



**COMPREHENSIVE COUNSELING INITIATIVE FOR INDIANA K-12 STUDENTS  
REQUEST FOR PROPOSALS**

**COUNSELING INITIATIVE ROUND II  
OCTOBER 2017**

In September 2016, Lilly Endowment issued a request for proposals to Indiana public school corporations and charter schools for a new competitive grant initiative—the Comprehensive Counseling Initiative for Indiana K-12 Students (Counseling Initiative)—to develop and implement innovative, promising and sustainable comprehensive counseling models to address the academic, college, career and social and emotional counseling needs of K-12 students in Indiana. The Endowment’s aim for the Counseling Initiative is to increase significantly the number of K-12 students in Indiana who are emotionally healthy, realize academic success, graduate from high school, obtain valuable postsecondary credentials, certifications and degrees necessary for meaningful employment, and are prepared to compete and prosper in the global society in which they will live and work.

Considering the broad and positive response to the initiative around the state, the Endowment has decided to offer a second round of implementation grants—Counseling Initiative Round II. In this second round, each Indiana public school corporation or charter school that was eligible to apply in the original Counseling Initiative but that did not receive an implementation grant is invited to submit a completely new or a revised request for a Counseling Initiative Round II implementation grant. This invitation applies regardless of whether an eligible applicant participated in the original initiative, applied for and received a planning grant, or submitted an implementation grant request that was not approved. The only previously eligible public school corporations or charter schools that cannot participate in Counseling Initiative Round II are those that received implementation grants in the original Counseling Initiative.

It is important to note that some implementation grant proposals in the original Counseling Initiative that did not receive funding included most of the elements described here, but were missing one or two key elements; other unsuccessful proposals needed significant improvement on several key elements. Eligible previous applicants that wish to apply again for an implementation grant for this Counseling Initiative Round II should analyze closely their prior submissions, as compared to the information in this Request for Proposals, to determine whether to resubmit their earlier submissions with appropriate revisions or instead to prepare and submit entirely new proposals.

## **Round II Grant Eligibility and Amounts**

**Terminology.** As in the original Counseling Initiative, for purposes of this Counseling Initiative Round II, the term “counseling” is used as a general term and when not specified otherwise includes any or all of the following domains of practice in the profession that are available within K-12 schools: school social work, school counseling, social and emotional health counseling, and guidance relating to academic planning and scheduling as well as college and career preparation. “College counseling” includes counseling for any postsecondary education activity, such as the pursuit of degrees, certificates and other credentials. In addition, the phrase “comprehensive counseling” refers to holistic models of counseling that pay proper attention to all of these types of counseling.

**Eligible Schools.** Any Indiana public school corporation or charter school that did not receive implementation grant funding in the original Counseling Initiative is eligible to apply for funding under this Counseling Initiative Round II, for which the Endowment has allocated up to \$10 million. This includes:

- Each eligible public school corporation or charter school in Indiana that applied for but did not receive an implementation grant in the original Counseling Initiative; and
- Public school corporations and charter schools in Indiana that were eligible but did not apply for an implementation grant in the original Counseling Initiative.

**Response deadline.** Proposals for implementation grants under this Counseling Initiative Round II must be mailed to the Endowment postmarked no later than March 15, 2018, or hand delivered and received at the Endowment’s offices on or before March 15, 2018.

**Grant Amounts.** For purposes of this Counseling Initiative Round II, eligible school corporations and charter schools with enrollments of more than 1,000 students may request up to \$100 per student enrolled. Applicants with enrollments of 1,000 or fewer may request up to \$100,000, even though the amount exceeds \$100 per student. The number of students used in calculating enrollment must be the average daily membership (ADM) reported to the Indiana Department of Education as of September 15, 2017.

**Use of Grant Funds.** The Endowment expects to announce its decisions on implementation grants under this Counseling Initiative Round II by June 30, 2018, and to pay implementation grants soon after the announcements. Implementation grants under this round may be expended during a grant period beginning July 1, 2018, and extending through June 30, 2022.

