Application Guidelines for Innovative Teacher and Principal Residency Programs, 2019-2020

January 2019, revised February 11, 2019
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1. Background

Pennsylvania’s educator workforce is comprised of more than 147,000 teachers, principals, superintendents, and other school leaders tasked with providing more than 1.7 million public school students with a rigorous, well-rounded education that prepares them for postsecondary success. The commonwealth has 114 educator preparation programs—including 95 institutions of higher education (IHEs) and 19 alternative program providers—that offer 3,236 certification programs, making Pennsylvania’s educator preparation system one of the largest in the country.

Despite these strengths, Pennsylvania faces significant challenges, including a steep decline in the number of qualified teaching candidates, especially in rural and urban school districts and for hard-to-staff areas like special education, English Learner (EL) instruction, and science, technology, engineering, and mathematics (STEM). In addition to a declining supply of new classroom educators, many Pennsylvania districts also see high turnover rates among teachers and school leaders. In 2015-16, nearly one in every five schools in Pennsylvania experienced principal turnover.

Of equal concern to the supply and retention of qualified teachers and school leaders is the lack of diversity within Pennsylvania’s educator workforce. In 2017-18, for example, only 6.1 percent of Pennsylvania’s classroom teachers were persons of color, compared with 33.5 percent of the state’s public school enrollment. Declining enrollments and graduation rates of African American and Latino teaching candidates in Pennsylvania’s postsecondary education majors over the past two decades create significant challenges for schools trying to increase and maintain diversity among their professional staff.

2. Improving Educator Preparation through Residency Programs

To combat these challenges, Pennsylvania has prioritized resources to support evidence-based models that prepare current and future educators with the skills and tools needed to advance student achievement and equity.

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1 Since 1996, the number of undergraduate education majors in Pennsylvania has declined 55 percent, while the number of newly-issued in-state Instructional I teaching certificates has dropped by 71 percent since 2009-2010, from 15,247 to 4,412 in 2016-2017. PA’s Teacher Information Management System, 5/1/18.
To that end, Pennsylvania’s Every Student Succeeds Act (ESSA) Consolidated State Plan identifies several strategies for developing and promoting teacher preparation pipelines that ensure the most talented and diverse students enter and persevere in the teaching profession.

In the spring of 2016, Pennsylvania convened workgroups comprised of teachers, charter school and district level administrators, advocates, civil rights leaders, former policy makers from both political parties, and others to study key aspects of the new ESSA law and develop framework recommendations for implementation. Members of Pennsylvania’s Educator Preparation workgroup identified collaborative field-based, practical experiences as a priority recommendation. While Pennsylvania currently requires in-field experience as part of both teacher and principal certification, stakeholders noted that these programs are often short in duration and do not provide intensive, clinical experience that increases readiness of novice teachers and principals to serve in classrooms and schools, especially in high-need areas.

Residency programs provide year-long clinical experiences and intensive supports, and improve coherence among educators’ pre-service experience, induction, and future professional learning. A summary of key characteristics of model teacher and principal/school leader residency programs was provided in Pennsylvania’s ESSA Consolidated State Plan and is set forth below.

2.1. Characteristics of Residency Models

<table>
<thead>
<tr>
<th>TEACHER</th>
<th>PRINCIPAL/SCHOOL LEADER</th>
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<tbody>
<tr>
<td>Program Types: Baccalaureate Programs at IHEs or Alternative Educator Preparation Programs</td>
<td>Program Types: Post-Baccalaureate Programs at IHEs or Alternative Educator Preparation Programs</td>
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<tr>
<td>• Strong partnerships between local education agencies (LEAs) and IHEs (i.e., traditional teacher preparation programs);</td>
<td>• Strong partnerships between LEAs and principal/school leader preparation programs (IHEs or alternative preparation programs);</td>
</tr>
<tr>
<td>• High-ability teacher candidates/residents to meet specific district hiring needs, especially where there are shortages;</td>
<td>• High-ability principal/school leader candidates/residents to meet specific district hiring needs, especially where there are chronic principal/school leader vacancies or turnover;</td>
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<tr>
<td>• A full year of clinical practice co-teaching alongside an expert mentor teacher;</td>
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3 See Pennsylvania’s ESSA Consolidated State Plan, January 12, 2018, page 21
4 Id, p. 73.
5 The Teacher Residency, Learning Policy Institute, September 2016.
• Relevant coursework that is tightly integrated with clinical practice;
• Expert mentor teachers recruited and trained to co-teach with teacher residents;
• Cohorts of teacher residents in classroom settings that model evidence-based practices with diverse learners—including English Learners, students with disabilities, gifted students, and/or students with low literacy levels—and that are designed to help novice residents learn to teach;
• Ongoing mentoring and support for new teachers after they graduate; and
• Financial support for teacher residents in exchange for committing to teach in the sponsoring LEA for a minimum number of years, if offered a position.

