and analyze data, so a district may choose to include a data person on their Design Team as needed.

Professional Learning Community (PLC) sessions will take place on the following dates:

- February 26-27, 2018 (Day 1 10:30am-5:30pm, Day 2 9:30am-5:30pm) in a location to be determined in New York City
- April 26-27, 2018 (Day 1 10:30am-5:30pm, Day 2 9:30am-5:30pm) in a location to be determined in New York City
- June 28-29, 2018 (Day 1 10:30am-5:30pm, Day 2 9:30am-5:30pm) in a location to be determined in Albany
- August 16-17, 2018 (Day 1 10:30am-5:30pm, Day 2 9:30am-5:30pm) in a location to be determined in Albany

PLC calls will take place on months between the sessions and will be offered at multiple times during the following months:

- March 2018
- May 2018
- July 2018

Phase I Program Description and Requirements (2017-18 School Year)

Program Description:

Phase I of the program is the Professional Learning Community (PLC), which is designed to provide participants with the tools, information, and funding necessary to successfully design integration strategies tailored to the district's communities. The program will consist of four two-day in-person Professional Learning Community (PLC) sessions and three calls. District representatives are required to participate in each PLC session and call.

The PLC Curriculum is designed to give participants a comprehensive understanding of the root causes of racial, socioeconomic, and other forms of segregation. Phase I is also designed to (1) provide a forum for shared reflection and discussion of the root causes of equity issues that contribute to racial, socioeconomic and other forms of segregation, and (2) introduce a robust set of tools that support development of integration strategies tailored to local communities and context. Participants in Phase I of the grant will receive funding to cover their participation in all PLC sessions and related activities, including funding to complete assignments between sessions.

Program Requirements:

As part of the PLC curriculum, participants will be required to:

- a. Identify community stakeholders (such as principals; teachers; community members; or district staff involved in personnel, enrollment, data, and accountability decisions) who will participate in the sessions;
- b. Attend and participate in four bi-monthly two-day sessions for district staff members at locations throughout the state (locations to be determined), and three bi-monthly calls;
- c. Complete PLC assignments that will be intensive, immersive, and interdisciplinary, and will require staff time and resources to complete them in between monthly sessions. Grant funds may be used to support completion of PLC assignments, which shall include a comprehensive final submission. The final submission will consist of a detailed and multifaceted integration strategy that participants will develop throughout the course of the PLC with the guidance of NYSED PLC facilitators.

Phase II Program Description and Requirements⁵ (2018-19 School Year)

Phase II of the program is competitive and designed to allow participants to pilot the specific integration strategies that they designed in Phase I. Participants will be given funding to hire consultants or use staff time to model, conduct focus groups, or otherwise test their integration plans; conduct community

⁵ Phase II of this grant is subject to the availability of Federal School Improvement funds to support implementation.

engagement; and take such other actions as may be necessary to successfully pilot the integration plan developed in Phase I. Districts will receive support and assistance from NYSED throughout Phase II.

Phase III Program Description and Requirements⁶ (2019-20 School Year)

Phase III of the program is competitive and designed to allow participants to fully implement the specific integration strategies that the district developed in Phase I and then piloted and refined in Phase II. Participants will be given significant support as they implement their integration strategy. Because the Phase II and III of the grant process is competitive, there will be fewer participants in each subsequent Phase. Thus, Phase II participants can expect increased financial and technical support and Phase III participants can expect significant financial and technical support from NYSED.

Application Requirements

The primary components of each participant's application for the Phase I PLC are the **Needs Assessment** and the **Commitment Narrative**.

The Needs Assessment is the applicant's opportunity to demonstrate the district's understanding of the causes of racial, socioeconomic, English Language Learner/Multilingual Learner, and Special Education segregation in the community.

The Commitment Narrative is the applicant's opportunity to provide a comprehensive description of the district's commitment to developing and implementing a robust integration strategy. Be clear and precise and adhere to the following required structures for each document.

Reporting Requirements

Grant recipients will be required to complete and submit assignments identified by the PLC facilitators throughout the project period and a final report within 90 calendar days from the end of the project period. The final report will include:

- History of plan development (how was it designed and tested over the PLC program and revised accordingly). Problem definition, impact statement, theory of action and operationalized theory of action (to be completed with guidance from PLC facilitators).

⁶ Phase III of this grant is subject to the availability of Federal School Improvement funds to support implementation.

- Plan to measure implementation of the operationalized theory of action (to be completed with guidance from PLC facilitators).
- Problem solving process or plan to address problems during implementation (to be completed with guidance from PLC facilitators).

Submission of completed assignments and final report will be a condition of receiving payment.

Project Period

February 15, 2018 – August 31, 2018

Application Deadline

Applications must be emailed and postmarked by **February 2, 2018**.

