

Request for Proposals (RFP)# GC16-008

Program Name:	The 2016-2019 New York State Charter School Dissemination Grant Program
Due Date:	Complete applications must be submitted electronically through the New York State Education Department (NYSED) Fluid Review portal and postmarked by March 18, 2016 . See the Application Submission Instructions section of this Request for Proposals (RFP) for details.
Description:	The purpose of the New York State Charter School Dissemination grant program is to provide funds to support the dissemination of effective practices and programs that have been developed, tested, and proven successful in New York State charter schools. Funds are available to assist charter schools in disseminating their effective practices to any district school(s) in New York through designated partnerships.
Eligible Applicants	A charter school may apply for a dissemination grant if the school is in at least its third year of operation with students and is in “Good Standing” or “Reward” status under NYSED’s 2015-2016 accountability system. The charter school must also be prequalified in the NYS Grants Gateway.
Funding	Individual awards of up to \$500,000 are available over three years. Total funding is \$5,000,000 for this grant program and is subject to availability of funds from the United States Department of Education.
Questions and Answers	All questions about this RFP must be emailed to charterschools@nysed.gov no later than February 12, 2016. A questions and answers summary will be posted February 24, 2016 at http://www.p12.nysed.gov/funding/currentapps.html .
Non-Mandatory Notice of Intent	The Notice of Intent (NOI) is not a requirement for submitting an application by the application date; however, NYSED strongly encourages all prospective applicants to submit an NOI to ensure a timely and thorough review and rating process. The applicant’s NOI will also help to facilitate timely review of their prequalification materials. The notice of intent is a simple email notice stating your organization’s (use the legal name) intent to submit an application for this grant. Please also include your organization’s NYS Vendor ID. The due date is February 26, 2016 . Please send the NOI to charterschools@nysed.gov .

The 2016-2019 New York Charter School Dissemination Grant Program

APPLICATION GUIDANCE

Background

The New York State Education Department (NYSED) has received funds from the United States Department of Education under the Charter Schools Program of 2012. Schools chosen as recipients of this grant will exemplify autonomy, accountability, and high performance. These schools will have practices that are evidence-based, proven to advance student achievement, and possible to replicate at traditional district schools. NYSED will offer individual awards of up to \$500,000 over three years.

Program Purpose

The purpose of the New York Charter School Dissemination grant program is to provide funds to support the dissemination of effective practices and programs that have been developed, tested, and proven successful in significantly increasing student achievement in New York State charter schools. Funds are made available to charter schools to assist in disseminating their successful innovations to district school(s) by developing partnerships. These successful innovations and practices must be designed to improve student academic achievement.

Dissemination funds may be used for projects that include, but are not limited to, replicating and/or adapting the following types of practices, systems and structures:

- School leadership structures, particularly those that free instructional leaders to focus exclusively on instruction;
- Co-teaching or team-teaching structures;
- Staff professional development programs, including strategic use of summer institute training and ongoing trainings throughout the year;
- Tutoring or academic intervention systems designed to “ramp-up” students who are significantly behind grade level;
- New teacher development support systems;
- Strategies, structures, and methodologies to coach teachers on using formative and summative data to inform instruction;
- Strategies to develop and utilize specific curricular and assessment systems;
- Particular school culture or disciplinary procedures;
- Programs that allow schools to effectively recruit and retain strong teachers and principals (i.e. providing high-quality pathways for teachers and school leaders); and
- A school calendar and/or schedule design that includes additional learning time.

The Federal Charter Schools Program (CSP) Nonregulatory Guidance, including information on dissemination grants, may be found at <http://www2.ed.gov/programs/charter/nonregulatory-guidance.doc> (see questions B-5 through B-13).

Eligibility Requirements

Applications will be accepted from existing New York State charter schools that meet the following minimum eligibility criteria:

- **Years of Operation:** In the 2015-2016 school year, the charter school must be in at least its third year of operation with students.
- **Good Standing:** The charter school must be in “Good Standing” or “Reward” status under NYSED’s 2015-2016 accountability system (see <http://www.p12.nysed.gov/accountability/ESEADesignations.html>). Schools are ineligible to apply if they are on an academic correction plan (or on probation or in violation of a corrective plan) or subject to charter revocation or nonrenewal. NYSED reserves the right to contact the school’s authorizer, among other parties, to confirm information set forth in the application.

The charter school must also be prequalified in the NYS Grants Gateway in order to apply.

Prequalification Requirement

The State of New York has implemented a new statewide prequalification process (described in <http://www.grantsreform.ny.gov/Grantees>) designed to facilitate prompt contracting for not-for-profit grant recipients. All not-for-profit organizations (including charter schools) are required to prequalify by the grant application deadline in order to receive an award under this RFP. This includes all not-for-profit organizations that have already received a grant award and are in the middle of the grant program cycle. Please review the additional information regarding this requirement in the Prequalification for Individual Applications section below.

Application Deadline and Submission Requirements

Complete applications **must** be submitted electronically through the Fluid Review portal at <https://nysed-cspdissem.fluidreview.com/>. Technical questions regarding electronic submission through the Fluid Review portal should be directed to support@fluidreview.com. Electronic copies must be submitted through the portal no later than 3:00 p.m. on **March 18, 2016**. **In addition, one (1) copy of all application documents must be postmarked by March 18, 2016, and mailed to the New York State Education Department.** See **Application Submission Instructions** in this RFP for further instructions.

Project Period and Funding

Programmatic activities will occur from September 1, 2016 - July 31, 2019.

Awards of up to \$500,000 will be made, subject to availability of funds from the United States Department of Education.

Additional Information and Program Specifics

- Charter schools may choose to partner with any district school(s).
- Competitive priority will be granted to applicants that choose to partner with a district school in priority status under the ESEA accountability designations for 2015-16. Charter schools that previously received CSP grants are not prevented from applying for the 2016-2019 New York Charter School Dissemination grant program.
- Questions about this RFP must be submitted to charterschools@nysed.gov no later than February 12, 2016 and should not include technical questions related to submission of the application through the Fluid Review portal. Those questions should be directed to support@fluidreview.com.

- Questions and answers, not including technical questions related to submission through the electronic portal, will be posted February 24, 2016 to <http://www.p12.nysed.gov/funding/currentapps.html>.

A non-mandatory Notice of Intent to apply for this grant should be submitted to charterschools@nysed.gov by February 26, 2016.

Overview of Project Activities: Developing Partnerships

Dissemination funds are made available to assist charter schools in disseminating effective innovations and practices to district schools. Shared charter school practices must have documented results and represent a service or product that can be shared with partner school(s). The partnership is designed to improve academic achievement in the partnering district school(s). Dissemination activities must be aligned with the Common Core standards, supported by research, and show documented results.

Activities and Expenditures

Dissemination funds are made available to assist charter schools in disseminating their effective innovations to other district schools. Grant funds may **not** supplant the regular operating budget of the charter school. All spending must be consistent with applicable state and federal regulations and guidelines.

Allowable expenditures must be directly related to project activities and may include, but are not limited to:

- a. Salary costs, stipends, or contractual services for direct project work.
 - a. Salary/contractual services for a project coordinator devoted directly to conducting the dissemination project. This may include “embedding” key charter school staff members at the designated partner school(s).
 - b. Stipends for work beyond regular duties for teachers at the charter school or the partner school(s) to participate in dissemination activities.
 - c. Stipends for business office staff for specific additional administrative work related to the grant.
 - d. Salary/contractual services for designing and conducting training and technical assistance activities for teachers in the partner schools.
 - e. Rates and number of hours must be provided for consultants and employee stipends and must be reasonable, justifiable, and accompanied by a clear scope of services and/or description of specific duties/activities.
- b. Travel costs to conduct dissemination activities.
- c. Consumable office supplies, printing and postage related directly to the dissemination project.
 - a. Planning, developing and distributing activity, awareness and/or recruitment materials.
- d. Other allowed expenditures:
 - a. Peer review process.
 - b. Website development (for dissemination grant-related activities only).
 - c. Conference attendance with the primary purpose of disseminating technical information.
- e. Indirect costs, not to exceed the state formulated rate.

Examples of non-allowable expenditures include, but are not limited to:

- a. Employee salaries that would otherwise be paid out of another fund source (e.g., 5% of the Executive Director's salary).
- b. Out-of-state travel expenses, unless compelling justification is provided that such travel is essential to achieve project goals.
- c. Purchase of technology, computer software or hardware if the item is not *directly* tied to a particular project that is proven to increase student achievement. For example, if a certain curriculum is only able to be implemented on a Smart Board, this is allowable, but purchasing a computer with no pertinence to the dissemination project would *not* be allowable.
- d. Marketing or recruitment activities to promote a contractor or programs offered by a contractor.
- e. Facility costs (renovations, utilities, installation of equipment not directly tied to project goals).

Mandatory Use of Grant Funds for Evaluation

An independent evaluation is required throughout the three-year grant period to assess the grantee's progress toward achieving the project's objectives. Each awardee must allocate a minimum of \$25,000 of grant funds for the purpose of contracting with an external evaluator to allow for evaluation of the project. The contracted independent evaluator may not be an employee of the charter school or the charter school's education corporation and may not be the primary grant writer of this proposal. NYSED will provide further guidance on conducting a high-quality evaluation.

Reporting Requirements

Grant recipients will be required to submit progress reports throughout the duration of the project period. These progress reports will report on implementation benchmarks and performance measures covering the previous year, an updated description of the upcoming year's activities, and an updated budget with narrative for the upcoming year. Further guidelines will be provided regarding the specifics of the progress reports.

Application Submission Instructions

Grant applications are due by electronic submission no later than 3:00 p.m. on March 18, 2016.