**Collaborations with Other Entities.** Grant recipients may collaborate with other entities pursuant to contracts, memoranda of understanding, regranting or other arrangements, but the Endowment’s grants will be made only to successful school corporations and charter schools. A

charter school organizer (the nonprofit entity that holds a charter) that operates one or more charter schools in Indiana must file a single application on behalf of all of the charter schools it operates in Indiana. The organizer will be treated in the same manner as a public school corporation and will be eligible for the same amount of implementation grant funding for which a public school corporation with the same total Indiana ADM is eligible.

Joint Proposals. Two or more eligible public school corporations or charter schools may determine that they could serve the counseling needs of their students better by coordinating their efforts and submitting a joint Counseling Initiative Round II implementation grant proposal. Any such joint proposal may request an amount up to the total of the amounts for which the participating applicants could apply if they submitted separate proposals. In a joint proposal, the applicants should abide by the special page limits described later in this Request for Proposals and should describe the rationale for their determination that the approach suggested in the joint proposal will better serve the counseling needs of their students compared to what they would propose by themselves.

### **Considerations in Preparing Proposals**

The Endowment understands that for many public school corporations and charter schools adopting a comprehensive counseling model may not be feasible in the near term and that the funding available under this Counseling Initiative Round II is not sufficient by itself to support a comprehensive model. Those public school corporations and charter schools that demonstrate a commitment to developing a comprehensive counseling model within a reasonable period of time, however, may be favored in making awards under this initiative.

Suggested Steps in Preparing Proposals. In preparing implementation grant proposals, applicants are encouraged to take the following steps (among others), as appropriate:

- Seek out research on best practice comprehensive counseling models in Indiana and around the country and compare them to the current counseling programs of the applicant. A “References” research and resources list is provided on the Endowment web site at: [www.lei.org/ed\\_ci](http://www.lei.org/ed_ci). However, applicants are encouraged to consult other sources of best practices research, including information provided by counselors, educators and administrators, and community partners, as they deem appropriate. Although the Endowment is not providing planning funds for this Counseling Initiative Round II, applicants are free to use any funds remaining from planning grants received in the original Counseling Initiative and other resources to engage nonprofit or for-profit consultants for assistance in preparing proposals in this round.
- Consider the extent to which classroom instruction, online tools, and related supportive services and resources can complement one-on-one counseling.
- Explore other relevant programs operated or supported by government agencies, area businesses, community organizations, or philanthropic funders, such as those relating to

career and technical education, skills and interest assessment and development, educational attainment, social service delivery, industry demand analyses, employer engagement, workforce development, and talent attraction and consider the extent to which the applicant's counseling activities might benefit from collaboration or alignment with those other programs. Note that at different times various aspects of school counseling programs receive heightened attention and new programs or approaches are initiated—staying abreast of such trends and developments can be very useful in maximizing resources and avoiding duplication of efforts.

- Consider what specific professional development needs the applicant's counselors, teachers, principals, other administrators, or community partners may have relating to its counseling programs, including, but not limited to:
  - Continuing education in social and emotional health counseling resources and practices;
  - Continuing education in academic, college and career planning tools, resources and practices;
  - Information about available postsecondary degree, certificate, and other credential programs; and
  - Ways to develop a deeper understanding about employment opportunities and requirements for students, for example by engaging in employer-guided information sessions and career-pathway events to learn about entry-level career preparation and skills in demand, attending employer-hosted forums, participating in industry tours, meeting with economic development and regional workforce development groups, or participating in teacher/counselor externships.

#### Characteristics of Successful Implementation Grant Requests in the Original Counseling

Initiative. Applicants for Counseling Initiative Round II might find it helpful to consider the following characteristics of several of the implementation grant proposals that were awarded funding in the original Counseling Initiative:

- Outcomes. The proposal clearly described quantitative and qualitative outcomes that the applicant expected to achieve with the use of the grant funds, specified baseline data against which those outcomes would be measured, and identified various performance indicators that would be used to track progress toward such outcomes during the grant period.
- Other Support and Sustainability. The proposal included a plan explaining how sufficient financial and other resources would be generated to support and sustain the proposed counseling program both during the grant period and after grant funds were exhausted, including matching support from the applicant's own funds or from external stakeholders. Examples of sustainability plans also included shifting existing resources within the public

school corporation or charter school from another area to the counseling program; developing and executing an external fundraising strategy, including applying for grants and awards from other funding sources to support the new counseling program; and engaging community organizations, businesses and other stakeholders to assist with new programs or activities or provide in-kind services, goods, or other resources.