Submission Instructions

A complete application consists of **one original** and **one electronic copy** (email to SIGA@nysed.gov) including the following:

- Cover page (with original signature)
- Application Checklist
- Attachment A: Needs Assessment
- Attachment B: Commitment Narrative
- Attachment C (optional): Geographically Proximate District and/or BOCES Commitment
- Budget Narrative
- FS-10 Budget

Please include the **DISTRICT NAME** in the subject line of all e-mail submissions.

Send the completed application to:

Attn: Title I 1003 NYSIP Grant

New York State Education Department
89 Washington Avenue
Title I School & Community Services, Room 368 EBA
Albany, New York 12234

For additional information or assistance please contact: SIGA@nysed.gov.

2018 New York State Integration Project – Professional Learning Community (NYSIP-PLC) Grant Application

COVER PAGE

District:	BEDS Code:
Address:	
Contact Person:	Telephone:
E-mail Address:	Fax:
<p>I hereby certify that I am the applicant's chief school/administrative officer and that the information contained in this application is, to the best of my knowledge, complete and accurate. I further certify, to the best of my knowledge, that any ensuing program and activity will be conducted in accordance with all applicable Federal and State laws and regulations, application guidelines and instructions, Assurances, Certifications, and that the requested budget amounts are necessary for the implementation of this project.</p> <p>I further assure the collaborative development/implementation of a district integration plan to reduce racial/ethnic, special education, English Language Learner/Multilingual Learner, and socioeconomic isolation. This collaboration will include: participation in grant-related meetings, review of data, completion of PLC assignments, and the development of a district integration plan.</p> <p>It is understood by the applicant that this application constitutes an offer and, if accepted by the NYS Education Department or renegotiated to acceptance, will form a binding agreement. It is also understood by the applicant that immediate written notice will be provided to the grant program office if at any time the applicant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.</p>	
Authorized Signature of Chief School/Administrative Officer (in blue ink)	
Typed Name:	Date:

Application Checklist

Listed below are the required documents for a complete application package in the order that they must be submitted. The complete application must be signed and submitted by the district. See below for instructions on the forms required. Use this checklist to ensure that your application submission is complete. Incomplete applications will not be reviewed.

Required Documents to Be Submitted in the Following Order

	Document
<input type="checkbox"/>	Application Cover Page with original signatures in blue ink
<input type="checkbox"/>	Application Checklist
<input type="checkbox"/>	Attachment A: Needs Assessment (no more than 3 pages, single-spaced, 12-point font and one-inch margins).
<input type="checkbox"/>	Attachment B: Commitment Narrative (no more than 3 pages, single-spaced, 12-point font and one-inch margins).
<input type="checkbox"/>	Attachment C (optional): Geographically Proximate District and/or BOCES Commitment
<input type="checkbox"/>	Budget Narrative
<input type="checkbox"/>	FS-10 Budget Form with original signature in blue ink

Attachment A: Needs Assessment

The Needs Assessment should not exceed 3 single-spaced pages with 12-point font size and one-inch margins.

- A.** Describe the demographics of the population served by the district, including socioeconomic distribution, racial/ethnic subgroup distribution, English Language Learner/Multilingual Learner distribution, and distribution of students with disabilities.

- B.** Identify and describe any segregation of the above-mentioned groups of students within the district. This includes, but is not limited to: concentrations of subgroups into specific schools and classrooms that result in isolation; school enrollment and classroom placement patterns that limit one subgroup's exposure to the others; school enrollment and classroom placement patterns that exacerbate a gap in resources between subgroups; school enrollment and classroom placement patterns that exacerbate or highlight academic achievement gaps between subgroups; school enrollment and classroom placement patterns that exacerbate or highlight gaps in the rate of college readiness; or any other district and school indicators of student success between subgroups. This analysis must address all subgroups listed in paragraph A above.

Attachment B: Commitment Narrative

The Commitment Narrative should not exceed 3 single-spaced pages with 12-point font size and one-inch margins.

In order to receive funding, the applicant must demonstrate in the district's commitment narrative how the district will meet the following requirements:

- A. Commitment to reducing racial, socioeconomic, special education and ELL/MLL isolation throughout the school district, with a focus on identified schools. This includes, but is not limited to, a commitment to developing capacity and knowledge among district staff, school staff, relevant stakeholders, and others to address isolation.
- B. Commitment to identifying the root causes of isolation in the district. This includes, but is not limited to, an interest in understanding specific social, cultural, demographic, economic, and historic forces that might be causing the segregation in the district.
- C. Full participation of district and community representatives at four (4) two-day learning meetings. These sessions will require all participants to travel to a pre-determined location, such as Albany or New York City. Participants must also commit to full participation in at least three (3) calls in the months in between the four learning meetings.
- D. Commitment by district staff to actively engage community members holistically in the integration strategy. This includes, but is not limited to, the development of communication materials or a public engagement campaign to increase buy-in among various stakeholders for the integration strategy.
- E. Commitment by district staff to reach out to potential partners in other districts, should the grantee district seek to implement an inter-district integration strategy.
- F. Commitment to using evaluation and organizational management tools developed throughout the PLC to aid in the implementation of the integration strategy.
- G. Commitment to using district data in similar ways to those presented at the PLCs to thoroughly explore models of integration and potential policy ramifications of strategy decisions.
- H. Commitment to developing a strategic plan throughout the PLC to guide the planning and execution of the district's chosen integration strategy.
- I. Commitment to engaging school and other district staff members in implementing a district integration strategy that addresses segregation at the district, school and classroom level. Proposed models and activities must be consistent with the 2011 Guidance on the Voluntary Use of Race to Achieve Diversity and Avoid Racial Isolation in Elementary and Secondary Schools released jointly by the U.S. Department of Justice and U.S. Department of Education. See links below for more information on this topic:
 - a. <http://www.ed.gov/news/press-releases/new-guidance-supports-voluntary-use-race-achieve-diversity-higher-education>
 - b. <http://www2.ed.gov/about/offices/list/ocr/docs/guidance-ese-201111.html>