1. Applicants must submit *all* application materials via the NYSED Fluid Review portal at <https://nysed-cspdissem.fluidreview.com/>.
2. Go to <https://nysed-cspdissem.fluidreview.com/> and create an account by clicking "Sign Up" on the right hand side of the page. Once you have created an account, a confirmation e-mail will be sent. Go back to the portal using the URL included in the confirmation e-mail.
3. When asked to enter a name for the submission, please use the name of the applicant charter school. Click on "Get Started".
4. The tasks associated with submission of the application include:
 - Upload and submit the completed, signed application cover page
 - Upload and submit the completed application checklist
 - Upload and submit proof of workers' compensation coverage (optional)
 - Upload and submit proof of disability insurance coverage (optional)

- Upload and submit the proposal narrative
 - Upload and submit a completed year one FS-10 budget form
 - Upload and submit a completed three-year budget summary chart
 - Upload and submit the budget narrative
 - Upload and submit the priority school partnership agreement (if applicable)
 - Upload and submit M/WBE participation documentation
5. Click on a task to open, upload the required document, then submit it. Submissions may be previewed and downloaded.
 6. The Fluid Review portal will be available for logon and to view, edit, and delete application materials until **3:00 p.m. on March 18, 2016**.
 7. Applicants must complete all of the required tasks and **click on “Submit”** to have the entire application move forward for review.
 8. Applicant(s) will receive an e-mail from the portal to acknowledge receipt of their submission.

Other things for applicants to know:

- Upon sign-in, the lead applicant may edit basic school information by clicking on “Edit Information” to the right of the screen just under the blue banner.
- On the applicant task page, the lead applicant may grant access to other members of the applicant group. The lead applicant (known as the owner within the portal) may grant other members “read only” or “full access” by clicking on the “Add Members” to the right of the applicant task page. After the lead applicant has added other members by inputting member email addresses directly into the system, other members of the group may sign in at <https://nysed-cspdissem.fluidreview.com/>.
- Should you require technical support, please email support@fluidreview.com.

In addition to the electronic application submission, one (1) copy of all application documents must be postmarked by March 18, 2016, and mailed to:

New York State Education Department
 Charter School Office
 Room 5N EB Mezzanine
 89 Washington Avenue
 Albany, NY 12234
 Attn: Dissemination Grant

Standards and Page Limits

- A page is 8.5” x 11” (on one side only) with one-inch margins (top, bottom, and sides). Charts/tables are not required to adhere to this standard.
- Single space all text in the application narrative; double space between titles, headings, footnotes, quotations, references, and captions, as well as all text in charts, figures, and graphs.
- Use a Times Roman or Arial font in a 12-point size.

- *Information must be organized by the specific application narrative sections. The applicant should ensure that all pertinent information that should be considered by the reviewer in evaluating that area is included in the text that follows the specific heading.*
- See page limits on the Application Checklist.

Review and Rating of Applications

Applications received after the due date will not be reviewed. Each accepted application will be reviewed and rated by two reviewers according to the points indicated in the Scoring Evaluation Rubric (Attachment 5). Scores from each reviewer will be averaged to compute the final score. If there is a difference of more than 10 points between the two reviewer's scores, a third reviewer will review the application and the two closest scores will be averaged to compute the final score. In those instances where the third review falls equally between the initial two scores, the score of the third review will be used as the final score.

Budgets will be reviewed using the Scoring Evaluation Rubric. Only proposed expenditures that are consistent with the purposes and goals in the grant application will be funded. If any inappropriate and/or unallowable items are included in the budget, they will be deleted and the budget will be reduced accordingly.

An application must receive a final score of 60 or higher (including priority bonus points) to be considered for funding. After any adjustments to the budget for non-allowable or inappropriate expenditures, awards will be made in rank order until funding is exhausted. If funds remain after full funding of applications, the next ranked applicant will be given the opportunity to operate a smaller project using the remaining funds. In the event of a tie score, funds will be awarded to the applicant with the higher score in the Sections 1-7 of the Proposal Narrative.

Debriefing Procedures

All unsuccessful applicants may request a debriefing within five (5) business days of receiving notice from NYSED. Applicants may request a debriefing letter on the selection process regarding this RFP by submitting a written request to cdissem@nysed.gov.

NYSED will make arrangements with program staff to provide a written debriefing of the proposal's strengths and weaknesses, as well as recommendations for improvement. Within ten (10) business days of receipt of request, the program staff will issue a written debriefing letter to the applicant.

Contract Award Protest Procedures

Applicants who receive a notice of non-award may protest the NYSED award decision subject to the following:

1. The protest must be in writing and must contain specific factual and/or legal allegations setting forth the basis on which the protesting party challenges the contract award by NYSED.

2. The protest must be filed within ten (10) business days of receipt of a debriefing letter. The protest letter must be filed with:

NYS Education Department
Attention: Nell Brady, GC#GC16-008
Contract Administration Unit
89 Washington Avenue
Room 501W EB
Albany, NY 12234

3. The NYSED Contract Administration Unit (CAU) will convene a review team that will include at least one staff member from each of NYSED's Office of Counsel, CAU, and the Program Office. The review team will review and consider the merits of the protest and will decide whether the protest is approved or denied. Counsel's Office will provide the applicant with written notification of the review team's decision within seven (7) business days of the receipt of the protest. The original protest and decision will be filed with OSC when the contract procurement record is submitted for approval and CAU will advise OSC that a protest was filed.

4. The NYSED Contract Administration Unit (CAU) may summarily deny a protest that fails to contain specific factual or legal allegations, or where the protest only raises issues of law that have already been decided by the courts.

Registration in Federal System for Award Management (SAM)

In order to be awarded federal funds, an agency be registered (and then maintain a current registration) in the federal System for Award Management known as SAM (<http://www.sam.gov>). SAM is a government-wide, web-enabled database that collects, validates, stores and disseminates business information about organizations receiving federal funds. If not currently registered in SAM, the agency must register and provide information on a Payee Information Form (<http://www.oms.nysed.gov/cafe/forms/>) that must be submitted with the application.

Prequalification for Individual Applications

Pursuant to the New York State Division of Budget Bulletin H-1032, dated June 7, 2013, New York State has instituted key reform initiatives to the grant contract process which require not-for-profits to register in the Grants Gateway and complete the Vendor Prequalification process in order for proposals to be evaluated. Information on these initiatives can be found on the [Grants Reform Website](http://www.grantsreform.ny.gov/) (<http://www.grantsreform.ny.gov/>).

Proposals received from not-for-profit applicants that have not Registered and are not Prequalified in the Grants Gateway by 5:00 PM on the proposal due date of 03/11/16 cannot be evaluated. Such proposals will be disqualified from further consideration

Below is a summary of the steps that must be completed to meet registration and prequalification requirements. The [Vendor Prequalification Manual](http://www.grantsreform.ny.gov/sites/default/files/docs/VENDOR_POLICY_MANUAL_V.2_10.10.13.pdf) (http://www.grantsreform.ny.gov/sites/default/files/docs/VENDOR_POLICY_MANUAL_V.2_10.10.13.pdf) on the Grants Reform Website details the requirements and an [online tutorial](http://grantsreform.ny.gov/youtube) (<http://grantsreform.ny.gov/youtube>) are available to walk users through the process.

1) **Register for the Grants Gateway.**

- On the Grants Reform Website, download a copy of the [Registration Form for Administrator](http://grantsreform.ny.gov/sites/default/files/RegistrationFormforAdministratorfillable.pdf) (<http://grantsreform.ny.gov/sites/default/files/RegistrationFormforAdministratorfillable.pdf>). A signed, notarized original form must be sent to the Division of Budget at the address provided in the instructions. You will be provided with a Username and Password allowing you to access the Grants Gateway.
- If you have previously registered and do not know your Username please email grantsreform@budget.ny.gov. If you do not know your Password please click the [Forgot Password](#) (https://grantsgateway.ny.gov/IntelliGrants_NYSGG/PersonPassword2.aspx?Mode=Forgot) link from the main log in page and follow the prompts.

2) Complete your Prequalification Application.

- Log in to the [Grants Gateway](#) (https://grantsgateway.ny.gov/IntelliGrants_NYSGG/login2.aspx) **If this is your first time logging in**, you will be prompted to change your password at the bottom of your Profile page. Enter a new password and click SAVE.
- Click the *Organization(s)* link at the top of the page and complete the required fields including selecting the State agency you have the most grants with. This page should be completed in its entirety before you SAVE. A *Document Vault* link will become available near the top of the page. Click this link to access the main Document Vault page.
- Answer the questions in the *Required Forms* and upload *Required Documents*. This constitutes your Prequalification Application. Optional Documents are not required unless specified in this Request for Proposal.
- Specific questions about the prequalification process should be referred to your agency representative at prequal@nysed.gov or to the Grants Reform Team at grantsreform@budget.ny.gov.

3) Submit Your Prequalification Application

- After completing your Prequalification Application, click the **Submit Document Vault** Link located below the Required Documents section to submit your Prequalification Application for State agency review. Once submitted the status of the Document Vault will change to *In Review*.
- If your Prequalification reviewer has questions or requests changes you will receive email notification from the Gateway system.
- Once your Prequalification Application has been approved, you will receive a Gateway notification that you are now prequalified to do business with New York State.

Vendors are strongly encouraged to begin the process as soon as possible in order to participate in this opportunity.

Minority and Women-Owned Business Enterprise (M/WBE)

The following M/WBE requirements apply when an applicant submits an application for grant funding that exceeds \$25,000 for the full grant period.

All forms referenced here can be found in the M/WBE Documents section at the end of this RFP.

All applicants are required to comply with NYSED's Minority and Women-Owned Business Enterprises (M/WBE) policy. Compliance can be achieved by one of the three methods described below. Full participation by meeting or exceeding the M/WBE participation goal for this grant is the preferred method.