• A full year of clinical practice co-leading alongside a mentor principal/school leader;
• Relevant coursework is tightly integrated with clinical practice;
• Mentor principals/school leaders recruited and trained to co-lead with principal/school leader residents;
• Cohorts of principal/school leader residents in schools that model evidence-based practices for meeting academic and non-academic needs of all students, designed to help novice principals/school leaders learn how to lead;
• Ongoing mentoring and support for new principals after they earn their administrative certificate; and
• Financial support for principal/school leader residents in exchange for committing to lead in a high-poverty or high-minority school (if offered a position) for a minimum number of years, if offered a position.

National studies of teacher residency programs have suggested that the practice is associated with significantly improved retention rates.\(^6\) Emerging evidence also suggests that clinical residency programs can provide a resource to address educator needs in certification shortage areas and provide a pathway to attract and retain talented teaching and principal candidates by emphasizing a year-long clinical experience alongside master teacher/leader mentors.

In addition, results from a previously-funded STEM residency pilot program in Pennsylvania suggest that student teachers/residents coming out of the residency program feel better prepared to teach. Classroom mentors and site directors reported

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that participants were more prepared to teach than traditional student teachers who had undergone shorter field work experiences. Teacher mentors also reported that their residents excelled in building relationships with students, showing students the real-world application of abstract concepts, trying new instructional strategies, and incorporating technology in the classroom.

In response to this stakeholder feedback as well as consultation of available research, Pennsylvania’s ESSA Consolidated State Plan commits to leveraging available funds to support high-quality, clinical experiences—such as residency programs—to improve the readiness of novice teachers and principals, with emphasis on both supporting educators serving in schools and communities with significant needs and increasing diversity in the ranks of educators. Funding will leverage partnerships between educator preparation programs at our state’s program providers, including IHEs and alternative providers, and high-need LEAs, and will invest in programs that embed at least one year of clinical experience within preparation programs. Funding will be prioritized for residency models in which participants of the program are living and working in the communities and schools where they are learning and serving, especially communities that have reported chronic, multiple shortage areas, and where there is a need to increase the diversity of educators. All applicants will be expected to highlight how their proposed program will address issues of equity and diversity in the field, and how they will equip teachers and principals with the skills needed to work in and serve students in high-need LEAs.

In 2018-2019, eight grants totaling close to $2 million were awarded to IHEs across Pennsylvania engaged in work on clinical residencies for teachers and school leaders. Three of these went to institutions that were implementing new residencies or expanding existing residency initiatives and five went to institutions to plan for new clinical residency programs.

3. 2019-2020 and 2019-2021 Residency Grant Program

3.1. Grant Program Overview

3.1.1. Funding Source

Approximately $1.75 million in federal Title II, Part A state set-aside funding is available to support planning, implementation, and/or expansion of innovative, evidence-based teacher and principal/school leader residency models in Pennsylvania. Programs may be designed for undergraduate or post-baccalaureate candidates. Priority will be given

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to residency models embedded in four-year undergraduate teacher preparation programs. This is the second cycle of a multi-year grant program.

3.1.2. Types of Awards

This grant program includes three types of competitive funding opportunities for eligible partnerships: 1) Planning Grant; 2) Implementation Grant; and 3) Expansion Grant.

- Maximum Award per Planning Grant: $75,000
- Maximum Award per Implementation Grant: $550,000 ($300,000 maximum for Year 1 and $250,000 maximum for Year 2, contingent upon available funding)
- Maximum Award per Expansion Grant: $200,000

NOTE: Applicants are urged to coordinate efforts within their own institutions.

Priority will be given to teacher preparation programs in good standing, housed within IHEs that are seeking to develop, implement, or expand a full year of clinical residency experience for teacher certification candidates within four-year undergraduate preparation programs.

