

2022-23
Title I School Improvement Grant 1003
High School Redesign (HSR) Grant

Project Purpose

For the 2022-23 school year, the New York State Education Department (NYSED or “the Department”) is providing Target Districts with non-Receivership CSI schools the opportunity to receive Office of Accountability Field Support Services team support through participation in the School Improvement Grant 1003 High School Redesign program.

Title I School Improvement Grant 1003 High School Redesign grant funds will be provided to support this program. These funds will be separate from the Title I School Improvement Grant 1003 BASIC funds that districts are currently using to advance their improvement initiatives.

Eligibility

Target Districts with at least one non-Receivership CSI school that serves students in grade 12 AND participated in the High School Redesign or EPL/High School Redesign model in 2021-22 are eligible to submit an application for the 2022-23 SIG High School Redesign grant.

Funding

The Department will provide \$225,000 in funding to support allowable activities associated with the High School Redesign program.

Allowable Uses of Funds

The funds must be used to advance High School Redesign activities at eligible participating schools by either supporting the participation expenses OR supporting High School Redesign Plan (HSRP) Priorities aligned to one or more of the following High School Redesign Levers:

- HSR Lever 1: Students at the Center
- HSR Lever 2: Post-Secondary Pathways
- HSR Lever 3: Teaching and Learning
- HSR Lever 4: Organizing Adults

High School Redesign Teams will work with their District to complete a School Spending Plan for each eligible school as part of a single LEA application. Districts should ensure that the submitted school spending plans align with the High School Redesign Priorities identified in the school HSRPs.

As part of the application review, NYSED will be looking for alignment between HSRPs, Spending Plans, and the FS-10 budget costs.

Please refer to Attachment B for examples of potential SIG High School Redesign Expenses.

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Due to the size of these grants, the Department will support districts that choose to pay for staff positions with these funds, provided the staff positions directly support established HSRP Priorities. Any staff position funded through this program must comply with federal “supplement, not supplant” guidelines and may not be used to fund core instructional positions. The Department envisions providing similar levels of funding in subsequent years. This approach will allow participating districts to establish staff positions that can be supported as long as the district has eligible schools participating in the support.

Please refer to Attachment A for an example of how to complete the application.

Project Period

September 1, 2022 to August 31, 2023

Application Deadline

Applications, including the corresponding School Spending Plans, will be accepted upon release of the application. Applications will be reviewed on a rolling basis beginning on or before September 1, 2022. LEAs are encouraged to submit completed applications as soon as possible to expedite the review and approval process.

Submission Instructions

To receive SIG High School Redesign funding, eligible Districts must have completed and submitted a 2022-23 HSRP and should submit one signed original and two copies of:

1. the Application Cover Page
2. a School Spending Plan for each participating school
3. the District’s FS-10 budget form

Districts are required to send the signed original and two hard copies to the address below:

NYS Education Department - Office of Accountability
Attn: 2020-21 Title I SIG 1003 – High School Redesign
89 Washington Avenue – Room 320 EB
Albany, New York 12234

In addition, eligible Districts must submit one electronic copy of each of the items listed above to Laura Tedesco at laura.tedesco@nysed.gov and SIGA@nysed.gov.

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

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APPLICATION COVER PAGE

| | |
|--------------------------------|-------------------|
| District: | BEDS Code: |
| Address: | |
| Program Contact Person: | Telephone: |
| Address of Contact: | |
| E-mail Address: | Fax: |

I hereby certify I am the chief school officer of the applicant LEA and that the information contained in this application is, to the best of my knowledge, complete and accurate. I further certify that any ensuing program and activity will be conducted in accordance with all applicable Federal and State laws and regulations, application guidelines and instructions, attached Assurances and Certifications, and that the requested budget amounts are necessary for the implementation of this project. 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.

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/Administrative Officer (**in blue ink**)

| | |
|-------------|-------|
| Typed Name: | Date: |
|-------------|-------|

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School Spending Plan

A School Spending Plan is to be completed and submitted for each participating school.