M/WBE participation includes services, materials, or supplies purchased from minority and women-owned firms certified with the NYS Division of Minority and Women Business Development. Not-for-profit agencies are not eligible for this certification. For additional information and a listing of currently certified M/WBEs, see

<https://ny.newnycontracts.com/FrontEnd/VendorSearchPublic.asp?TN=ny&XID=4687>

The M/WBE participation goal for this grant is 30% of each applicant's total discretionary non-personal service budget over the entire term of the grant. Discretionary non-personal service budget is defined as total budget, excluding the sum of funds budgeted for:

1. Direct personal services (i.e., professional and support staff salaries) and fringe benefits; and
2. Rent, lease, utilities and indirect costs, if these items are allowable expenditures.

For multi-year grants, applicants should use the total budget for the full multi-year term of the grants in the above calculation. The M/WBE Goal Calculation Worksheet is provided for use in calculating the dollar amount of the M/WBE goal for this grant application.

M/WBE participation does not need to be the same for each year of a multi-year grant.

All requested information and documentation should be provided at the time of submission. If this cannot be done, the applicant will have thirty days from the date of notice of award to submit the necessary documents and respond satisfactorily to any follow-up questions from the Department. Failure to do so may result in loss of funding.

METHODS TO COMPLY

An applicant can comply with NYSED's M/WBE policy by one of three methods:

1. Full Participation - This is the preferred method of compliance. Full participation is achieved when an applicant meets or exceeds the participation goals for this grant.

COMPLETE FORMS:

M/WBE Goal Calculation Worksheet
M/WBE Cover Letter
M/WBE 100 Utilization Plan
M/WBE 102 Notice of Intent to Participate

2. Partial Participation, Partial Request for Waiver - This is acceptable only if good faith efforts to achieve full participation are made and documented, but full participation is not possible.

COMPLETE FORMS:

M/WBE Goal Calculation Worksheet

M/WBE Cover Letter
M/WBE 100 Utilization Plan
M/WBE 101 Request for Waiver
M/WBE 102 Notice of Intent to Participate
M/WBE 105 Contractor's Good Faith Efforts

3. No Participation, Request for Complete Waiver - This is acceptable only if good faith efforts to achieve full or partial participation are made and documented, but do not result in any participation by M/WBE firm(s).

COMPLETE FORMS:

M/WBE Goal Calculation Worksheet
M/WBE Cover Letter
M/WBE 101 Request for Waiver
M/WBE 105 Contractor's Good Faith Efforts

GOOD FAITH EFFORTS

Applicants must make a good faith effort to solicit NYS certified M/WBE firms as subcontractors and/or suppliers to achieve the goals for this grant. Solicitations may include, but are not limited to: advertisements in minority and women-centered publications; solicitation of vendors found in the NYS Directory of Certified Minority and Women-Owned Business Enterprises (see <https://ny.newnycontracts.com/FrontEnd/VendorSearchPublic.asp?TN=ny&XID=4687>); and the solicitation of minority and women-oriented trade and labor organizations.

Good faith efforts include actions such as setting up meetings or announcements to make M/WBEs aware of supplier and subcontracting opportunities, identifying logical areas of the grant project that could be subcontracted to M/WBE firms, and utilizing all current lists of M/WBEs who are available for and may be interested in subcontracting or supplying goods for the project.

Applicants should document their efforts to comply with the stated M/WBE goals and submit this with their applications as evidence. Examples of acceptable documentation can be found in form M/WBE 105, Contractor's Good Faith Efforts. NYSED reserves the right to reject any application for failure to document "good faith efforts."

REQUEST FOR WAIVER

When full participation cannot be achieved, applicants must submit a Request for Waiver (M/WBE 101). Requests for Waivers must be accompanied by documentation explaining the good faith efforts made and reasons they were unsuccessful in obtaining M/WBE participation.

NYSED reserves the right to approve the addition or deletion of subcontractors or suppliers to enable applicants to comply with the M/WBE goals, provided such addition or deletion does not impact the technical proposal and/or increase the total budget.

All payments to Minority and Women-Owned Business Enterprise subcontractor(s) should be reported to the NYSED M/WBE Program Unit using the M/WBE 103 Quarterly M/WBE Compliance Report. This report should be submitted on a quarterly basis and can be found at www.oms.nysed.gov/fiscal/MWBE/forms.html.

NYSED's M/WBE Coordinator is available to assist applicants in meeting the M/WBE goals. The Coordinator can be reached at MWBE@nysed.gov.

Equal Employment Opportunity Reporting (EEO) Pursuant to Article 15-A of the New York State Executive Law

Applicants must complete and submit form EEO 100: Staffing Plan.

Vendor Responsibility

State law requires that the award of state contracts be made to responsible vendors. Before an award is made to a not-for-profit entity, a for-profit entity, a private college or university or a public entity not exempted by the Office of the State Comptroller, NYSED must make an affirmative responsibility determination. The factors to be considered include: legal authority to do business in New York State; integrity; capacity - both organizational and financial; and previous performance. Before an award of \$100,000 or greater can be made to a covered entity, the entity will be required to complete and submit a Vendor Responsibility Questionnaire. School districts, charter schools, BOCES, public colleges and universities, public libraries, and the Research Foundation for SUNY and CUNY are some of the exempt entities. For a complete list, see http://www.osc.state.ny.us/vendrep/resources_dcreq_agency.htm.

NYSED recommends that vendors file the required Vendor Responsibility Questionnaire online via the New York State VendRep System. To enroll in and use the New York State VendRep System, see the VendRep System Instructions available at http://www.osc.state.ny.us/vendrep/vendor_index.htm or go directly to the VendRep System online at <https://portal.osc.state.ny.us>.

Vendors must provide their New York State Vendor Identification Number when enrolling. To request assignment of a Vendor ID or for VendRep System assistance, contact the Office of the State Comptroller's Help Desk at 866-370-4672 or 518-408-4672 or by email at ITServiceDesk@osc.state.ny.us.

Vendors opting to complete and submit a paper questionnaire can obtain the appropriate questionnaire from the VendRep website www.osc.state.ny.us/vendrep or may contact NYSED or the Office of the State Comptroller's Help Desk for a copy of the paper form.

Subcontractors

For applicants using subcontractors, a Vendor Responsibility Questionnaire and a NYSED vendor responsibility review are required for a subcontractor where:

- the subcontractor is known at the time of the contract award;
- the subcontractor is not an entity that is exempt from reporting by OSC; and
- the subcontract will equal or exceed \$100,000 over the life of the contract.

State Contracts for Charter School Program Awards

Dissemination grant awards to charter schools will be made through a grant contract process. Once the contract has been finalized, payments will be made using NYSED's FS-10 budget process. Payments will be based on budgets submitted by successful applicants.

The FS-10 budget submitted with this application is for only the funds requested for the first year of this project. The proposed budget will be reviewed for appropriate expenditures and will be adjusted for any items deemed to be non-allowable or inappropriate. Another FS-10 will be required for each subsequent year. Each FS-10 will cover a maximum period of up to 12 months. The FS-10 budget forms, descriptions of budget categories, related forms and guidelines are available at <http://www.oms.nysed.gov/cafe>.

The FS-10 budget form must be signed by the chief administrative officer of the charter school (e.g., principal, director). Applications signed by any other person will be automatically disqualified.

State law requires that the award of state contracts be made to responsible vendors. NYSED must make an affirmative responsibility determination before an award is made. The factors to be considered include: legal authority to do business in New York State; integrity; organizational and financial capacity; and previous performance. Before an award exceeding \$100,000 can be made, the potential grantee must complete a Vendor Responsibility Questionnaire. Applicants selected for an award who must complete the questionnaire will receive it with the State contract or grant contract.

Award Recipient's Fiscal Responsibilities

Projects must operate under the jurisdiction of the school's charter and the board of trustees, and are subject to at least the same degree of accountability as all other expenditures of the charter school. The board of trustees is responsible for the proper disbursement of and accounting for project funds. Written agency policy concerning wages, mileage and travel allowances, overtime compensation, or fringe benefits, as well as State rules pertaining to competitive bidding, safety regulations, and inventory control must be followed. Supporting or source documents must be on file for all project related transactions entered into the charter school's recordkeeping system. Source documents that authorize the disbursement of grant funds consist of purchase orders, contracts, time & effort records, delivery receipts, vendor invoices, travel documentation and payment documents, including check stubs.

Supporting documentation for contracts and grant contracts must be kept on file by the charter school for at least six years after the last payment is made unless otherwise specified by program requirements. Additionally, audit or litigation will "freeze the clock" for records retention purposes until the issue is resolved. All records and documentation must be available for inspection by State Education Department officials or its representatives.

Project Monitoring

The State Education Department is responsible for monitoring the activities of the award recipients to ensure that federal funds are used for authorized purposes in compliance with the federal program laws, regulations and grant agreements, and that performance goals are achieved. Monitoring can include document reviews, onsite visits, telephone calls and other activities. Award recipients expending \$750,000 or more in federal funds during their fiscal year must have an audit performed in accordance with the U.S. Office of Management and Budget Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations. All award recipients are required to provide State Education Department staff and state auditors with access to records and financial statements as necessary to perform their monitoring responsibilities.

Workers' Compensation Coverage and Debarment

New York State Workers' Compensation Law (WCL) has specific coverage requirements for businesses contracting with New York State and additional requirements which provide for the debarment of vendors that violate certain sections of WCL. The WCL requires, and has required since introduction of the law in 1922, the heads of all municipal and State entities to ensure that businesses have appropriate workers' compensation and disability benefits insurance coverage *prior* to issuing any permits or licenses, or *prior* to entering into contracts.

Workers' compensation requirements are covered by WCL Section 57, while disability benefits are covered by WCL Section 220(8). The Workers' Compensation Benefits clause in Appendix A – STANDARD CLAUSES FOR NEW YORK STATE CONTRACTS states that in accordance with Section 142 of the State Finance Law, a contract shall be void and of no force and effect unless the contractor provides and maintains coverage during the life of the contract for the benefit of such employees as are required to be covered by the provisions of the WCL.