3.1.3. Grant Period

If awarded, the one-year Planning Grant and the one-year Expansion Grant will cover funded activities through September 30, 2020.

If awarded, the two-year Implementation Grant will cover funded activities through September 30, 2021.

3.2. Key Application Elements: Planning Grant

3.2.1. Eligible Applicants

Current PA-approved educator preparation programs (both traditional IHEs and alternative programs) may apply for up to $75,000 for a Planning Grant to identify and develop strategies for embedding a full year of clinical residency experience for teacher candidates within their four-year preparation program by the 2020-2021 academic year.

Priority will be given to teacher preparation programs in good standing\(^8\) housed within IHEs (i.e., four-year undergraduate programs) in partnership with one or more high-need LEAs. A high-need LEA is defined as (1) an LEA with schools that have high rates of minority students or high rates of students in poverty, or (2) an LEA that can demonstrate chronic, multiple teacher shortages in special education, STEM subjects,

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\(^8\) A preparation program that is “in good standing” is a program that has no program quality issues documented by the PA Department of Education that would prevent the program from fully meeting the standards of a Major Review.
or other state-identified or local shortage areas, or (3) an LEA designated for Comprehensive Support and Improvement (CSI) or Additional Targeted Support and Improvement (A-TSI)\(^9\) during all or part of the grant period.

Other educator preparation programs may also apply for Planning Grant funding to develop plans to establish new residency experiences for teachers, including post-baccalaureate programs for teachers or principals, to be implemented by the 2019-2020 academic year.

A minimum of one Planning Grant will be awarded to a program provider serving rural populations in the commonwealth.

3.2.2. Deliverables and Expected Outcomes

Successful applicants will develop an implementation plan during the 2019-2020 academic year for establishing a full-year clinical residency experience embedded within their four-year or post-baccalaureate preparation program by the 2020-2021 school year.

Planning Grant recipients will receive priority consideration for Implementation Grants in future years, subject to availability of funding.

- **Minimum Requirements**: Successful applicants must use funding to support the following required deliverables and expected outcomes:
  - Proposals must show how grantees will develop a program design, including plans for launching and implementation, to establish residency experiences in partnership with at least one high-need LEA.
  - Proposals must be informed by data (i.e., through a needs assessment completed in collaboration with all partners, potential candidates/residents, and other relevant individuals and institutions);
  - Proposals must demonstrate that grantees have the capacity to obtain and make use of data on which to base their plans and carry out program evaluation.
  - Proposals must show that all minimum requirements for residency models identified under the Implementation Grants will be addressed within planned programs:
    - A full year of clinical practice teaching or leading alongside an expert mentor teacher or principal/school leader (can be carried out a single school year or distributed across more than one school year);\(^{10}\)

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\(^9\) More information about schools identified for CSI and A-TSI can be found on PDE’s [web page for School Improvement and Accountability](#).

\(^{10}\) Mentors must, at a minimum, meet PA Chapter 354 requirements for supervising teachers.
Relevant coursework that is tightly integrated with clinical practice;
Expert mentor teachers or principals/school leaders recruited and trained to co-teach or co-lead with residents;
Financial support that eliminates or significantly reduces financial burdens for candidates/residents;
Strong partnerships between at least one high-need LEA and at least one educator preparation program;
Increase in diversity among teachers/leaders in the educator pipeline, including, but not limited to, low-income student residents, residents of color, and first-generation student residents; and/or residents from other under-represented groups; and
Plans for sustainability of the full-year clinical residency model, including future use of existing institutional and partner resources (in-kind, financial, etc.) to support long-term implementation.

- Proposals must show how grantees will develop a projected timeline for how the proposed operational program would build and expand to address priority elements over a two-year implementation period.
- Proposals must show how grantees will incorporate input from the LEA partner(s) as an integral part of the planning process.

