

**Family and Community Engagement Program (FCEP)
A New York State My Brother's Keeper Initiative**

2016-2020

ANNOUNCEMENT OF FUNDING OPPORTUNITY

Legislative Authority:	Chapter 53 of the laws of 2016. With the adoption of the 2016-2017 New York State budget, New York became the first state to accept the President's My Brother's Keeper challenge.
Purpose/Goal:	This announcement is intended to assist public school districts in applying for Family and Community Engagement Program (FCEP) grants for 2016-2020. The purpose of the FCEP is to increase the academic achievement and college and career readiness of boys and young men of color. Many schools and districts struggle with the challenge of how to develop and sustain effective relationships with families toward the goal of student success. Teacher, Principals and School District leaders identify family engagement as one of the most challenging aspects of their work with students. When narrowing the scope of this ongoing concern to the issues of boys and young men of color, it is not only an issue of engaging and connecting to the family, but to the extended family and community as a whole.
Funding:	The allocation for 2016-2017 is expected to be \$6,000,000. The project period will be from September 1 - August 31, subject to the continuation of the State appropriation. Maximum individual annual grant award: \$150,000.
Program Start Date & Coverage of Expenditures:	The beginning date for grant activities is September 1, 2016 – August 31, 2017. Only expenses incurred during this period will be eligible for coverage with these state funds.
Matching Requirements:	A minimum 15 percent (%) match of approved grant contract is required. The matching requirements may be met through the institution's own resources, private sources, other non-state government sources, and/or in-kind services.
Applicant Eligibility:	New York State public school districts which meet the following criteria may submit applications: <ol style="list-style-type: none">1. School districts must have a Free & Reduced Price Lunch (FRPL) eligibility rate greater than 55% of district enrollment, an English Language Learner (ELL) enrollment rate greater than 1%, and a four year August graduation rate of less than 90%. OR2. School district must have a FRPL eligibility rate greater than 60% of district enrollment and a four year August graduation rate of less than 85%. OR

3. School districts must have an ELL enrollment rate greater than 3% and a four year August graduation rate of less than 90%.

To determine eligibility districts should use the following school year data:

ELL and FERPL % - 2015 school year data

Graduation rates - 2014-15 graduation rates based upon the 2011 total cohort
– 4 Year Outcome - August 2015 data

Important Dates:

Full proposals must be postmarked by **8/26/16**

Q & A

Questions regarding this grant must be e-mailed to

FCEPRFP@nysed.gov by **7/29/16**

A Question and Answers Summary will be posted at:

<http://www.nysed.gov/nysmbk>

no later than **8/11/16**

SED reserves the right to modify or amend the RFP upon completion of the webinars and the question and answer period. Please monitor the website links for any notice of modification or amendment to the RFP

Webinar will be available at <http://www.nysed.gov/nysmbk> on: **7/26/16**

For Information and
Submission, Contact:

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THE STATE EDUCATION DEPARTMENT
Office of Access, Equity, and Community Engagement Services
89 Washington Avenue
Albany, NY 12234**

**Guidelines
For Submission of
Family and Community Engagement Program (FCEP)
Proposals
For the Period 2016-2020**

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**FAMILY AND COMMUNITY ENGAGEMENT PROGRAM (FCEP)
GUIDELINES
For the Submission of Grant Proposals
For Fiscal Year 2016-20**

I. APPLICATION GUIDANCE

Please adhere to the following instructions or your application will **not** be considered for review.

Required Signature(s)

The original signature of the District Superintendent (or designee) of the institution must appear on the Statement of Assurances Page in **blue** ink.

Partnership Agreements

Applicant information for all partnership agreements must be provided. **PARTNERSHIP AGREEMENTS ARE REQUIRED AS PART OF THE APPLICATION.** A signed partnership agreement is required for all **primary partners. The primary partners are the applicant school district and any, tribal government, local (town or village government), Chamber of Commerce, business, community based organizations, and institutions of higher education taking an active role in the implementation of the program.** The original signature of all **partners** must appear on the agreement in **blue** ink.

Number of Copies

Please submit **one original and two** copies of the full proposal, as well as one electronic copy of the complete application on CD or flash drive, to FCEP-SED postmarked by **8/26/16**.

Questions and Answers

Questions regarding this grant must be e-mailed to FCEPRFP@nysed.gov by **7/29/16**

A Question and Answers Summary will be posted at: <http://www.nysed.gov/nysmbk> no later than **8/11/16**.