Under provisions of the 2007 Workers' Compensation Reform Legislation (WCL Section 141-b), any person, or entity substantially owned by that person: subject to a final assessment of civil fines or penalties, subject to a stop-work order, or convicted of a misdemeanor for violation of Workers' Compensation laws Section 52 or 131, is barred from bidding on, or being awarded, any public work contract or subcontract with the State, any municipal corporation or public body for one year for each violation. The ban is five years for each felony conviction.

PROOF OF COVERAGE REQUIREMENTS

The Workers' Compensation Board has developed several forms to assist State contracting entities in ensuring that businesses have the appropriate workers' compensation and disability insurance coverage as required by Sections 57 and 220(8) of the WCL.

Please note – an ACORD form is not acceptable proof of New York State workers' compensation or disability benefits insurance coverage.

Proof of Workers' Compensation Coverage

To comply with coverage provisions of the WCL, the Workers' Compensation Board requires that a business seeking to enter into a State contract submit appropriate proof of coverage to the State contracting entity issuing the contract. For each new contract or contract renewal, the contracting entity must obtain ONE of the following forms from the contractor and submit to OSC to prove the contractor has appropriate workers' compensation insurance coverage:

- **Form C-105.2** – Certificate of Workers' Compensation Insurance issued by private insurance carriers, or **Form U-26.3** issued by the State Insurance Fund; or
- **Form SI-12**– Certificate of Workers' Compensation Self-Insurance; or **Form GSI-105.2** Certificate of Participation in Workers' Compensation Group Self-Insurance; or
- **CE-200**– Certificate of Attestation of Exemption from NYS Workers' Compensation and/or Disability Benefits Coverage.

Proof of Disability Benefits Coverage To comply with coverage provisions of the WCL regarding disability benefits, the Workers' Compensation Board requires that a business seeking to enter into a

State contract must submit appropriate proof of coverage to the State contracting entity issuing the contract. For each new contract or contract renewal, the contracting entity must obtain ONE of the following forms from the contractor and submit to OSC to prove the contractor has appropriate disability benefits insurance coverage:

- **Form DB-120.1** - Certificate of Disability Benefits Insurance; or
- **Form DB-155**- Certificate of Disability Benefits Self-Insurance; or
- **CE-200**– Certificate of Attestation of Exemption from New York State Workers’ Compensation and/or Disability Benefits Coverage.

For additional information regarding workers’ compensation and disability benefits requirements, please refer to the New York State Workers’ Compensation Board website at:

<http://www.wcb.ny.gov/content/main/Employers/Employers.jsp>

Contract Terms and Conditions

Individual awards issued under this grant RFP will require that the awardee enter into a grant contract, the form of which is contained in an attachment to this RFP. In addition to being signed by the awardee and NYSED Counsel, the contract will need to be submitted for review and approval by the NYS Attorney General and the Office of the State Comptroller. All provisions of this RFP are subordinate to the terms and conditions of the grant contract. The contents of this RFP, any subsequent correspondence related to final contract negotiations, and such other stipulations as agreed upon may be made a part of the final contract developed by NYSED.

NYSED’s Reservation of Rights

NYSED reserves the right to: (1) reject any or all proposals received in response to the RFP; (2) withdraw the RFP at any time, at the agency’s sole discretion; (3) make an award under the RFP in whole or in part; (4) disqualify any bidder whose conduct and/or proposal fails to conform to the requirements of the RFP; (5) seek clarifications of proposals; (6) use proposal information obtained through site visits, management interviews and the state’s investigation of a bidder’s qualifications, experience, ability or financial standing, and any material or information submitted by the bidder in response to the agency’s request for clarifying information in the course of evaluation and/or selection under the RFP; (7) prior to the bid opening, amend the RFP specifications to correct errors or oversights, or to supply additional information, as it becomes available; (8) prior to the bid opening, direct bidders to submit proposal modifications addressing subsequent RFP amendments; (9) change any of the scheduled dates; (10) waive any requirements that are not material; (11) negotiate with the successful bidder within the scope of the RFP in the best interests of the state; (12) conduct contract negotiations with the next responsible bidder, should the agency be unsuccessful in negotiating with the selected bidder; (13) utilize any and all ideas submitted in the proposals received; (14) unless otherwise specified in the solicitation, every offer is firm and not revocable for a period of 90 days from the bid opening; (15) require clarification at any time during the procurement process and/or require correction of arithmetic or other apparent errors for the purpose of assuring a full and complete understanding of an offerer’s proposal and/or to determine an offerer’s compliance with the requirements of the solicitation; (16) request best and final offers.

**The University of the State of New York
THE STATE EDUCATION DEPARTMENT
Albany, NY 12234**

2016-2019 Charter School Dissemination Grant Program

Application Cover Page

NYSED BEDS Code

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Name of Applicant Agency	
Address	
City	County
Zip Code	
Contact Person	Telephone ()
E-Mail Address	
<p>I hereby certify that I am the applicant’s chief school/administrative officer and that the information contained in this application is, to the best of my knowledge, complete and accurate. I further certify, to the best of my knowledge, that any ensuing program and activity will be conducted in accordance with all applicable Federal and State laws and regulations, application guidelines and instructions, Assurances, Certifications, the terms and conditions outlined in the Master Grant Contract and that the requested budget amounts are necessary for the implementation of this project. It is understood by the applicant that this application constitutes an offer and, if accepted by the NYS Education Department or renegotiated to acceptance, will form a binding agreement. It is also understood by the applicant that immediate written notice will be provided to the grant program office if at any time the applicant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.</p>	
Authorized Signature (in blue ink)	Title of Chief School/Administrative Officer
Typed Name:	Date:

**2016-2019 New York State Charter School Dissemination Grant Program
Application Checklist**

Applicant Name _____

Required Documents	Checked - Applicant	Checked - NYSED	
Application Cover Page (with original signatures in blue ink)	<input type="checkbox"/>	<input type="checkbox"/>	
Application Checklist	<input type="checkbox"/>	<input type="checkbox"/>	
Worker's Compensation Documentation (encouraged)	<input type="checkbox"/>	<input type="checkbox"/>	
Disability Benefits Documentation (encouraged)	<input type="checkbox"/>	<input type="checkbox"/>	
Is the applicant prequalified? (While no documentation is required with the application, the applicant must be prequalified in order to apply for this grant.)	<input type="checkbox"/>	<input type="checkbox"/>	
Part I:			
Section 1 of Proposal Narrative (no more than two pages)	<input type="checkbox"/>	<input type="checkbox"/>	
Section 2 of Proposal Narrative (no more than two pages)	<input type="checkbox"/>	<input type="checkbox"/>	
Sections 3 -7 of Proposal Narrative (no more than nine pages)	<input type="checkbox"/>	<input type="checkbox"/>	
Section 8 of Proposal Narrative (no more than two pages)	<input type="checkbox"/>	<input type="checkbox"/>	
Part II:			
FS-10 Budget (September 1, 2016 to August 31, 2017)	<input type="checkbox"/>	<input type="checkbox"/>	
Three Year Budget Summary Chart	<input type="checkbox"/>	<input type="checkbox"/>	
Three Year Budget Narrative	<input type="checkbox"/>	<input type="checkbox"/>	
Priority School Partnership Agreement (if applicable)	<input type="checkbox"/>	<input type="checkbox"/>	
M/WBE Documents Package (containing original signatures)			
<input type="checkbox"/> Full Participation <input type="checkbox"/> Request Partial Waiver <input type="checkbox"/> Request Total Waiver			
Type of Form	Full Participation	Request Partial Waiver	Request Total Waiver
M/WBE Cover Letter	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
M/WBE 100 Utilization Plan	<input type="checkbox"/>	<input type="checkbox"/>	N/A
M/WBE 102 Notice of Intent to Participate	<input type="checkbox"/>	<input type="checkbox"/>	N/A
EEO 100 Staffing Plan and Instructions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
M/WBE 105 Contractor's Good Faith Efforts	N/A	<input type="checkbox"/>	<input type="checkbox"/>
M/WBE 101 Request for Waiver Form and Instructions	N/A	<input type="checkbox"/>	<input type="checkbox"/>
SED Comments:			
Has the applicant submitted all of the documents listed above? <input type="checkbox"/> Yes <input type="checkbox"/> No			
Reviewer: _____		Date: _____	

Part I

Eligibility (No Points)

Note: Proposals from applicants that do not meet the qualifying experience requirements will be disqualified. Applicants will be notified of such in writing.

An eligible charter school is one that is in at least its third year of operation and in “Good Standing” or “Reward” status under the ESEA accountability designations for 2015-2016. Schools in Good Standing and Reward Schools lists are available at

<http://www.p12.nysed.gov/accountability/ESEADesignations.html>.

Proposal Narrative (80 Points)

Applicants must complete all sections of the Proposal Narrative below.

1. Demonstration of Overall School Success (15 points)

If a school’s percentage of students scoring Level 3 or above on the New York State Grade 3-8 ELA and mathematics assessments meets or exceeds the New York State mean as compared to tested grade levels in the 2014-2015 school year, it will automatically receive a score of “exceeds.” Additionally, charter high schools whose 2010 cohort outcomes for both ELA and mathematics exceed the statewide charter school average of 11 percentage points above the state average, it will automatically receive a score of “exceeds.” These schools, defined as Substantial Progress Schools, are listed in Attachment 1. ***Schools identified on this list are not required to submit additional evidence of overall success.*** If the applicant school’s name appears on this list, skip this section of the Proposal Narrative and move to section 2.

a. Provide evidence of substantial progress in improving student academic achievement, particularly for at-risk students¹. (10 points)

This can be accomplished with scores and/or interpretive narratives regarding the results of the New York State grades 3-8 ELA and mathematics assessments or the New York State Regents Examinations. Absent such evidence, provide alternative evidence showing that the applicant charter school has made substantial progress in student academic achievement on other valid and reliable measures. For example:

- students’ academic achievement at the charter school exceeds the performance outcomes of other schools statewide or at the national level; or
- more than 50% of tested students progressed from the prior year’s grade 3-8 ELA and mathematics outcomes - from level 1 to level 2, level 2 to level 3, level 3 to level 4, or remained at level 4; or
- more than 30% of tested students scored at level 4 or higher on the Regents English assessment; and more than 20% of tested students scored at level 4 or higher on a Regents Mathematics assessment (high school).