- Critical Self-Assessment. The proposal demonstrated the applicant's critical self-assessment of its existing counseling programs, comparing where those programs do not align with the comprehensive counseling model to which it aspires.
- Endorsement by Others. The proposal gave strong evidence of broad support or involvement by community organizations, government and business leaders, colleges and universities, and other stakeholders external to the applicant.

### Grant Proposal Guidelines

To be considered for a Counseling Initiative Round II implementation grant, an applicant must complete the [Implementation Grant Cover Sheet](#) included with this Request for Proposals, print it and attach it to the implementation grant proposal. The applicant must also include an [Executive Summary](#) of up to two pages and a [Narrative](#) not to exceed 12 pages.

The [Executive Summary](#) must do the following:

- Provide an overview of (i) the counselors, teachers, administrators, and community organizations and partners who have actively engaged in the preparation of the implementation grant proposal and (ii) those who will participate in or manage its implementation if the applicant's proposal is approved.
- Briefly describe the comprehensive counseling model to which the applicant aspires and the features of its current counseling programs that it intends to enhance and expand to conform more to the desired model.
- Provide an outline of the outcomes that the applicant expects to achieve through the proposed counseling program.
- Summarize the overall budget for use of the grant funds and the applicant's funding strategy to sustain the proposed programming over the long term, including a summary description of 1) any funding that the applicant will provide for the proposed program; 2) any in-kind support or contributed funds that will be provided or sought from others to supplement the grant resources that will be devoted to the proposed program during the grant period; and 3) its plan for how program activities will be supported and funded after the grant period.

In the [Narrative](#), each applicant should describe the features of the comprehensive counseling model to which it aspires, explain how the applicant's existing counseling programs do not align with that model, and describe the steps that the applicant will take so that its counseling programs conform more to the desired model. As with the original Counseling Initiative, the Endowment expects that there will be a broad range of programs and activities proposed by

applicants, depending on the comprehensive counseling models to which they aspire, the emphases, strengths, and weaknesses of each applicant's existing counseling programs, the prioritization of their needs, and many other factors.

Here are some illustrative examples of activities and programs that could be proposed for funding:

- A public school corporation or charter school may believe that its academic and college counseling programs are stronger and more effective than its career counseling programs. Consequently, it may propose to use implementation grant funds, among other things, to hire a career guidance coordinator to engage and organize volunteer business leaders from the community to provide advice to and mentor students relating to skills the students will need to succeed in the workforce.
- Another applicant may believe that its most compelling need is to address better the social and emotional challenges of its elementary school students, and so it may propose to use the grant funds to develop a close collaboration with a local mental health clinic.
- Another may realize that it is burdening its counselors with non-counseling duties, such as test proctoring and lunchroom supervision, and so it may propose to use at least some of its grant funds to engage others to perform such responsibilities.
- Some applicants may believe that greater use of online counseling tools would significantly enhance and expand the impact of their counseling programs and therefore propose to use their grant funds to gain access to such tools.
- Other applicants may determine that their most compelling need is for a broad range of counseling support for their upper elementary and middle school students; they may believe that they are addressing their high school students' counseling needs satisfactorily. Accordingly, they may propose to use their implementation grant funds to implement a comprehensive counseling model for their upper elementary and middle school students.
- Some applicants may propose to use grant funds to enable their counseling staff to take more advantage of professional development opportunities.
- Still other public school corporations or charter schools may believe that a wholesale redesign of their counseling programs is needed and propose that grant funds be used to help them start this process.

In addition, the **Narrative** should also address:

1. **Rationale for Proposed Counseling Program:** Explain the rationale for seeking grant support for the activities under the proposed program as opposed to other activities. Strong proposals will demonstrate the use of relevant research on comprehensive counseling best practices, thoughtfully identify and describe the strengths/weaknesses of current counseling programs, and articulate how the activities to be funded by the grant will result in meaningful improvement over the results achieved through the applicant's current counseling programs.
2. **Impact and Evaluation:** Describe the quantitative and qualitative outcomes expected, provide relevant baseline data against which the outcomes will be compared, and identify the performance indicators that will be used to track progress toward such outcomes. Progress measures should be appropriate in scale to the program funding and be directly related to the proposed counseling program.
3. **Sustainability:** Indicate how the proposed program will be supported and sustained both during the grant period and after it expires.
4. **Personnel:** Describe the staff and other personnel who conduct the applicant's current counseling programs. Indicate the total annual budget for the applicant's current counseling programs. Indicate the applicant's current number of K-12 students per counselor. Describe how the applicant's counseling staff, counseling budget, counseling responsibilities, and number of K-12 students per counselor would change if its implementation grant proposal is approved.
5. **Other Support:** Describe the planned involvement and support of community partners or other organizations external to the applicant (*e.g.*, businesses, Chambers of Commerce, mental health and human service providers, hospitals, youth-serving agencies, arts organizations, colleges and universities, United Ways, community foundations and other funders, and religious institutions) that will be engaged in efforts to enhance the applicant's proposed counseling program. If the applicant did not or will not engage community partners or external stakeholders, it should describe its rationale for not doing so.

**Attachments** (not to exceed 12 pages) must include the following:

- A. A Gantt chart (or similar schedule) depicting the applicant's **program timeline and performance indicators** to be accomplished during each six-month period ending December 31 and June 30 for the duration of the grant period.
- B. A detailed **line-item budget** and **budget narrative tied to the proposed activities** formatted for each of the applicant's fiscal years throughout the grant period. While no particular budget format must be followed, typical grant categories include: personnel, stipends, professional development, conferences, travel, external consultants, curriculum resources, and technology.

- C. **Letters of support** and statements from community representatives and other external stakeholders that demonstrate their commitment to help implement and sustain the activities described in the proposal.
- D. A **letter of endorsement and approval** from the leader of the applicant's governing body that includes a confirmation that the applicant's proposed program will conform to all applicable laws, rules, regulations, accountability standards, collective bargaining contracts, and similar requirements.

## **Joint Proposals**

In addition to the five numbered requirements for the **Narrative** listed above, a joint proposal submitted by two or more eligible public school corporations or charter schools may use up to five additional pages to expand the **Narrative** and should address:

- 6. **Rationale for Joint Proposal:** Describe how the needs of students will be better served through the proposed joint approach as compared to what individual applicants would propose by themselves. This may include an explanation of economies of scale and efficiencies expected through the joint efforts of the participants.
- 7. **Structure and Operating Plan:** Describe the governance structure and framework (*i.e.*, who will make final decisions and what are the responsibilities and functions of the participating public school corporations or charter schools) under which the joint program will be overseen and conducted.

In addition to the five additional pages that are permitted for an expanded **Narrative**, joint proposals may also (but are not required to) include up to 5 additional pages of relevant materials per public school corporation or charter school included in the joint proposal. These added materials should be included in the **Attachments** section of the proposal.

Grants awarded for joint proposals typically will be made to each public school corporation or charter school within the joint proposal. The amount of each grant made to each public school corporation or charter school participating in a joint proposal will be based on the ADM of each individual entity. Applicants within a joint proposal may request that one or more of the applicants receive all or specified portions of the grant. The Endowment, however, may in its sole discretion award grants consistent with any such request to the individual public school corporations or charter schools within the joint proposal.

## **Proposal Formatting**

For reading ease, all proposal materials should be in no less than 12pt size in a common font and have margins of at least 1" around the page perimeter. Because the Endowment may need to make multiple copies of proposal materials during the review process, all materials submitted by applicants should be originally printed and written, wherever possible.

## **Grantmaking Criteria**

As with the Counseling Initiative's original implementation grant phase, the following criteria (among others) will help guide the Endowment's grantmaking decisions in this Counseling Initiative Round II:

- The extent to which a proposal demonstrates that the applicant understands and has used relevant research on comprehensive counseling best practices, has thoughtfully identified and described the strengths and challenges of its current counseling programs, and has compared its current counseling programs to comprehensive counseling best practices.
- The extent to which the rationale for an applicant's prioritization of the activities for which it seeks funding is well developed and compelling. The rationale should, among other things, demonstrate why the applicant seeks funding for certain activities and not others.
- The extent to which a proposal indicates that the applicant engaged community partners and other external stakeholders in developing the proposal and will engage them in implementation of the proposed program if the grant proposal is approved. The proposal also should describe the extent of financial and in-kind support that community partners and external stakeholders have committed to help sustain the proposed counseling program after the grant period. If the applicant did not or will not engage community partners or external stakeholders, it should describe its rationale for not doing so.
- The extent to which a proposal demonstrates that the applicant is committed to implementing and sustaining a best-practices comprehensive counseling model for its students or to working toward such an objective within a reasonable period of time.
- The extent to which a proposal indicates that the applicant will devote sufficient financial resources to implement and sustain the proposed counseling program if an implementation grant is approved. Proposals that show matching support

(from the applicant's own funds or from external stakeholders) for the proposed counseling program during the implementation grant period will be favored.