- Districts with schools in the HSR program should include the completed School Spending Plan document(s), the Application Cover Page, and an FS-10 Budget Form upon submission of the completed application.

| |
|--------------------------|
| School Name: |
| School BEDS Code: |

High School Redesign *(check one):*

| Year 2 | Year 3 | Year 4 |
|--------------------------|--------------------------|--------------------------|
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

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| HSRP Participation or Priority | Activities/Actions to be Implemented <i>(For staff positions, identify percent of time allocated to specific job responsibilities)</i> | HSR Program Expense(s) <i>(How will the funds be used, e.g., specific staff positions, services, supplies?)</i> | Is this activity and the associated expense(s) identified in your Redesign Plan? Yes / No <i>(If the response is "No," please share context to provide an understanding of how this activity or expense will serve this priority or lever.)</i> | SIG 1003 HSR Funds Allocated |
|---------------------------------------|--|---|---|-------------------------------------|
| | | | | \$ |
| | | | | \$ |
| | | | | \$ |
| | | | | \$ |
| | | | | \$ |
| | | | | \$ |

Signature of HSR School Principal _____

Date _____

Name of Designated Team Contact _____

Email _____

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Attachment A: SAMPLE School Spending Plan

This example provides the following details:

- approximate number of participants
- approximate number of meetings and how often they will occur
- estimated time spent by each participant

| HSRP Participation or Priority | Activities/Actions to be Implemented <i>(For staff positions, identify percent of time allocated to specific job responsibilities)</i> | HSR Program Expense(s) <i>(How will the funds be used, e.g., specific staff positions, services, supplies?)</i> | Is this activity and the associated expense(s) identified in your Redesign Plan? Yes / No <i>(If the response is "No," please share context to provide an understanding of how this activity or expense will serve this priority or lever.)</i> | SIG 1003 HSR Funds Allocated |
|--|---|---|---|-------------------------------------|
| HSRP Participation | Redesign Team Meetings - We will provide time for our redesign team to meet twice each month outside of contract hours, and in addition to Redesign cohort sessions. We will also deploy smaller subcommittees of the redesign team and have individual members pursue explorations and report back to the full team, which will enable us to use meeting time efficiently. | Bi-weekly redesign team meetings – 10 people x 20 meetings x 2 hours x \$42/hour Subcommittee meetings and individual team member exploration – 10 people x 10 hours x \$42/hour | Yes | \$21,000 |
| Priority: Students on track for graduation | Inputting and monitoring Early Warning System (EWS) data, tracking frequency and profiles of students who are receiving EWS interventions, and considering practices that could be stopped or amplified | -4 iPads and keyboards for members of EWS workgroup - \$500/set -Compensation for EWS workgroup (teachers and/or special services personnel) outside of contractual hours. Approximately 6 people x 3 hours @\$42/hour | Yes | \$2,756 |

\$42/hour represents an average for a given district; some districts differentiate hourly compensation by job title or years of service.

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| HSRP Participation or Priority | Activities/Actions to be Implemented <i>(For staff positions, identify percent of time allocated to specific job responsibilities)</i> | HSR Program Expense(s) <i>(How will the funds be used, e.g., specific staff positions, services, supplies?)</i> | Is this activity and the associated expense(s) identified in your Redesign Plan? Yes / No <i>(If the response is "No," please share context to provide an understanding of how this activity or expense will serve this priority or lever.)</i> | SIG 1003 HSR Funds Allocated |
|---|--|--|--|-------------------------------------|
| Priority: Expanding College, Career, and Civic Readiness | Provide job shadowing / internship opportunities | -Student Transportation (district bus or city-wide pass) \$400 -Community businesses speaking at school to tell students about offerings at their workplace \$300 | Yes <div data-bbox="1402 607 1887 764" style="border: 1px solid black; background-color: #e0ffe0; padding: 5px;"> <p>This illustrates that the school is not certain of exact method of transportation, but it also conveys that they have considered options. This is acceptable.</p> </div> | \$700 |
| | Create a section of the school website specific to the college search and application process | Collaborative development of the website by guidance counselor and technology specialist. Approximately 10 hours per person @ \$42/hour | Yes | \$846 |
| | Create a .5 student career coach position | Annual Salary <div data-bbox="852 1105 1333 1320" style="border: 1px solid black; background-color: #e0e0ff; padding: 5px;"> <p>The description of this activity / action makes its connection to the priority evident. Reviewers may request clarification if the connection is unclear, but it is helpful to be as specific as possible in each entry.</p> </div> | No. The career coach would match students to potential job shadowing and/or internship opportunities as well as support them throughout the process. This will give students experiences to build on in their post-secondary plans. | \$35,000 |

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Attachment B: Examples of High School Redesign Expenses

District staff and program participants should start with identifying what they would like their school to look like as a result of participating in the High School Redesign program, rather than beginning with identifying what expenses are allowable. If specific strategies are not allowable under Title I SIG High School Redesign, NYSED staff may be able to assist in identifying a different funding source in which the strategy may be allowable.