¹ At-risk students are defined as: English language learners, students receiving special education services, and/or those that are eligible for free or reduced price lunch.

- b. Provide evidence that the applicant charter school has the management and leadership necessary to overcome initial start-up problems and establish a thriving, financially viable charter school. (5 points)**

Submit excerpts of statements and/or reports from external entities, such as the applicant's authorizer or independent auditor, that demonstrate at least two of the following:

- Progress toward meeting the school's student learning goals
- Use of data analysis for instructional improvement
- School leadership development
- Effective and efficient school operations management
- Effective and responsible fiscal management

2. Program Description (15 points)

Provide an overview of the proposed dissemination project, including:

- A description of what will be shared with the district school(s) and documented results that show evidence of the program's prior success in the charter school;
- How the charter school will develop a successful partnership with the district school(s) and assist the district school(s) in adapting the charter school's program;
- How the dissemination activities will result in increased student academic achievement in the district school(s) and the way in which the increase in student academic achievement will be documented.

3. Program Activities (10 points)

- Describe the **specific** activities (for example, training, staff development activities, technical assistance, web-based strategies) the charter school will conduct to enable the district school(s) to implement the program;
- Identify the Common Core learning standards to be addressed and describe how the activities are aligned with the learning standards and are supported by research.

4. Demonstrated Need or Demand (10 points)

- Identify specific district school partners, if known, and provide evidence that there is a demonstrated need or demand for the specific products and/or services that would be provided through the proposed grant activities.

5. Organizational Capacity (10 points)

- Provide evidence that the charter school has the organizational capacity to successfully manage and complete the proposed project;
- Identify and address the capacity of staff and/or potential contractors who will be working on and overseeing the grant project.

6. Action Plan (10 points)

Using the format in Attachment 2, provide a detailed action plan for the completion of proposed activities necessary to accomplish each measurable objective and meet performance indicators, including a chronological timeline for the three year project time frame.

7. Evaluation (5 points)

Each awardee must allocate a minimum of \$25,000 of grant funds to allow for evaluation of the project by an external evaluator throughout the three-year project period. Present an evaluation plan that is ongoing throughout the entire grant and provides quality improvement throughout the grant period

8. Sustainability (5 points)

Describe a plan for sustaining programmatic activities beyond the period of dissemination funding, including which activities can be sustained after grant funds are no longer available and how they can be sustained (e.g., specific funding sources).

Part II

Budget (20 Points)

The applicant must complete three documents: an FS-10 budget form for the first period of the project (September 1, 2016 - August 31, 2017), a three-year budget summary chart (see Attachment 4) and a three-year budget narrative.

1. The FS-10 budget form is available at <http://www.oms.nysed.gov/cafe/forms/>. General information regarding the financial management of State and federal grants is available at <http://www.oms.nysed.gov/cafe/guidance/>.
2. Please see Attachment 4 for the three-year budget summary chart, which details line-by-line expenses for each year of the project.
3. The budget narrative will indicate how the proposed expenses of the project are reasonable and necessary to achieve project goals and objectives. The applicant must clearly indicate how these funds will supplement and not supplant any services currently provided. The budget narrative should include sufficient detail to allow reviewers to understand what the funds will be used for and the relationship between the proposed expenditures and project activities and goals. The totals in the Budget Narrative must correspond to the amounts shown on the FS-10 and the three year budget summary chart.

The submitted budget components will be reviewed and scored on their appropriateness and completeness. If any inappropriate and/or unallowable items are included in the budget, they will be deleted and the budget will be scored accordingly.

Partnership With Priority School(s) (5 Bonus Points)

Competitive priority will be given to applicants that identify a partner district school that is designated as a priority school for the 2015-16 school year, listed at <http://www.p12.nysed.gov/accountability/ESEADesignations.html>. To be given competitive priority, a

partnership agreement outlining the responsibilities of the charter school applicant and the partner priority school must be signed by representatives of the applicant school and the priority school. A sample Partnership Agreement is provided in Attachment 3 that may be used as a guide to develop a customized agreement.

Failure to maintain the partnership throughout the three year timeframe of the grant may result in termination of the grant.

Attachment 1

Substantial Progress Schools

Academic Leadership Charter School	Icahn Charter School 1
Academy Charter School	Icahn Charter School 2
Achievement First Bushwick Charter School	Icahn Charter School 4
Achievement First Crown Heights Charter School	Icahn Charter School 5
Achievement First E NY Charter School	Icahn Charter School 6
Achievement First Endeavor Charter School	Icahn Charter School 7
Amber Charter School	KIPP Academy Charter School
Beginning With Children Charter II	KIPP Amp Charter School
Bronx Charter School for Better Learning	KIPP Infinity Charter School
Bronx Charter School for Excellence	KIPP STAR College Prep Charter School
Bronx Charter School for the Arts	Leadership Prep Bedford Stuyvesant Charter School
Bronx Prep Charter School	Leadership Prep Brownsville Charter School
Brooklyn Prospect Charter School	Leadership Prep Ocean Hill Charter School
Central Queens Academy Charter School	Middle Village Prep Charter School
Challenge Preparatory Charter School	Mott Haven Charter School
Charter School For Applied Technologies	Neighborhood Charter School of Harlem
Charter School of Educational Excellence	Our World Neighborhood Charter School
Children's Aid College Prep Charter School	Riverton Street Charter School
Community Roots Charter School	South Bronx Classical Charter School
Democracy Prep Charter School	Success Academy Charter School - Bedford Stuyvesant 1
Elmwood Village Charter School	Success Academy Charter School - Bedford Stuyvesant 2
Evergreen Charter School	Success Academy Charter School - Bronx 1
Excellence Boys Charter School of Bed Stuy	Success Academy Charter School - Bronx 2
Excellence Girls Charter School	Success Academy Charter School - Cobble Hill
Family Life Academy Charter School II	Success Academy Charter School - Harlem 1
Genesee Community Charter School	Success Academy Charter School - Harlem 2
Girls Prep Charter School - New York	Success Academy Charter School - Harlem 3
Grand Concourse Academy Charter School	Success Academy Charter School - Harlem 4
Growing Up Green Charter School	Success Academy Charter School - Harlem 5
Harbor Science & Arts Charter School	Success Academy Charter School - Upper West
Harlem Village Academy Charter School	Success Academy Charter School - Williamsburg
Harlem Village Academy Leadership Charter School	University Prep Charter High School
Hebrew Language Academy Charter School	Voice Charter School Of New York
Hellenic Classical Charter School	Williamsburg Collegiate Charter School

Attachment 2

Statement of Goals, Objectives, Activities, and Performance Indicators

Complete this form for each goal of the program. Each goal must address a need, be accompanied by measurable objectives, planned activities, a timeline to accomplish those objectives and performance indicators and measures for each. Duplicate as needed. Limit is one page per goal.

Goal Statement: _____

Measurable Objective	Program Activities	Completion Timeline	Performance Indicators

Attachment 3

Partnership Agreement Template

_____ and _____
(Name of Charter School Applicant) (Name(s) of Partnering District Priority School(s))

agree to assume and perform the following roles and responsibilities in the administration of the Charter School Dissemination Grant program during the 2016-2017 school year. The goal of this program is to support the dissemination of effective practices and programs that have been developed, tested, and proven successful in New York State charter schools.

Responsibilities of the Charter School

1. Manage the day-to-day operations of the dissemination grant program and notify the district school of any problems, issues, and concerns in a timely fashion.
2. Communicate and provide information to the district school about the dissemination grant program through regularly scheduled meetings or other channels.
3. Provide on-going opportunities for charter school and district school staff to provide input in planning and coordination of dissemination activities.
4. **Add additional clauses as necessary to describe additional project responsibilities shared by the school and partnering agency.**

Responsibilities of the Partnering District Priority School(s)

1. Attend scheduled meetings and otherwise communicate and provide information to the charter school regarding dissemination activities.
2. Ensure that the school principal or a designee will participate in the dissemination grant program and/or select a staff person to be responsible for the program.
3. Allow access to the school, if necessary, by consultants retained by the charter school specifically for dissemination grant activities.
4. Recruit staff to participate in dissemination grant activities, make staff available for professional development opportunities, arrange for appropriate substitute coverage and ensure participation.
5. Work cooperatively with the evaluation component of the dissemination grant program.
6. **Add additional clauses as necessary to describe additional project responsibilities of the partnering agency.**

Agreed on this day, _____, by (Month/Day/Year)	
_____ (Name of Charter School)	_____ (Signature of Chair, Board of Trustees)
_____ (Names of School District and Priority School)	_____ (Signature of School Principal)

Attachment 4

Agency Name								
Year 1 (September 1, 2016 - August 31, 2017)			Year 2 (September 1, 2017 - August 31, 2018)			Year 3 (September 1, 2018 – July 31, 2019)		
Categories	Code	Costs	Categories	Code	Costs	Categories	Code	Costs
Professional Salaries	15		Professional Salaries	15		Professional Salaries	15	
Support Staff Salaries	16		Support Staff Salaries	16		Support Staff Salaries	16	
Purchased Services	40		Purchased Services	40		Purchased Services	40	
Supplies and Materials	45		Supplies and Materials	45		Supplies and Materials	45	
Travel Expenses	46		Travel Expenses	46		Travel Expenses	46	
Employee Benefits	80		Employee Benefits	80		Employee Benefits	80	
Indirect Cost (IC)	90		Indirect Cost (IC)	90		Indirect Cost (IC)	90	
BOCES Service	49		BOCES Service	49		BOCES Service	49	
Minor Remodeling	30		Minor Remodeling	30		Minor Remodeling	30	
Equipment	20		Equipment	20		Equipment	20	
Total			Total			Total		

TOTAL Project Period (September 1, 2016 - July 31, 2019)		
Categories	Code	Costs
Professional Salaries	15	
Support Staff Salaries	16	
Purchased Services	40	
Supplies and Materials	45	
Travel Expenses	46	
Employee Benefits	80	
Indirect Cost (IC)	90	
BOCES Service	49	
Minor Remodeling	30	
Equipment	20	
Total		

Attachment 5

**2016-2019 New York State Charter Schools Dissemination Program Application
Scoring Evaluation Rubric**

Rating Guidelines:

- Exceeds -** The response reflects a thorough understanding of key issues and indicates capacity to effectively disseminate best practices. It provides specific and accurate information that shows thorough preparation and details, and presents a clear, realistic picture of the project.