SED reserves the right to modify or amend the RFP upon completion of the webinars and the question and answer period. Please monitor the website links for any notice of modification or amendment to the RFP.

Webinar will be available on: **7/26/16**

Checklist

Please use the Application Checklist to ensure that you send a complete application package.

Page Limits and Standards:

You must limit the project narrative to no more than **15 double-spaced pages in a minimum 10 point font** and all information requested in this section (excluding resumes, memoranda of agreement and course descriptions) must be contained within the narrative portion of the proposal. The narrative should present a cohesive document with each individual section related to all other sections. The name of the institution must appear in the top right corner of each page.

A specific format is required for the information requested in **Attachment I**. This information should be provided on Attachment I and be included in the 15 page limit. Single-spacing may be used on Attachment I provided the typeface or font is at least 10 point size. **The Budget Narrative will be subject to the 15 page Project Narrative limit, but the FS-10 will not.**

Proposed Budget for a Federal or State Project (FS-10)

The application must include a budget and budget narrative for each category of expenditure that is required for the grant (Professional Salaries, Support Staff Salaries, Purchased Services, Travel Expenses, Employee Benefits, BOCES Services) and a Proposed Budget for a Federal or State project (FS-10). The necessary and appropriate narrative should include sufficient detail to allow reviewers to understand what the funds will be used for and the relationship between the proposed expenditure and project activities and goals.

The total from each of the Budget Category Forms must correspond to amounts shown on the Budget Summary Form. Please be sure to check all of your calculations for accuracy.

II. INTRODUCTION

The FAMILY AND COMMUNITY ENGAGEMENT PROGRAM was initially established under an initiative of the Board of Regents to increase the academic achievement and college and career readiness of boys and young men of color.

III. PURPOSE

The purpose of the Family and Community Engagement Program is to increase the academic achievement and college and career readiness of boys and young men of color. Many schools and districts struggle with the challenge of how to develop and sustain effective relationships with families toward the goal of student success. Teacher, Principals and School District leaders identify family engagement as one of the most challenging aspects of their work with students. When narrowing the scope of this ongoing concern to the issues of boys and young men of color, it is not only an issue of engaging and connecting to the family, but to the extended family and community as a whole. Contributing to the problem is the lack of sustained, accessible, and effective opportunities to build capacity among local education agency (LEA) staff, communities and families.

A major focus of the initiative is on building respectful and trusting relationships between home, community, and school. No meaningful family engagement can be established until relationships of trust and respect are established between home, community, and school. The development of an implementation model is critical for success. The implementation model for the Family and Community Engagement Program (FCEP) will be the Dual-Capacity Building Framework as outlined by the U.S. Department of Education (<http://www2.ed.gov/documents/family-community/partners-education.pdf>). The Dual Capacity-Building Framework components create a focus on building of the capacity of staff and families to engage in partnerships.

IV. RATIONALE

Public schools in the U.S. now have a majority of nonwhite students. This is also true for many school districts within New York State, especially urban and low income districts. Nationally, that's been the case since 2014, and yet children of color — especially boys — still lag behind their white peers. New York State, through actions by the Board of Regents, the Governor and Legislature, have taken steps to become the first in the nation to adopt a statewide version of My Brother's Keeper, an initiative from President Obama to boost the educational futures of young minority men and boys.

As part of the national initiative launched in February 2014, My Brother's Keeper seeks to close the persistent gaps in educational achievement and opportunity between young minority men and boys and their peers. An overarching goal is to encourage and support young men in making good choices, become more resilient,

overcome obstacles educational and community, and achieve their dreams in life thereby improving their communities and the state.

As far back as 1975 the Board of Regents adopted educational policies which seek to alleviate the achievement gaps of Native American students (Position Paper #22). The principles included in those nine Regent's directives, sit firmly as the foundation for many of the activities which are now ideally to be implemented for all boys and young men of color.

V. FCEP OBJECTIVES AND KEY STRATEGIES

Utilizing the methods of the Dual-Capacity Building Framework, each Family and Community Engagement Program (FCEP), administered by a NYS public school district, will define and measure outcomes and evaluate practice to achieve the following goals:

Goal 1: Develop the knowledge and skills of school and district personnel, as well as families and community members, to increase required trust and relationships necessary to address student learning needs and abilities at each grade level.