**Priority Elements:** In addition to the minimum requirements for Planning Grants, priority consideration will be given to applicants that address one or more of the following elements within their Planning Grant proposal:

- Proposals demonstrate that candidates/residents will be incentivized or required to commit to teaching or leading in the partner LEA upon completion of the program;
- Proposals demonstrate that high-ability candidates/residents will be selected to meet demonstrated hiring needs in specified shortage areas;
- Proposals demonstrate that ongoing mentoring and support will be provided for residents after they successfully complete the program and earn their certificate;
- Proposals demonstrate how residents will have opportunities to build skills and experiences needed to effectively serve diverse learners in PreK-12, including, but not limited to, students with disabilities, English Learners, gifted students, and students with low literacy levels; and/or
- Proposals demonstrate that a minimum cohort of three to five teacher residents will be placed in “teaching school” settings that model
evidence-based practices with diverse learners and that are designed to help residents learn to teach and lead.

3.3. Key Application Elements: Implementation Grant

3.3.1. Eligible Applicants

Current PDE-approved educator preparation programs (both traditional IHEs and alternative programs) may apply for up to $550,000 (up to $300,000 in Year 1 and up to $250,000 in Year 2) in competitive funding through an Implementation Grant.

Priority will be given to teacher preparation programs in good standing\textsuperscript{11} housed within IHEs (i.e., four-year undergraduate programs) in partnership with one or more high-need LEAs. A high-need LEA is defined as (1) an LEA with schools that have high rates of minority students or high rates of students in poverty, or (2) an LEA that can demonstrate chronic, multiple teacher shortages in special education, STEM subjects, or other state-identified or local shortage areas, or (3) an LEA designated for CSI or A-TSI\textsuperscript{12} during all or part of the grant period.

Other educator preparation programs may also apply for Implementation Grant funding to establish new Clinical Residency experiences, including post-baccalaureate programs for teachers or principals, to be implemented in the 2019-2020 and 2020-2021 academic years. Former Planning Grant recipients will receive priority consideration for Implementation Grants, subject to availability of funding.

Applicants are encouraged, but not required, to submit proposals for activities that will span two academic years.

Funding may be used to provide financial support to teacher or principal/school leader residents who undergo a full year of clinical experience before earning their instructional or administrative certification.

3.3.2. Deliverables and Expected Outcomes

- **Minimum Requirements**: Successful applicants must use funding to support the following required deliverables and expected outcomes:
  - Plans for a full year of clinical practice teaching or leading alongside an expert mentor teacher or principal/school leader (can be carried out a single school year or distributed across more than one school year);\textsuperscript{13}

\textsuperscript{11} A preparation program that is “in good standing” is a program that has no program quality issues documented by the PA Department of Education that would prevent the program from fully meeting the standards of a Major Review.

\textsuperscript{12} More information about schools identified for CSI and A-TSI can be found on PDE’s web page for School Improvement and Accountability.

\textsuperscript{13} Mentors must, at a minimum, meet PA Chapter 354 requirements for supervising teachers.
• Plans for relevant coursework that is tightly integrated with clinical practice;
• Plans for identification and recruitment of expert mentor teachers or principals/school leaders, and plans for training these mentors to co-teach or co-lead with residents;
• Plans for financial support that will eliminate or significantly reduce financial burdens for candidates/residents;
• Demonstration of strong partnerships between at least one high-need LEA and at least one educator preparation program;
• Demonstration of how partners will increase diversity among teachers/leaders in the educator pipeline, including, but not limited to, low-income student residents, residents of color, and first-generation student residents; and/or residents from other under-represented groups;
• Plans for sustainability of the full-year clinical residency model, including future use of existing institutional and partner resources (in-kind, financial, etc.) to support long-term implementation;
• Plans for quantitative and qualitative evaluation of the implementation of the clinical residency model; and
• Proposals must be informed by data and proposals must demonstrate that grantees have the capacity to obtain and make use of data on which to base their plans and carry out program evaluation. Applicants must also be willing to provide data to a third-party external evaluator to be engaged by the Pennsylvania Department of Education.

• Priority Elements: In addition to these required elements, priority consideration will be given to applicants that address one or more of the following elements within their Implementation Grant proposal:
  • Demonstrate that candidates/residents will be incentivized or required to commit to teaching or leading in the partner LEA upon completion of the program;
  • Demonstrate that high-ability candidates/residents will be selected to meet demonstrated hiring needs in specified shortage areas;
  • Demonstrate that ongoing mentoring and support will be provided for residents after they successfully complete the program and earn their certificate;
  • Demonstrate how residents will have opportunities to build skills and experiences needed to effectively serve diverse learners in PreK-12, including, but not limited to, students with disabilities, English Learners, gifted students, and students with low literacy levels; and/or
  • Demonstrate that a minimum cohort of three to five teacher residents will be placed in “teaching school” settings that model evidence-based
practices with diverse learners and that are designed to help residents learn to teach and lead.