Below are potential ways to support various initiatives designed to advance the levers of High School Redesign. Please note that the ideas listed below are provided as options and examples only, in an attempt to provide helpful information. NYSED does not require, recommend, endorse, or advise on any specific program or product. All instructional decisions are made at the local level.

High School Redesign Lever: **Students at the Center**

1. Allocate funds so that specific teachers can receive training or complete a course that will allow the school to offer a new course, such as an AP or college-credit course (or dual credit).
2. Use funds to cover costs associated with establishing an Early Warning Intervention and Monitoring System (software, personnel, etc.) that aligns with the NYSED State-Supported Evidence-Based Intervention parameters for Early Warning Intervention and Monitoring Systems.
3. Provide transportation for students to get to school-organized internships.
4. Allocate funds to cover costs associated with adapting the curriculum and creating multiple points of entry to support the needs of students.
5. Deliver training for interdisciplinary teacher teams to develop cross-curricular plans and projects.
6. Cover costs associated with training staff to implement restorative practices.
7. Allocate funds to develop and support a near-peer mentoring program for students.
8. Allocate funds for taking students on in-person or virtual educational field trips or cultural experiences with mentors/counselors.
9. Allocate funds to purchase services or supplies needed to provide one-on-one virtual tutoring/coaching for students who need to accumulate and/or recover credits.
10. Allocate funds to purchase services or supplies needed to offer virtual Regents preparation coaching sessions for students who have failed a Regents exam at least once and will retake the exam(s).
11. Pay teachers a stipend to facilitate virtual tutoring/coaching or Regents prep coaching sessions during evening or weekend hours, as needed, for working students and students who are parents.
12. Compensate staff for work performed outside of contract hours (in school or remotely) with individual students that need support in specific content areas. The hours can be flexible to accommodate specific student schedule needs.
13. Use funds to support student success with SAT, ACT, and AP exams. This could include paying for individual SAT/ACT/AP preparation books and providing after-school exam preparation.

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14. Purchase MiFi devices for use by students without internet access at home.

High School Redesign Lever: **Post-Secondary Pathways**

1. Allocate funds for students to take a course to support their ability to be college and career-ready (e.g., distance learning, dual enrollment college course, or a class to work towards a technical certificate).
2. Allocate funds to pay for a post-secondary coordinator and associated costs of developing partnerships with outside organizations (e.g., higher ed, businesses, community organizations, workforce development). The coordinator could offer workshops on the college and financial aid application process, establish a network of school alumni for specific schools, including recent graduates to assist students in transitioning to college, and establish a network of school alumni within specific career paths to support students looking at entering the workforce following graduation.
3. Allocate funds to purchase college and career readiness software (e.g., NAVIANCE) that allows schools to match students with specific college and technical programs of study and associated scholarships.
4. Cover costs associated with developing new CTE electives.
5. Cover costs associated with developing a Seal of Biliteracy program (e.g., developing culminating project criteria, advising students, and formulating interview panels to measure students' knowledge of their projects) so students have a new pathway for demonstrating College, Career and Civic Readiness.
6. Provide teacher stipends for ENL teachers to work with content teachers to build a curriculum for ENL students that provides missing content and vocabulary that are necessary for the students to succeed, especially in Regents level courses.
7. Allocate funds for staff to support students as they create a comprehensive and personalized success plan for after high school.
8. Cover costs associated with developing a mentoring program for students to be paired with adults in the community to build positive developmental relationships and connections.
9. Cover costs associated with collaborating with local businesses (e.g., cost of supplies needed to develop a presentation given by a group of students working on a marketing project for a local firm and their clients). This is more scalable than individual internships and would allow students to have an intensive work-based learning experience with peers.
10. Allocate funds to pay for an internship/apprenticeship/job coordinator who supports students in finding afterschool jobs and balancing school and work responsibilities.
11. Cover fees for micro credentials for teachers.
12. Cover fees for micro credentials for students.

High School Redesign Lever: **Teaching and Learning**

1. Supply funding for teacher workdays to create standards-based grading rubrics.
2. Contract with an external coach to provide job-embedded support to instructional staff (e.g., facilitating effective team meetings, observing and coaching teachers, developing tools and protocols for effective programs).