- Meets -** The response reflects general but sufficient detail. The applicant provides adequate information as to how the criteria are met, but some areas are not fully explained and/or questions remain. The response contains many of the characteristics of a response that excels, but may require additional specificity, support, or elaboration in places.

- Approaches -** The response addresses most of the selection criteria, but lacks meaningful detail and requires important additional information in order to be reasonably comprehensive.

- Inadequate -** The response does not meet the criteria; the response lacks meaningful detail, demonstrates lack of preparation, provides information that requires substantial clarification as to how the criteria are met, or otherwise raises substantial concerns about the applicant’s ability to meet the requirement in practice.

Point Allocation		
Total Available	5 points	10 points
Exceeds	5	10
Meets	3	7
Approaches	1	4
Inadequate	0	0

Applicant:	Total Score:
	Reviewer Initials:

Proposal Narrative (80 Points)

1. Demonstration of Overall School Success (15 points)

Schools listed in Attachment 1 automatically receive a score of “exceeds”.

a. Evidence of substantial progress in improving student academic achievement (10 points)

A response that meets the standard for this section:

- Provides evidence of substantial progress in improving academic achievement in all groups (5 points).
- Provides evidence of substantial progress in improving academic achievement of **at-risk** students (5 points).

b. Evidence of Management and Leadership (5 points)

A response that meets the standard provides excerpts of statements and/or reports from external entities, such as the applicant’s authorizer or independent auditor, that demonstrate at least two of the following:

- Progress toward meeting the school’s student learning goals
- Use of data analysis for instructional improvement
- School leadership development
- Effective and efficient school operations management
- Effective and responsible fiscal management

2. Program Description (15 points)

A response that meets the standard for this section:

- Provides a clear, concise description of the services/products to be shared with the district school(s) and documented results that show evidence of the services/products prior success in the charter school (5 points);
- Provides a clear, concise explanation of how the charter school will develop a successful partnership with the district school(s) and assist the district school(s) in adapting the charter school’s program (5 points);
- Provides specific, quantitative project goals for student achievement in the district school and describes the way in which achievement will be documented (5 points)

3. Program Activities (10 points)

A response that meets the standard for this section:

- Provides a description of the **specific** activities to be performed within the project and supported by grant funds (5 points);
- Identifies the Common Core learning standards to be addressed and describes how the activities are aligned with the learning standards and are supported by research (5 points).

4. Demonstrated Need or Demand (10 points)

A response that meets the standard for this section provides compelling evidence, using real-life examples, of need or demand in district school(s) for the products/services that would be provided through the proposed grant activities.

5. Organizational Capacity (10 points)

A response that meets the standard for this section:

- Provides clear evidence that the charter school has the organizational capacity to successfully manage and complete the proposed project (5 points);
- Provides clear evidence that staff and/or potential contractors have the capacity to work on and overseeing the grant project (5 points).

6. Action Plan (10 points)

A response that meets the standard for this section:

- Clearly defines major activities, objectives and performance indicators (5 points);
- Provides clear timelines (5 points).

7. Evaluation (5 points)

A response that meets the standard for this section provides a clear description of an evaluation plan that is ongoing throughout the entire grant and provides quality improvement throughout the grant period (5 points).

8. Sustainability (5 points)

A response that meets the standard for this section describes a plan for sustaining programmatic activities beyond the period of disseminating funds. The plan should indicate specifically which activities can be financially sustained after grant funds are no longer available and how they can be sustained (e.g., specific funding source).

9. Budget (20 points)

The applicant must complete three documents: an FS-10 budget form for the first period of the project (September 1, 2016 - August 31, 2017), a three-year budget summary chart and a three-year budget narrative.

Budgets documents that meet the standard for this section will demonstrate that:

- Proposed expenditures are as detailed as practicable and aligned with the proposal narrative (10 points);
- Proposed expenditures are reasonable and necessary to achieve program goals and objectives (5 points);
- Grant funds will support supplemental activities and not supplant local, State and other federal funds (10 points).

Partnership With Priority School(s) (5 Points)

An application will receive 5 bonus points if it includes a document labeled “partnership agreement” that is signed by a representative of the applicant charter school and the principal of a priority school (or principals of priority schools, if applicable). The district school(s) are on the 2015-16 priority school list.

Assurances for Federal Discretionary Program Funds

The following Assurances and Terms and Conditions are a component of your application. **By signing the certification on the application cover page you are ensuring accountability and compliance with State and federal laws, regulations, and grants management requirements.**

Charter School Program Assurances

Charter School Program Terms and Conditions

Federal Assurances and Certifications, General:

- Assurances – Non-Construction Programs
- Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters
- Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – Lower Tier Covered Transactions
- General Education Provisions Act Assurances

Federal Assurances and Certifications, NCLB:

The following are required as a condition for receiving any federal funds under the Elementary and Secondary Education Act, as amended by the No Child Left Behind Act of 2001.

- NCLB Assurances
- School Prayer Certification

Charter School Program Assurances

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

1. Assures that this charter school will annually provide the Secretary of Education and the State Education Department with such information as may be required to determine if this charter school is making satisfactory progress toward achieving its stated objectives.
2. Assures that this charter school will cooperate with the Secretary of Education and the State Education Department in evaluating the program assisted by the funds awarded under this program.

Charter School Program Terms and Conditions

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

1. Attests to full compliance with all of the requirements of the Public Charter Schools Program, Article 56 of the New York State Education Law, all other applicable laws and regulations, and all charter provisions, and that all such programs and activities will be allowable under this part.

2. Fully understands that if any of the information contained herein is found to be deliberately misrepresented, or if the charter school fails to adhere to any of these assurances, that may be grounds for any one or all of the following: the termination of this grant award; the repayment of any monies that may have been awarded; and/or the revocation of the charter.

ASSURANCES - NON-CONSTRUCTION PROGRAMS

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

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

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

8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328), which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§ 276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §§874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction sub agreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.), which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, Audits of States, Local Governments, and Non-Profit Organizations.
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

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

**CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER
RESPONSIBILITY MATTERS**

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of the Application Cover Page provides for compliance with certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying," and 34 CFR Part 85, "Government-wide Debarment and Suspension (Nonprocurement)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Education determines to award the covered transaction, grant, or cooperative agreement.

1. LOBBYING

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions; and

(c) The undersigned shall require that the language of this certification be included in the award documents for all 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

As required by Executive Order 12549, Debarment and Suspension, and implemented at 34 CFR Part 85, for prospective participants in primary covered transactions, as defined at 34 CFR Part 85, Sections 85.105 and 85.110--

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 or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(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 enumerated in paragraph (2)(b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transaction (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

ED 80-0013, as amended by the New York State Education Department

CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION — LOWER TIER COVERED TRANSACTIONS

This certification is required by the Department of Education regulations implementing Executive Order 12549, Debarment and Suspension, 34 CFR Part 85, for all lower tier transactions meeting the threshold and tier requirements stated at Section 85.110.

Instructions for Certification

1. By signing the Application Cover Page, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to whom this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms “covered transaction,” “debarred,” “suspended,” “ineligible,” “lower tier covered transaction,” “participant,” “person,” “primary covered transaction,” “principal,” “proposal,” and “voluntarily excluded,” as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled “Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion-Lower Tier Covered Transactions,” without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

Certification

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

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

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

**NEW YORK STATE DEPARTMENT OF EDUCATION
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. These assurances are not applicable to certain programs, such as the No Child Left Behind Act. If you have any questions, please contact NYSED.

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

- (1) that the local educational agency will administer each program covered by the application in accordance with all applicable statutes, regulations, program plans, and applications;
- (2) that the control of funds provided to the local educational agency under each program, and title to property acquired with those funds, will be in a public agency and that a public agency will administer those funds and property;
- (3) that the local educational agency will use fiscal control and fund accounting procedures that will ensure proper disbursement of, and accounting for, Federal funds paid to that agency under each program;
- (4) that the local educational agency will make reports to the State agency or board and to the Secretary as may reasonably be necessary to enable the State agency or board and the Secretary to perform their duties and that the local educational agency will maintain such records, including the records required under section [1232f](#) of this title, and provide access to those records, as the State agency or board or the Secretary deem necessary to perform their duties;
- (5) that the local educational agency will provide reasonable opportunities for the participation by teachers, parents, and other interested agencies, organizations, and individuals in the planning for and operation of each program;
- (6) that any application, evaluation, periodic program plan or report relating to each program will be made readily available to parents and other members of the general public;
- (7) that in the case of any project involving construction –
 - (A) the project is not inconsistent with overall State plans for the construction of school facilities, and
 - (B) in developing plans for construction, due consideration will be given to excellence of architecture and design and to compliance with standards prescribed by the Secretary under section [794](#) of title [29](#) in order to ensure that facilities constructed with the use of Federal funds are accessible to and usable by individuals with disabilities;
- (8) that the local educational agency has adopted effective procedures for acquiring and disseminating to teachers and administrators participating in each program significant information from educational research, demonstrations, and similar projects, and for adopting, where appropriate, promising educational practices developed through such projects; and
- (9) that none of the funds expended under any applicable program will be used to acquire equipment (including computer software) in any instance in which such acquisition results in a direct financial benefit to any organization representing the interests of the purchasing entity or its employees or any affiliate of such an organization.