3.4. Key Application Elements: Expansion Grant

3.4.1. Eligible Applicants

Current PDE-approved educator preparation programs (both traditional IHEs and alternative programs) that are operating full-year clinical residency preparation programs for teachers and/or school leaders may apply for up to $200,000 in competitive funding through an Expansion Grant.

Priority will be given to teacher preparation programs in good standing¹⁴ housed within IHEs (i.e., four-year undergraduate programs) in partnership with one or more high-need LEAs. A high-need LEA is defined as (1) an LEA with schools that have high rates of minority students or high rates of students in poverty, or (2) an LEA that can demonstrate chronic, multiple teacher shortages in special education, STEM subjects, or other state-identified or local shortage areas, or (3) an LEA designated for CSI or A-TSI¹⁵ during all or part of the grant period.

Other educator preparation programs may also apply for Expansion Grant funding to establish additional clinical residency experiences, including post-baccalaureate programs for teachers or for principals, to be implemented in the 2019-2020 academic year. Implementation Grant recipients may receive priority consideration for Expansion Grants, subject to availability of funding.

Funding may be used to provide financial support to teacher or principal/school leader residents who undergo a full year of clinical experience before earning their instructional or administrative certification.

3.4.2. Deliverables and Expected Outcomes

- **Minimum Requirements:** Successful applicants must use funding to support the following required deliverables and expected outcomes:
  - Proposals must explain how the existing full-year clinical residency program operates;
  - Programs must demonstrate successful outcomes for the existing full-year clinical residency program(s);

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¹⁴ A preparation program that is “in good standing” is a program that has no program quality issues documented by the PA Department of Education that would prevent the program from fully meeting the standards of a Major Review.

¹⁵ More information about schools identified for CSI and A-TSI can be found on PDE’s [web page for School Improvement and Accountability](https://www.pde.pa.gov/).
Proposals must demonstrate how the existing programs will be expanded and that there is a need for the expansion; and Proposals must meet all the additional requirements of the Implementation Grant described previously in section 3.3.2, including:

- Proposals must include plans for a full year of clinical practice teaching or leading alongside an expert mentor teacher or principal/school leader (can be carried out a single school year or distributed across more than one school year);\(^{16}\)
- Proposals must include plans for relevant coursework that is tightly integrated with clinical practice;
- Proposals must include plans for identification and recruitment of expert mentor teachers or principals/school leaders, and plans for training these mentors to co-teach or co-lead with residents;
- Proposals must include plans for financial support that will eliminate or significantly reduce financial burdens for candidates/residents;
- Proposals must demonstrate strong partnerships between at least one high-need LEA and at least one educator preparation program;
- Proposals must demonstrate how partners will increase the diversity among teachers/leaders in the educator pipeline, including, but not limited to, low-income student residents, residents of color, and first-generation student residents; and/or residents from other under-represented groups;
- Proposals must include plans for sustainability of the full-year clinical residency model, including future use of existing institutional and partner resources (in-kind, financial, etc.) to support long-term implementation;
- Proposals must include plans for quantitative and qualitative evaluation of the implementation of the clinical residency model; and
- Proposals must be informed by data and proposals must demonstrate that grantees have the capacity to obtain and make use of data on which to base their plans and carry out program evaluation. Applicants must also be willing to provide data to a third-party external evaluator to be engaged by the Pennsylvania Department of Education.

The demonstration of sustainability must show that substantial resources for the project will be allocated from sources other than the Expansion Grant and that these resources will also be sustainable.