- Initiatives are aligned with school and district achievement goals and connect families to the teaching and learning goals for the students. Professional development (PD) will be provided throughout the life of the project to develop the interpersonal and relationship building skills of school personnel
 - Progress will be measured by the number and content of PD opportunities offered, the number of attendees, and the number of personnel observed practicing and improving skills;
 - Training opportunities for family and community members are provided to develop literacy, problem solving, and parent advocacy skills;
 - Interest in, and success of, training will be measured by evaluation/feedback forms for each activity, and the number of participants attending regularly.
- Increase family participation in each child's education by implementing family and community engagement strategies based on current research. PD opportunities for school and district personnel related to the reading, interpretation, and analysis of data; applying data knowledge to making data-driven decisions regarding instruction, student placement, remediation services, etc.;;
 - Progress will be measured by the number of attendees, the number of data meetings held to plan and/or revise instructional and support strategies for students; and the number of personnel providing data information, knowledge, and skill to family and community members;
- Initiatives bring families and staff together for shared learning to create collective learning environments that foster peer learning and communications networks among families and staff. Family and community member training opportunities are supported by the intentional breaching of barriers to participation such as language translation services, transportation, child care, and convenient times and locations of training;
 - The success indicators will include an increase in the numbers of family and community members engaging in training and activities; and
- Initiatives increase capacity to engage staff, families, and community to improve student outcomes. Scheduling of quarterly family and teacher conferences to discuss student learning profiles, the role of family members in supporting student(s), and the expected roles of personnel, family, and students in the plans for skill building and improved achievement;
 - The success of this indicator will be measured by increased attendance at conferences and improved academic achievement of students.

Goal 2: Provide access to multi-level networks that foster respect and trust in building family relationships with the school and school community.

- Initiatives must expand beyond mailings, automated phone calls, and even incentives like meals and prizes for attendance as these do little to ensure regular participation of families, and school staff is often less than enthusiastic about participating in these events. The school will develop policies and procedures regarding the use of electronic platforms as conduits to free-flowing and open communication and networking between students, family members, and the school;
 - Success will be measured by the number of activities held to assist in welcoming student, family, and community members into the development and feedback processes of the policies and procedures, and by the number of attendees engaged in the processes
- A district or school's efforts to build the capacity of families and staff to form effective partnerships are integrated into all aspects of its improvement strategy, such as the recruitment and training of effective teachers and school leaders, professional development, and mechanisms of evaluation and assessment. Design web pages, Facebook pages, and other forms of print and electronic platforms as conduits to free-flowing and open communication and networking between students, family members, and the school;
 - The success of this indicator will be measured by an increase in the number of contacts and conversations initiated, or reciprocated, by students, family members, and community members through the various platforms;
- Initiatives encourage support from, and collaboration with, families, community-based organizations, and local associations in communities with high populations of low-achieving boys and young men of color. The school will lead the design of a system to ensure the timely response to student, family and/or community input; the system will include a code of conduct for use of the electronic platforms, as well as a plan for frequent monitoring of the platforms for appropriateness of use and content;
 - The success of the school's leadership will be measured by satisfaction levels of response time and helpfulness of electronic communication users, and the monitoring of the platforms will be measured by the numbers of complaints regarding the content of electronic communications and the number of inappropriate communications blocked through the monitoring process; and
- Initiatives develop an effective engagement strategy that is employed by the school staff, parents, and community members, and understand the infrastructure and skills required to sustain it. The face-to-face and electronic communication platforms developed and monitored by the school will encourage multi-level networks that assist in building respectful and trusting relationships between students and school personnel, students and family members, students and community members, school personnel and family members, school personnel and community members, and family members and community members
 - The success of this indicator will be measured by an increase in the number of cross-contacts and conversations initiated, or reciprocated, by students, family members, and community members through the various platforms, paying particular attention to relationships supportive of increased learning, achievement, and mentoring

Goal 3: Create an environment where partnerships thrive in a comfortable, culturally diverse, and engaging atmosphere that fosters respect and trust.