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

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

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

- (1) each such program will be administered in accordance with all applicable statutes, regulations, program plans, and applications;
- (2) (A) the control of funds provided under each such program and title to property acquired with program funds will be in a public agency or in a nonprofit private agency, institution, organization, or Indian tribe, if the law authorizing the program provides for assistance to those entities; and
(B) the public agency, nonprofit private agency, institution, or organization, or Indian tribe will administer the funds and property to the extent required by the authorizing statutes;
- (3) the applicant will adopt and use proper methods of administering each such program, including—
 - (A) the enforcement of any obligations imposed by law on agencies, institutions, organizations, and other recipients responsible for carrying out each program; and
 - (B) the correction of deficiencies in program operations that are identified through audits, monitoring, or evaluation;
- (4) the applicant will cooperate in carrying out any evaluation of each such program conducted by or for the State educational agency, the Secretary, or other Federal officials;
- (5) the applicant will use such fiscal control and fund accounting procedures as will ensure proper disbursement of, and accounting for, Federal funds paid to the applicant under each such program;
- (6) the applicant will—
 - (A) submit such reports to the State educational agency (which shall make the reports available to the Governor) and the Secretary as the State educational agency and Secretary may require to enable the State educational agency and the Secretary to perform their duties under each such program; and
 - (B) maintain such records, provide such information, and afford such access to the records as the State educational agency (after consultation with the Governor) or the Secretary may reasonably require to carry out the State educational agency's or the Secretary's duties;
- (7) before the application was submitted, the applicant afforded a reasonable opportunity for public comment on the application and considered such comment;
- (8) the applicant has consulted with teachers, school administrators, parents, nonpublic school representatives and others in the development of the application to the extent required for the applicant under the program pursuant to the applicable provisions of the No Child Left Behind Act;
- (9) in the case of a local educational agency, as a condition of receiving funds under the No Child Left Behind Act, the applicant is complying with the requirements of Education Law § 3214(3)(d) and (f) and the Gun-Free Schools Act (20 U.S.C. § 7151);
- (10) in the case of a local educational agency, as a condition of receiving funds under the No Child Left Behind Act, the applicant is complying with the requirements of 20 U.S.C. § 7908 on military recruiter access;
- (11) in the case of a local educational agency, as a condition of receiving funds under the No Child Left Behind Act, the applicant is complying with the requirements of 20 U.S.C. § 7904 on constitutionally protected prayer in public elementary and secondary schools;

(12) in the case of a local educational agency, as a condition of receiving funds under the No Child Left Behind Act, the applicant is complying with the requirements of Education Law § 2802(7), and any state regulations implementing such statute and 20 U.S.C. § 7912 on unsafe school choice; and

(13) in the case of a local educational agency, the applicant is complying with all fiscal requirements that apply to the program, including but not limited to any applicable supplement not supplant or local maintenance of effort requirements.

SCHOOL PRAYER CERTIFICATION

As a condition of receiving federal funds under the Elementary and Secondary Education Act, as amended by the No Child Left Behind Act of 2001 (NCLB), the local educational agency hereby certifies that no policy of the local educational agency prevents, or otherwise denies participation in, constitutionally protected prayer in public elementary schools and secondary schools, as detailed in the current guidance issued pursuant to NCLB Section 9524(a).

M/WBE Documents

M/WBE Goal Calculation Worksheet

(This form should reflect Multi-Year Budget Summary Totals)

RFP # and Title: _____

Applicant Name: _____

The M/WBE participation for this grant is 30% of each applicant's total discretionary non-personal service budget over the entire term of the grant. Discretionary non-personal service budget is defined as the total budget, excluding the sum of funds budgeted for direct personal services (i.e., professional and support staff salaries) and fringe benefits, as well as rent, lease, utilities, and indirect costs, if these are allowable expenditures.

Please complete the following table to determine the dollar amount of the M/WBE goal for this grant application.

	Budget Category	Amount budgeted for items excluded from M/WBE calculation	Totals
1.	Total Budget		
2.	Professional Salaries		
3.	Support Staff Salaries		
4.	Fringe Benefits		
5.	Indirect Costs		
6.	Rent/Lease/Utilities*		
7.	Sum of lines 2, 3, 4, 5, and 6		
8.	Line 1 minus Line 7		
9.	M/WBE Goal percentage (30%)		0.30
10.	Line 8 multiplied by Line 9 =M/WBE goal amount		

*If not included in #5

M/WBE COVER LETTER Minority & Woman-Owned Business Enterprise Requirements

NAME OF GRANT PROGRAM _____

NAME OF APPLICANT _____

In accordance with the provisions of Article 15-A of the NYS Executive Law, 5 NYCRR Parts 140-145, Section 163 (6) of the NYS Finance Law and Executive Order #8 and in fulfillment of the New York State Education Department (NYSED) policies governing Equal Employment Opportunity and Minority and Women-Owned Business Enterprise (M/WBE) participation, it is the intention of the New York State Education Department to provide real and substantial opportunities for certified Minority and Women-Owned Business Enterprises on all State contracts. It is with this intention the NYSED has assigned M/WBE participation goals to this contract.

In an effort to promote and assist in the participation of certified M/WBEs as subcontractors and suppliers on this project for the provision of services and materials, the bidder is required to comply with NYSED's participation goals through one of the three methods below. Please indicate which one of the following is included with the M/WBE Documents Submission:

- Full Participation – No Request for Waiver (PREFERRED)
- Partial Participation – Partial Request for Waiver
- No Participation – Request for Complete Waiver

By my signature on this Cover Letter, I certify that I am authorized to bind the Bidder's firm contractually.
Typed or Printed Name of Authorized Representative of the Firm
Typed or Printed Title/Position of Authorized Representative of the Firm
Signature/Date

M/WBE UTILIZATION PLAN

INSTRUCTIONS: All bidders/applicants submitting responses to this procurement/project must complete this M/WBE Utilization Plan unless requesting a total waiver and submit it as part of their proposal/application. The plan must contain detailed description of the services to be provided by each Minority and/or Women-Owned Business Enterprise (M/WBE) identified by the bidder/applicant.

Bidder/Applicant's Name _____
 _____/_____

Telephone/Email: _____

Address _____

Federal ID No.: _____

City, State, Zip _____

RFP No.: _____

Certified M/WBE	Classification (check all applicable)	Description of Work (Subcontracts/Supplies/Services)	Annual Dollar Value of Subcontracts/Supplies/Services
NAME ADDRESS CITY, ST, ZIP PHONE/E-MAIL FEDERAL ID No.	NYS ESD Certified MBE _____ WBE _____		\$ _____
NAME ADDRESS CITY, ST, ZIP PHONE/E-MAIL FEDERAL ID No.	NYS ESD Certified MBE _____ WBE _____		\$ _____

PREPARED BY (Signature) _____ DATE _____

SUBMISSION OF THIS FORM CONSTITUTES THE BIDDER/APPLICANT'S ACKNOWLEDGEMENT AND AGREEMENT TO COMPLY WITH THE M/WBE REQUIREMENTS SET FORTH UNDER NYS EXECUTIVE LAW, ARTICLE 15-1, 5 NYCRR PART 143 AND THE ABOVE REFERENCE SOLICITATION. FAILURE TO SUBMIT COMPLETE AND ACCURATE INFORMATION MAY RESULT IN A FINDING OF NONCOMPLIANCE AND/OR PROPOSAL/APPLICATION DISQUALIFICATION.

NAME AND TITLE OF PREPARER: _____
 (print or type)

TELEPHONE/E-MAIL _____

DATE _____

M/WBE 100

REVIEWED BY _____	DATE _____
UTILIZATION PLAN APPROVED YES/NO _____	DATE _____
NOTICE OF DEFICIENCY ISSUED YES/NO _____	DATE _____
NOTICE OF ACCEPTANCE ISSUED YES/NO _____	DATE _____

**M/WBE SUBCONTRACTORS AND SUPPLIERS
NOTICE OF INTENT TO PARTICIPATE**

INSTRUCTIONS: Part A of this form must be completed and signed by the Bidder/Applicant unless requesting a total waiver. Parts B & C of this form must be completed by MBE and/or WBE subcontractors/suppliers. The Bidder/Applicant must submit a separate M/WBE Notice of Intent to Participate form for each MBE or WBE as part of the proposal/application.

Bidder/Applicant Name: _____ Federal ID No.: _____

Address: _____ Phone No.: _____

City _____ State _____ Zip Code _____ E-mail: _____

Signature of Authorized Representative of Bidder/Applicant's Firm _____
Print or Type Name and Title of Authorized Representative of Bidder/Applicant's Firm

Date: _____

PART B - THE UNDERSIGNED INTENDS TO PROVIDE SERVICES OR SUPPLIES IN CONNECTION WITH THE ABOVE PROCUREMENT/APPLICATION:

Name of M/WBE: _____ Federal ID No.: _____

Address: _____ Phone No.: _____

City, State, Zip Code _____ E-mail: _____

BRIEF DESCRIPTION OF SERVICES OR SUPPLIES TO BE PERFORMED BY MBE OR WBE:

DESIGNATION: MBE Subcontractor WBE Subcontractor MBE Supplier WBE Supplier

PART C - CERTIFICATION STATUS (CHECK ONE):

The undersigned is a certified M/WBE by the New York State Division of Minority and Women-Owned Business Development (MWBD).

The undersigned has applied to New York State's Division of Minority and Women-Owned Business Development (MWBD) for M/WBE certification.

THE UNDERSIGNED IS PREPARED TO PROVIDE SERVICES OR SUPPLIES AS DESCRIBED ABOVE AND WILL ENTER INTO A FORMAL AGREEMENT WITH THE BIDDER/APPLICANT CONDITIONED UPON THE BIDDER/APPLICANT'S EXECUTION OF A CONTRACT WITH THE NYS EDUCATION DEPARTMENT.