J. Commitment to leveraging different sources of funding to support implementation of integration strategies.

Attachment C: Geographically Proximate District and/or BOCES Commitment

The following should be signed by each superintendent of a geographically proximate district and/or Board of Cooperative Education Services (BOCES).

- The undersigned superintendent and staff, or BOCES, are committed to working with the partnering districts to create an inter-district integration plan designed to reduce racial/ethnic, special education, English Language Learner/Multilingual Learner, and socioeconomic isolation across districts.
- The undersigned superintendent and staff, or BOCES, are committed to supporting the partnering district with the program requirements for the PLC, as described in the RFP, including joint participation in sessions, if appropriate, joint completion of PLC assignments, and the development of an inter-district integration plan.

Superintendent Signature: (in blue ink)	
Date:	Typed Name:
Name of District or BOCES:	

New York State Education Department

ASSURANCES AND CERTIFICATIONS FOR FEDERAL PROGRAM FUNDS

The following assurances and certifications are a component of your application. By signing the certification on the application cover page you are ensuring accountability and compliance with applicable 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

Federal Assurances and Certifications, ESEA:

The following are required as a condition for receiving any federal funds under the Elementary and Secondary Education Act.(ESEA)

- ESEA Assurances
- School Prayer Certification

ASSURANCES - NON-CONSTRUCTION PROGRAMS

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

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

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

8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328), which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§ 276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.), which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and 2 CFR Part 200, 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 2 CFR Part 200, Authorized for Local Reproduction, as amended by New York State Education Department

CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS

These 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 2 CFR Part 200, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 34 CFR 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

This certification is required by OMB Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement), 2 CFR Part 180

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 any offenses listed in 2 CFR §180.800(a) or had a civil judgment rendered against them for one of those offenses within that time period; and ;
- (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 listed in 2 CFR §180.800(a); 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.

3. DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION – LOWER TIERED COVERED TRANSACTIONS

The terms “debarment,” “suspension,” “excluded,” “disqualified,” “ineligible,” “participant,” “person,” “principal,” “proposal,” and “voluntarily excluded” as used in this certification have the meanings set forth in 2 CFR Part 180, Subpart I, “Definition.” A transaction shall be considered a “covered transaction” if it meets the definition in 2 CFR Part 180 Subpart B, “What is a covered transaction?”

A. The applicant certifies that it and its principals:

- (a) Upon approval of their application, in accordance with 2 CFR Part 180 Subpart C, they shall not enter into any lower tier nonprocurement covered transaction with a person without verifying that the person is not excluded or disqualified unless authorized by USDOE.
- (b) Will obtain an assurance from prospective participants in all lower tier covered nonprocurement transactions and in all solicitations for lower tier covered nonprocurement transactions that the participants will comply with the provisions of 2 CFR Part 180 subparts A,B, C and I.
- (c) Will provide immediate written notice to the New York State Education Department if at any time the applicant and its principals learn that a certification or assurance was erroneous when submitted or has become erroneous because of changed circumstances.

**NEW YORK STATE DEPARTMENT OF EDUCATION
ELEMENTARY AND SECONDARY EDUCATION ACT (ESEA) ASSURANCES**

These assurances are required for programs funded under the Elementary and Secondary Education Act as amended by the Every Student Succeeds Act of 2015.

As the chief school officer of the applicant, by signing the Application Cover Page, I certify that:

- (1) the applicant will comply with the requirements of Education Law § 3214(3)(d) and (f) and the Gun-Free Schools Act (20 U.S.C. § 7151);
- (2) the applicant will comply with the requirements of 20 U.S.C. § 7908 on military recruiter access;
- (3) the applicant will comply with the requirements of 20 U.S.C. § 7904 on constitutionally protected prayer in public elementary and secondary schools;
- (4) the applicant will comply 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
- (5) the applicant will comply 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.
- (6) the applicant understands the importance of privacy protections for students and is aware of the responsibilities of the grantee under section 20 U.S.C. 1232g (FERPA) (ESSA §854