- Initiatives provide outreach in families' home language to explain curriculum, school programming, special education services, enrichment programs, and the importance of school attendance. Provide translation services when necessary for any verbal, electronic, and print communications; seek community, county, state, and volunteer translation resources as appropriate for each situation, paying particular attention to the confidentiality of sensitive and protected information;

- The success of this indicator will be measured by comparing the number of translators available and in use with the size of the non-English speaking community, as well as the number of documented uses of translation services compared to the identified need or requests for such services;
- Initiatives focus on building the intellectual, social, and human capital of stakeholders engaged in the program. Provide genuine opportunities for student, family, and community members to share in decision-making opportunities;
 - The success of this indicator will be measured by the number and type of decision-making opportunities within normal school operations, as well as activities supporting the FCEP, identified; the number of students, family, and community members invited to participate; and documentation of the training provided to explain the role and responsibilities in each shared decision-making opportunity;
- During learning sessions, staff and families can receive information on skills and tools, but must also have the opportunity to practice what they have learned and receive feedback and coaching from each other, peers, and facilitators. Develop a plan and procedures to ensure family and community members' safe and equitable access to public buildings to engage in activities, including volunteer activities, training, shared decision-making, etc. opportunities.
 - This indicator will be measured by the number of successfully completed entries of family and community members into the school and/or other public buildings for engagement in activities related to normal school operations as well as FCEP initiated or supported activities; the safe and equitable access plan will be reviewed by SED personnel monitoring program operations and activities
- Initiatives provide advocacy services to assist and support families navigating the educational system as they help support student learning. Strategies to collaborate with community partners to support student achievement and family practices.
 - This indicator will be measured by the number of meetings, speaking engagements, and other efforts of collaboration with community partners, that are completed by school and FCEP personnel

Goal 4: Commit to building and sustaining child-centered roles for the school, family, and community that values student learning and social and emotional development as equal educational partners.

- Adopt and implement a family and community involvement policy that is approved by the local Board of Education based upon:
 - helping families, extended families, and communities establish home environments that support student learning and social emotional developmental health;
 - developing a system for ongoing effective communication between the school and home and community;
 - recruiting, organizing, and supporting families, extended families, and communities;
 - providing information and resources to families, extended families, and communities to support student learning outside of the classroom;
 - including parents and community members in the engagement decision making process; and
 - identifying and recruiting community based organizations, businesses, and institutions of higher education to partner with school districts and schools to support student achievement and family practices
- Initiatives focuses on empowering and enabling participants to be confident, active, knowledgeable, and informed stakeholders in the transformation of their schools and neighborhoods.
- Initiatives are purposefully designed as core components of educational goals such as school readiness, student achievement, and school turnaround.

- Initiatives design family, extended family, and community practices that are directly connected to student learning
- Initiatives incorporate the use of mentors, teachers/tutors, and other high quality support systems that are designed to improve student achievement and ensure a lasting and positive effect on classroom performance

For each goal, be sure to address the following:

Objectives and Strategies

List specific objectives to be accomplished. Objectives must support the FCEP goals and key strategies and should be measurable. Objectives should be focused on improving student learning, and on increasing the number of individuals from historically underrepresented groups who are prepared for college and/or careers. Each of the FCEP goals listed should be addressed.

Activities and Services

List and describe each activity and service that supports the achievement of each objective. Include required instructional, support, and advocacy services needed for staff, student, family and community member engagement and growth.

Staff Responsible: Indicate staff responsible for the implementation of each activity or service

Timeframe: Indicate the start and end dates, the timeframe, and the duration of each activity or service

Measures/Data Sources: For each objective, describe the performance measures/data sources that will assess its efficacy. Indicate the populations to be served and the tools, methods, and instruments that will be used.

VI. INSTITUTIONAL ELIGIBILITY

New York State public school districts which meet the following criteria may submit applications:

1. School districts must have a Free & Reduced Price Lunch (FRPL) eligibility rate greater than 55% of district enrollment, an English Language Learner (ELL) enrollment rate greater than 1%, and a four year August graduation rate of less than 90%.

OR

2. School district must have a FRPL eligibility rate greater than 60% of district enrollment and a four year August graduation rate of less than 85%.

OR

3. School districts must have an ELL enrollment rate greater than 3% and a four year August graduation rate of less than 90%.