The estimated dollar amount of the agreement \$ _____

Signature of Authorized Representative of M/WBE Firm _____

Date _____

Printed or Typed Name and Title of Authorized Representative _____

M/WBE CONTRACTOR GOOD FAITH EFFORTS CERTIFICATION (FORM 105)

PROJECT/CONTRACT # _____

I, _____
(Bidder/Applicant)

_____ of _____
(Title) (Company)

_____ () _____
(Address) (Telephone Number)

do hereby submit the following as *evidence* of our good faith efforts to retain certified minority- and women-owned business enterprises:

(1) Copies of its solicitations of certified minority- and women-owned business enterprises and any responses thereto;

(2) If responses to the contractor's solicitations were received, but a certified minority- or woman-owned business enterprise was not selected, the specific reasons that such enterprise was not selected;

(3) Copies of any advertisements for participation by certified minority- and women-owned business enterprises timely published in appropriate general circulation, trade and minority- or women-oriented publications, together with the listing(s) and date(s) of the publication of such advertisements;

(4) Copies of any solicitations of certified minority- and/or women-owned business enterprises listed in the directory of certified businesses;

(5) The dates of attendance at any pre-bid, pre-award, or other meetings, if any, scheduled by the State agency awarding the State contract, with certified minority- and women-owned business enterprises which the State agency determined were capable of performing the State contract scope of work for the purpose of fulfilling the contract participation goals;

(6) Information describing the specific steps undertaken to reasonably structure the contract scope of work for the purpose of subcontracting with, or obtaining supplies from, certified minority- and women-owned business enterprises.

(7) Describe any other action undertaken by the bidder to document its good faith efforts to retain certified minority - and women- owned business enterprises for this procurement.

Submit additional pages as needed.

Authorized Representative Signature

Date

REQUEST FOR WAIVER FORM

BIDDER/APPLICANT NAME:

TELEPHONE:

ADDRESS:

EMAIL:

FEDERAL ID NO.:

CITY, STATE, ZIPCODE:

RFP#/PROJECT NO.:

INSTRUCTIONS: By submitting this form and the required information, the bidder/applicant certifies that Good Faith Efforts have been taken to promote M/WBE participation pursuant to the M/WBE goals set forth under this RFP/Contract. Please see Page 2 for additional requirements and document submission instructions.

BIDDER/APPLICANT IS REQUESTING (check all that apply):

MBE Waiver - A waiver of the MBE goal for this procurement is requested.

Total

Partial _____%

WBE Waiver - A waiver of the WBE goal for this procurement is requested.

Total

Partial _____%

Waiver Pending ESD Certification

(check here if subcontractor or supplier is not certified M/WBE, but an application for certification has been filed with Empire State Development)

Subcontractor/Supplier Name: _____

Date of application filing: _____

PREPARED BY (*Signature*): _____

DATE: _____

SUBMISSION OF THIS FORM CONSTITUTES THE BIDDER/APPLICANT'S ACKNOWLEDGEMENT AND AGREEMENT TO COMPLY WITH THE M/WBE REQUIREMENTS SET FORTH UNDER NYS EXECUTIVE LAW, ARTICLE 15-A, 5 NYCRR PART 143, AND THE ABOVE REFERENCED SOLICITATION. FAILURE TO SUBMIT COMPLETE AND ACCURATE INFORMATION MAY RESULT IN A FINDING OF NONCOMPLIANCE AND/OR PROPOSAL DISQUALIFICATION.

NAME OF PREPARER: _____ TITLE OF PREPARER: _____ TELEPHONE: _____ EMAIL: _____	FOR AUTHORIZED USE ONLY REVIEWED BY: _____ DATE: _____ WAIVER GRANTED <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> TOTAL WAIVER <input type="checkbox"/> PARTIAL WAIVER <input type="checkbox"/> ESD CERTIFICATION WAIVER <input type="checkbox"/> NOTICE OF DEFICIENCY <input type="checkbox"/> CONDITIONAL WAIVER COMMENTS: _____
---	--

REQUIREMENTS AND DOCUMENT SUBMISSION INSTRUCTIONS

When completing the Request for Waiver Form, please check all boxes that apply. To be considered, the Request for Waiver Form must be accompanied by documentation for items 1-11, as listed below. If a Waiver Pending ESD Certification is requested, please see Item 11 below. Copies of the following information and all relevant supporting documentation must be submitted along with the request.

1. A statement setting forth your basis for requesting a partial or total waiver.
2. The names of general circulation, trade association, and M/WBE-oriented publications in which you solicited certified M/WBEs for the purposes of complying with your participation goals.
3. A list identifying the date(s) that all solicitations for certified M/WBE participation were published in any of the above publications.
4. A list of all certified M/WBEs appearing in the NYS Directory of Certified Firms that were solicited for purposes of complying with your certified M/WBE participation levels.
5. Copies of notices, dates of contact, letters, and other correspondence as proof that solicitations were made in writing and copies of such solicitations, or a sample copy of the solicitation if an identical solicitation was made to all certified M/WBEs.
6. Provide copies of responses made by certified M/WBEs to your solicitations.
7. Provide a description of any contract documents, plans, or specifications made available to certified M/WBEs for purposes of soliciting their bids and the date and manner in which these documents were made available.
8. Provide documentation of any negotiations between you, the Bidder/Applicant and the M/WBEs undertaken for purposes of complying with the certified M/WBE participations goals.
9. Provide any other information you deem relevant which may help us in evaluating your request for a waiver.
10. Provide the name, title, address, telephone number and email address of the Bidder/Applicant's representative authorized to discuss and negotiate this waiver request.
11. Copy of notice of application receipt issued by Empire State Development (ESD).

NOTE: Unless a Total Waiver has been granted, Bidder/Applicant will be required to submit all reports and documents pursuant to the provisions set forth in the procurement and/or contract, as deemed appropriate by NYSED, to determine M/WBE compliance.

EQUAL EMPLOYMENT OPPORTUNITY - STAFFING PLAN (Instructions on Page 2)

Applicant Name: _____

Telephone: _____

Address: _____

Federal ID No.: _____

City, State, ZIP: _____

Project No: _____

Report includes:

Work force to be utilized on this contract OR

Applicant's total work force

Enter the total number of employees in each classification in each of the EEO-Job Categories identified.

EEO - Job Categories	Total Work Force	Race/Ethnicity - report employees in only one category																	
		Hispanic or Latino		Not-Hispanic or Latino															
				Male					Female										
		Male	Female	White	African-American or Black	Native Hawaiian or Other Pacific Islander	Asian	American Indian or Alaska Native	Two or More Races	Disabled	Veteran	White	African-American	Native Hawaiian or Other Pacific Islander	Asian	American Indian or Alaska Native	Two or More Races	Disabled	Veteran
Executive/Senior Level Officials and Managers																			
First/Mid-Level Officials and Managers																			
Professionals																			
Technicians																			
Sales Workers																			
Administrative Support Workers																			
Craft Workers																			
Operatives																			
Laborers and Helpers																			
Service Workers																			
TOTAL																			

PREPARED BY (Signature): _____
 NAME AND TITLE OF PREPARER: _____ (Print or type)

DATE: _____
 TELEPHONE/EMAIL: _____

STAFFING PLAN INSTRUCTIONS

General Instructions: All Bidders/Applicants in the proposal/application must complete an EEO Staffing Plan (EEO 100) and submit it as part of the package. Where the work force to be utilized in the performance of the State contract/project can be separated out, the Bidder/Applicant shall complete this form only for the anticipated work force to be utilized on the State contract/project. Where the work force to be utilized in the performance of the State contract/project cannot be separated out, the Bidder/Applicant shall complete this form for Bidder/Applicant's total work force.

Instructions for Completing:

1. Enter the Project number that this report applies to, along with the name, address, and federal ID number of the Bidder.
2. Check the appropriate box to indicate if the work force being reported is just for the contract/project or the Bidder/Applicant's total work force.
3. Check off the appropriate box to indicate if the Bidder completing the report is the contractor or subcontractor.
4. Enter the total work force by EEO job category.
5. Break down the total work force by gender and race/ethnic background and enter under the heading Race/Ethnicity. Contact the M/WBE Coordinator, mwbe@nysed.gov, if you have any questions.
6. Enter the name, title, phone number and email address for the person completing the form. Sign and date the form in designated areas.

RACE/ETHNIC IDENTIFICATION

For purposes of this form NYSED will accept the definitions of race/ethnic designations used by the federal Equal Employment Opportunity Commission (EEOC), as those definitions are described below or amended hereafter. (Be advised these terms may be defined differently for other purposes under NYS statutory, regulatory, or case law). Race/ethnic designations as used by the EEOC do not denote scientific definitions of anthropological origins. For the purposes of this report, an employee may be included in the group to which he or she appears to belong, identifies with, or is regarded in the community as belonging. The race/ethnic categories for this survey are:

- **Hispanic or Latino** - A person of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture or origin regardless of race.
- **White (Not Hispanic or Latino)** - A person having origins in any of the original peoples of Europe, the Middle East, or North Africa.
- **Black or African American (Not Hispanic or Latino)** - A person having origins in any of the black racial groups of Africa.
- **Native Hawaiian or Other Pacific Islander (Not Hispanic or Latino)** - A person having origins in any of the peoples of Hawaii, Guam, Samoa, or other Pacific Islands.
- **Asian (Not Hispanic or Latino)** - A person having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian Subcontinent, including, for example, Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam.
- **American Indian or Alaska Native (Not Hispanic or Latino)** - A person having origins in any of the original peoples of North and South America (including Central America), and who maintain tribal affiliation or community attachment.
- **Two or More Races (Not Hispanic or Latino)** - All persons who identify with more than one of the above five races.
- **Disabled** - Any person who has a physical or mental impairment that substantially limits one or more major life activity; has a record of such an impairment; or is regarded as having such an impairment
- **Vietnam Era Veteran** - a veteran who served at any time between and including January 1, 1963 and May 7, 1975.

EEO 100