\(^{16}\) Mentors must, at a minimum, meet PA Chapter 354 requirements for supervising teachers.
• **Priority Elements**: In addition to these required elements, priority consideration will be given to applicants that address **one or more** of the following elements within their Expansion Grant proposal:
  - Proposals may demonstrate that candidates/residents will be incentivized or required to commit to teaching or leading in the partner LEA upon completion of the program;
  - Proposals may demonstrate that high-ability candidates/residents will be selected to meet demonstrated hiring needs in specified shortage areas;
  - Proposals may demonstrate that ongoing mentoring and support will be provided for residents after they successfully complete the program and earn their certificate;
  - Proposals may demonstrate how residents will have opportunities to build skills and experiences needed to effectively serve diverse learners in PreK-12, including, but not limited to, students with disabilities, English Learners, gifted students, and students with low literacy levels; and/or
  - Proposals may demonstrate that a minimum cohort of three to five teacher residents will be placed in “teaching school” settings that model evidence-based practices with diverse learners and that are designed to help residents learn to teach and lead.

3.5. Application and Award Timeline

Pennsylvania is committed to using the Title II, Part A set-aside funds for this competitive grant program over multiple years. Awards issued under these guidelines will be valid through September 30, 2020 for Planning and Expansion grants and through September 30, 2021 for 2-year Implementation Grants. **Funding for awards in future years will be specifically contingent upon the appropriation of funds by both the federal government and the Pennsylvania General Assembly, and a fully executed contract.**

To be considered for funding, all applications must be completed and submitted to PDE no later than **5:00 P.M. on Friday, March 29, 2019**. The submission must be made to PDE in the form and manner to be specified and posted to Department of Education’s Innovative Teacher and Principal Residency Programs web page.

Applicants are asked to notify the Issuing Office by March 14, 2019, of the intent to submit an application by completing and mailing the “Notification of Intent to Submit an Application to Participate in Partnerships to Increase Diversity of and Expand Pennsylvania’s Teacher and Principal Workforce in Critical Shortage Areas by Implementing Innovative Clinical Residency Programs” (PDE-4658A), which is available on the Department of Education’s Innovative Teacher and Principal Residency Programs web page. Submission of the notification form carries no obligation to submit an application.
The following dates generally reflect the evaluation process and are subject to change by the Department.

<table>
<thead>
<tr>
<th>Event</th>
<th>Date</th>
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<tbody>
<tr>
<td>Guidelines Released</td>
<td>January 17, 2019</td>
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<tr>
<td>Updated Guidelines Released</td>
<td>February 12, 2019</td>
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<tr>
<td>Written Questions for Recorded Pre-Proposal Information Session</td>
<td>February 26, 2019</td>
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<tr>
<td>Written Questions for Recorded Pre-Proposal Information Session on</td>
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<tr>
<td>Proposal Contents Due</td>
<td>February 26, 2019</td>
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<tr>
<td>Recorded Pre-Proposal Information Session on Proposal Contents Posted</td>
<td>March 7, 2019</td>
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<tr>
<td>Intent to Submit Due to PDE</td>
<td>March 14, 2019</td>
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<tr>
<td>Competitive Applications Due to PDE</td>
<td>March 29, 2019</td>
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<tr>
<td>Notifications to Grantees and Contract Development</td>
<td>May and June, 2019</td>
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<tr>
<td>Grant Award Period Begins</td>
<td>July 1, 2019, subject to change by PDE</td>
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<td>Title II Part A Funds Expire</td>
<td>September 30, 2020</td>
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<tr>
<td>Title II Part A Funds Expire (2-year grant)</td>
<td>September 30, 2021</td>
</tr>
<tr>
<td>Submission of Quarterly Evaluation Reports to Office of Postsecondary and Higher Education</td>
<td>September 30, 2019; December 31, 2019; March 30, 2020; June 30, 2020 (and so forth for 2-year grants)</td>
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<tr>
<td>Participation in Quarterly Telephone Calls</td>
<td>October 15, 2019; January 15, 2020; April 15, 2020; July 15, 2020 (and so forth for 2-year grants)</td>
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<tr>
<td>Grant Close Out (1-year grant)</td>
<td>November 30, 2020</td>
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<tr>
<td>Grant Close Out (2-year grant)</td>
<td>November 30, 2021</td>
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<tr>
<td>Submission of OMB Circular A-133 Audit Report (1-year grant)</td>
<td>June 30, 2021</td>
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<tr>
<td>Submission of OMB Circular A-133 Audit Report (2-year grant)</td>
<td>June 30, 2022</td>
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4. Other Terms and Information

4.1. Issuing Office and Contact Information

These application guidelines are issued for the Commonwealth by the Department of Education, Bureau of School Leadership and Teacher Quality in the Office of Postsecondary and Higher Education. All inquiries and questions should be addressed to: Stephanie Stauffer, Higher Education Associate, Pennsylvania Department of Education, 333 Market Street, Harrisburg, PA 17126-0333; telephone number 717-783-6763; email address sstauffer@pa.gov. The Issuing Office is the sole point of contact in the Commonwealth for these guidelines.
4.2. Type of Award

If awards are made, the standard grant award contract will be issued. Negotiations will be held with potential contractors to discuss funding levels as well as programmatic expectations. Because most of the application narrative will be incorporated into the grant award contract, revisions will be required for the narrative to be acceptable to the commonwealth.