- The extent to which a proposal indicates that the applicant has developed and is committed to an evaluation plan to demonstrate the impact of the proposed counseling program. Such an evaluation plan should include relevant baseline data, performance indicators, and outcomes that the applicant expects to achieve through the effective execution of the proposed counseling program. Quantitative and qualitative evaluation measures should be described.
- The extent to which a proposal demonstrates that the applicant has been creative in designing and developing the program it proposes for Endowment funding and that the proposed counseling program will meaningfully enhance the quality of its counseling efforts and expand its impact on the applicant's students.

### **Counseling Initiative Round II Basic Timeline**

The timeline for Counseling Initiative Round II implementation grant proposals and awards is as follows:

1. Proposals for implementation grants must be sent to the Endowment postmarked no later than March 15, 2018, or hand delivered and received at the Endowment's offices on or before March 15, 2018.
2. The Endowment expects to notify applicants about implementation grant approvals by June 30, 2018.

Grant proposals and inquiries should be sent to:

Sara B. Cobb  
Vice President, Education  
Lilly Endowment, Inc.  
2801 N. Meridian Street  
Indianapolis, IN 46208  
317.924.5471  
[education@lei.org](mailto:education@lei.org)

## Resources

2017 Kids Count Data Book: State Trends in Child Well-being. *Child Well-Being Rankings*, Annie E. Casey Foundation, 2017. [www.aecf.org](http://www.aecf.org)

21<sup>st</sup> Century Scholar Progress Report: High School Class of 2017. Indiana Commission for Higher Education, September, 2016. [scholars.in.gov/wp-content/uploads/2016/09/State-SSP-Report](http://scholars.in.gov/wp-content/uploads/2016/09/State-SSP-Report)  
<http://scholars.in.gov/wp-content/uploads/2016/09/State-SSP-Report-2017-Cohort.pdf>. 2017-Cohort.pdf

ASCA National Model: A framework for school counseling programs. American School Counselor Association, 2012. [www.schoolcounselor.org](http://www.schoolcounselor.org)

Indiana's Education. *Educational Attainment – ACS 2014 Year Estimates*. Stats Indiana. U.S. Census Bureau, American Community Survey, National Science Foundation, 2014.  
[www.stats.indiana.edu](http://www.stats.indiana.edu)

Indiana's Income & Taxes. *US States in Profile*. Stats Indiana. U.S. Bureau of Economic Analysis, 2015. [www.stats.indiana.edu](http://www.stats.indiana.edu)

Middle School Counselor's Guide: NOSCA's Eight Components of College and Career Readiness Counseling. The College Board Advocacy & Policy Center, National Office for School Counselor Advocacy, 2011. [www.collegeboard.org](http://www.collegeboard.org)

Public Elementary and Secondary School Student Enrollment and Staff Counts from the Common Core of Data: School Year 2010-2011. *K-12 Public School Student-to-Counselor Ratios, by State: 2010-2011*. National Center for Education Statistics, U.S. Department of Education, May 2012. [www.nces.ed.gov](http://www.nces.ed.gov)

*Indiana School Counseling Research Review* in 2014. Indiana Chamber of Commerce Foundation, 2014. [share.indianachamber.com/media/INChamberSchoolCounselingReport.pdf](http://share.indianachamber.com/media/INChamberSchoolCounselingReport.pdf)

Youth Suicide in Indiana. *Issue Brief*. Indiana Youth Institute, April 2014. [www.iyi.org](http://www.iyi.org)

Why Elementary School Counselors. *School Counselors & Members: Careers/Roles*. American School Counselor Association, 2016. [www.schoolcounselor.org](http://www.schoolcounselor.org)