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3. Present SEL teacher training for adults, followed by SEL for students in classrooms.
4. Provide training for teachers to learn how to analyze data that has been collected as part of the school's Early Warning Intervention and Monitoring System in alignment with the NYSED State-Supported Evidence-Based Intervention parameters for Early Warning Intervention and Monitoring Systems.
5. Establish a Service Learning Program or support Service Learning/Community Service projects including covering costs for materials, transportation, and staff organization and supervision beyond contract hours.
6. Allocate funds to support student participation in various STEAM competitions (e.g., coding, robotics, engineering design, Science Olympiad). Funds could be used to provide staff supervision and student materials.
7. Offer virtual one-on-one tutoring sessions for English Language Learners who have not excelled on the NYSESLAT. Pay teachers a stipend to facilitate the sessions during evening and weekend hours, as needed, for working students and students who are parents.
8. Provide in-person or virtual educational field trips or cultural experiences to build contextual experiences.
9. Allocate funds for teachers to develop formative assessments to tailor instruction and supports.
10. Allocate funds for the school to develop a tutoring corps (e.g., common training, support, and materials).

High School Redesign Lever: **Organizing Adults**

1. Allocate funds to cover travel and substitute costs so team members can visit other schools in the HS Redesign cohort.
2. Pay redesign team members to participate in redesign team meetings outside of contractual hours.
3. Pay subcommittee members of the redesign team to meet outside of contractual hours.
4. Pay individual redesign team members to conduct independent research to inform HSR team planning/development and report back to the full team.
5. Make funds available for specific teachers to receive training or complete a course that will allow the school to offer a new course, such as an AP or college-credit course (or dual credit).
6. Allocate funds to pay for a master scheduler or scheduling software that will support ensuring that individual students are receiving the classes they need and that teachers are being provided opportunities for vertical/horizontal collaboration.
7. Allocate funds for staff talent development (e.g., cover the costs for a teacher to enroll in a graduate course).
8. Allocate funds so that a certified or non-certified teacher can teach a skill-based course to students on a subject that would allow the student to have additional job opportunities, such as lifeguarding, CPR, first aid, or babysitting.

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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

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ESSA Section 8306 Assurances

1. The LEA assures that each program will be administered in accordance with all applicable statutes, regulations, program plans and applications. SEC. 8306. [20 U.S.C. 7846](a)(1).
2. The LEA assures that the control of funds provided under such programs and title to property acquired with program funds will be in a public agency or in an eligible private agency, institution, organization, or Indian Tribe, if the law authorizing the program provides for assistance to those entities. SEC. 8306. [20 U.S.C. 7846](a)(2)(A)
3. The public agency, eligible private agency, institution, or organization, or Indian Tribe will administer the funds and property to the extent required by authorizing statutes. SEC. 8306. [20 U.S.C. 7846](a)(2)(B)
4. The applicant will adopt and use proper methods of administering each such program, including the enforcement of any obligations imposed by law on agencies, institutions, organizations, and other recipients responsible for carrying out each program. SEC. 8306. [20 U.S.C. 7846](a)(3)(A)
5. The applicant will adopt and use proper methods of administering each such program, including the correction of deficiencies in program operations that are identified through audits, monitoring or evaluations. SEC. 8306. [20 U.S.C. 7846](a)(3)(B)
6. The LEA assures that the applicant will cooperate in carrying out any evaluations of each such program conducted by or for the state education agency, the Secretary, or other federal officials. SEC. 8306. [20 U.S.C. 7846](a)(4)
7. The LEA assures that the applicant will use fiscal control and fund accounting procedures as will ensure proper disbursement of, and accounting for, federal funds paid to the applicant under such program. SEC. 8306. [20 U.S.C. 7846](a)(5)
8. The LEA assures that the applicant will submit such reports to the state education agency (which will make the reports available to the Governor) and the Secretary as the state educational agency and the Secretary may require to enable the State educational agency and the Secretary to perform their duties under each such program. SEC. 8306. [20 U.S.C. 7846](a)(6)(A)
9. The LEA assures that the applicant will maintain such records, provide such information, and afford such access to the records as the state educational agency (after consultation with the Governor) or Secretary may reasonably require to carry out the state educational agency's or the Secretary's duties. SEC. 8306. [20 U.S.C. 7846](a)(6)(B)
10. The LEA assures that, before the application was submitted, the applicant afforded a reasonable opportunity for public comment on the application and considered such comment. SEC. 8306. [20 U.S.C. 7846](a)(7)

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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.

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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 Clean 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.

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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**

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**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

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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.

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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

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

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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.