4.3. Project Expiration Date

One-year contracts awarded under these guidelines will expire September 30, 2020. Two-year contracts awarded under these guidelines will expire September 30, 2021.

4.4. Unallowable Expenses

Each of the following expenditures will be disallowed from any awarded contract:

1. Cost of instruction when tuition is charged to the grant;
2. Cost of tuition when the cost of instruction is charged to the grant;
3. Facilities rental or janitorial costs for any of the partners;
4. Cost of food and beverages other than those permitted as per diem expenses for travel;
5. Equipment purchases. Under these application guidelines, “equipment” is an instrument, machine, apparatus, or set of articles that meets all the following criteria:
   a. Cost is $5,000 or more per unit;
   b. It retains its original shape, appearance, and character with use;
   c. It does not lose its identity through fabrication or incorporation into a different or more complex unit or substance;
   d. It is nonexpendable; i.e., if the item is damaged or some of its parts are lost or worn out, it is more feasible to repair the item than to replace it with an entirely new unit; and
   e. Under normal conditions of use, including reasonable care and maintenance, it can be expected to serve its principal purpose for more than one 12-month fiscal period;
6. Capital expenditures;
7. College or university fees such as, but not limited to, academic fees, equipment fees, computer fees, community center fees, ID fees, health fees;
8. Per diem, lodging, and mileage reimbursement rates higher than prevailing state limits available at Per Diem Allowances; and
9. Indirect costs greater than 8 percent.
4.5. Rejection of Applications

The Commonwealth reserves the right to reject all applications received under these guidelines and to negotiate separately with successful grant recipients. Applications will not be accepted under the following circumstances: (1) from applicants who are currently delinquent in filing reports either with PDE or LECS Comptroller’s Office; (2) when applications are not completed according to specifications to be posted to the Innovative Teacher and Principal Residency Programs web page; and/or (3) when applications are not submitted by 5:00 P.M. on Friday, March 29, 2019, as specified in the grant application materials.

4.6. Incurring Costs

The Commonwealth of Pennsylvania is not liable for any costs incurred by applicants or successful grant recipients prior to the effective date of any contract.

4.7. Recorded Pre-Proposal Information Session

A recorded pre-proposal information session addressing the contents of proposals will be posted to the Department of Education’s Innovative Teacher and Principal Residency Programs web page by March 7, 2019. The purpose of this video recording is to (1) clarify application guidelines; (2) emphasize portions of the guidelines considered especially important; and (3) answer questions submitted in advance.

Questions must be forwarded in writing by February 26, 2019, to ensure that the Issuing Office has sufficient time to prepare answers. The Issuing Office has prepared a pre-printed form entitled Pre-Proposal Conference Questions Stemming from the Guidelines to Increase Diversity of and Expand Pennsylvania’s Teacher and Principal Workforce in Critical Shortage Areas by Implementing Innovative Clinical Residency Programs (PDE-4658), which will be available on the Department of Education’s Innovative Teacher and Principal Residency Programs web page, for applicants to submit their questions. Applicants will have an opportunity to pose additional written questions within three days of the posting of the recorded session. These will be answered, and the answers posted to the grant website within 5 days of the posting of the recorded session.

4.8. Amendment to the Guidelines

If it becomes necessary to revise any part of the guidelines, an amendment will be posted to the PDE website.
4.8.1. Economy of Preparation

Applications should be prepared simply and economically, providing a straightforward, concise, and detailed description of the project’s goals, objectives, activities, and expected outcomes that will be provided under this competition. Part II, the Application Form (to be available by February 19, 2019), summarizes the intent of each application section. Proofread responses carefully.

4.8.2. Prime Contractor Responsibilities

Contractors (awardees) will be required to assume responsibility for all goals, objectives, activities, and expected outcomes outlined in their application. Additionally, each contractor must have all funds committed and obligated by Wednesday, September 30, 2020. The sole point of contact for each contract will be the project director.

When contracts are awarded, contractors will be informed of the reporting requirements. At a minimum, the following reports will be required:

<table>
<thead>
<tr>
<th>REPORT</th>
<th>DUE DATE(S)</th>
<th>FILED WITH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Audit Information17</td>
<td>Nine months after expiration of contract</td>
<td>Bureau of Audits and Bureau of School Leadership and Teacher Quality</td>
</tr>
<tr>
<td>Progress Report</td>
<td>Due at the end of each calendar quarter after the project begins</td>
<td>Bureau of School Leadership and Teacher Quality</td>
</tr>
<tr>
<td>Program Evaluation</td>
<td>30 days after project ends</td>
<td>Bureau of School Leadership and Teacher Quality</td>
</tr>
</tbody>
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For auditing purposes, project staff must maintain time and effort sheets or similar reporting mechanisms to document time devoted to project activities.

4.8.3. Disclosure of Application Contents

All material submitted becomes the property of the Commonwealth of Pennsylvania. Applications submitted to the commonwealth may be reviewed and evaluated by any person other than competing applicants at the discretion of the commonwealth. The

17 Entities that expend more than $500,000 in total federal awards during their fiscal year are required to have an audit in accordance with OMB Circular A-133. Entities that expend less than $500,000 in total federal awards during their fiscal year are exempt from the Single Audit requirements (Single Audit Act Amendments of 1996), but they are required to maintain records, which can be audited.
commonwealth has the right to use any or all ideas presented in any response to these guidelines. Selection or rejection of the application does not affect this right.

4.8.4. Notification and Feedback

Each applicant will be notified in writing about the status of the application. In addition, general comments regarding the overall strengths and weaknesses of all applications will be provided.

4.8.5. Media Releases

Media releases and/or press statements pertaining to contracts awarded under these guidelines cannot be made without written authorization from the Issuing Office and must conform to the guidelines provided by the Issuing Office.

4.8.6. Commonwealth Participation

The program officer for these guidelines is Stephanie Stauffer, Higher Education Associate. She is available to provide technical assistance to applicants up to the filing deadline and to contractors after awards are made. Ms. Stauffer also has the responsibility to ensure activities submitted under each application are acceptable to Pennsylvania Department of Education.

4.8.7. Terms of Payment

Funds may not be spent prior to the effective date of the grant award contract. Moreover, 10 percent of the total contract will be withheld by the commonwealth and will not be released unless the contractor satisfies all mandatory reporting obligations. The remaining balance will be prorated over the term of the contract. Payments will eligible to begin when the LECS Comptroller’s Office activates the contractor’s file. Contractors will invoice the Pennsylvania Department of Education and will be reimbursed for allowable expenses.

The Commonwealth uses an Automated Clearing House (ACH) System to disburse federal payments processed through the Federal Subsidies Section. Funds will be deposited into a designated ACH account rather than being disbursed by check.

4.8.8. General Conditions

The Commonwealth’s Standard Terms and Conditions are an integral part of each grant award contract.
4.8.9. Procedures for Filing Allegations of Procedural Violations

The following procedures govern the filing of allegations of procedural violation against the Division of Professional Education and Teacher Quality:

1. A signed letter of complaint citing allegations of wrong-doing must be received by the Deputy Secretary of the Office of Postsecondary and Higher Education at PDE no later than 30 days from the mailing date of the funding decision.
2. The Deputy Secretary's office will forward the allegation(s) to the Director, Bureau of School Leadership and Teacher Quality.
3. The Bureau Director will investigate allegations of violation.
4. Upon receipt of the allegations, the Bureau Director will acknowledge receipt of correspondence and will indicate an investigation will ensue, culminating in a written response to the allegations mailed within 20 days of the date the letter was received in the Bureau Director's office.
5. The written response shall include the following: the name of the party raising the allegation(s) of procedural violation(s), the nature of the allegation(s), the recommended resolution(s), and the reasons for the recommendation(s).
6. The complainant may appeal the recommended resolution to the Secretary of Education pursuant to 1 Pennsylvania Code, §35.20.