To determine eligibility districts should use the following school year data:

ELL and FERPL % - 2015 school year data

Graduation rates - 2014-15 graduation rates based upon the 2011 total cohort – 4 Year Outcome - August 2015 data

VII. PARTNERSHIP AGREEMENTS

PARTNERSHIP AGREEMENTS ARE MANDATORY AS PART OF THE APPLICATION. In order to encourage support from, and collaboration with, families, community-based organizations, and local associations in

communities with high populations of low-achieving boys and young men of color; the eligible applicant must include in their application identified partnership(s) with such organization(s). In order to be a qualifying partnership, the partnership must meet the following requirements:

- The partnership must be evidenced by a signed partnership agreement signed by all parties to the agreement. Specify all of the services each of the partners is required to provide and when they are expected to do it. Is signed by all of the parties to the agreement when the application is submitted. The Partnership Agreement must be submitted with the application.
- The partnership organization(s) must be between the applicant school district, who serves as the program lead, and local and community based organizations able to provide insight and connection between the activities undertaken by the district and the communities.
- The primary partners are the applicant school district and any, tribal government, local (town or village government), Chamber of Commerce, business, community based organizations, and institutions of higher education taking an active role in the implementation of the program.
- While up to 40% of the total funds may be sub-contracted amongst the partnership organizations, the primary relationship of the partnership is not that of sub-contractors or consultants; but is one of collaboration toward alleviating the achievement gap.

VIII. 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 may become 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.

XI. PROJECT EXPECTATIONS

The ultimate goal of success for the FCEP is a school district where the staff honor and recognize families' existing knowledge, skill, and forms of engagement; create and sustain school and district cultures that welcome, invite, and promote family, extended family and community engagement; and develop family, extended family and community engagement initiatives and connect them to student learning and development. For families and communities success is ultimately achieved when the communities are supporters of their children's learning and development; encouragers of an achievement identity, a positive self-image, and a "can do" spirit in their children; monitors of their children's time, behavior, boundaries, and resources; models of lifelong learning and enthusiasm for education; advocates for improved learning opportunities for their children and at their schools; decision-makers/choosers of educational options for their children, the school, and their community; and collaborators with school staff and other members of the community on issues of school improvement and reform.

In addition to the specific indicators identified in the description of the four program goals, for the purposes of data reporting and analysis, projects will be deemed as meeting project expectations if they produce:

- Reduced suspension rates, both in-school and out of school for boys and young men of color
- Reduced drop-out rates for boys and young men of color
- Increased attendance rates for boys and young men of color
- Increased retention rates for boys and young men of color
- Increased persistence rates for boys and young men of color
- Increased graduation rates for boys and young men of color
- Improved performance on Regents Examinations and other standardized tests for boys and young men of color
- Increased number of college credits earned overall within a high school for boys and young men of color
- Increased number of AP course completions in high school for boys and young men of color

For the purposes of this RFP a 'boy or young man of color' includes, male students in NYS public schools who are identified in their school records with race/ethnicity described as Black or African-American, Hispanic/Latino, Asian, Native Hawaiian or other Pacific Islander, or American Indian, or Alaska Native; or two or more. School districts are required to ensure that the official school record accurately identifies the student in the category that the student has identified and not a category identified by a school or district official.

During the implementation of the My Brother's Keeper initiative, staff in NYSED will develop additional student-centric data collections to seek to measure the following items:

- student's postsecondary aspirations
- student's impression of their parent's involvement
- student's opinion of school climate

X. FUNDING LIMITATIONS AND METHOD OF DETERMINING AWARD AMOUNTS

The maximum request for any FCEP project will be \$150,000 per year.

All funding requests will be reviewed at the time of proposal submission. If certain costs cannot be supported by FCEP funds, the expenses will be removed from the proposed budget and the budget will be scored accordingly.

Method of Determining Award Amounts:

The funds in the appropriation will be distributed to successful applicants according to the process indicated below. The proposals will be rated numerically, with a maximum possible score of 100 points: 60 points for the Narrative Application, 20 points for the Budget/Budget Narrative, and 20 points to be awarded for a need based score. The Department will calculate the need based score and those scores will be posted at <http://www.nysed.gov/nysmbk> no later than July 21, 2016. Scores are recorded to two decimal places.

A. Awarding of Funds to Districts

1. The Narrative Application scores will be determined by two reviewers.
2. The budget and budget narrative of each application will also be reviewed and scored by both reviewers.
3. The final score used for rank ordering the applications will be calculated by adding the Department calculated need based score to the average of the two reviewers' scores for the total of the narrative application and the budget/budget narrative
 - a. If, however, the two reviewer's scores for the narrative and budget/budget narrative show a discrepancy of more than 15 points, these sections will go to a third reviewer. After the third review, the mathematical average of all three reviewer's scores will be the final score for the narrative and budget/budget narrative sections.
 - b. The final summary application score must be 65 points for an application to be considered for funding. Failure to meet this requirement will disqualify a proposal from further consideration.
 - c. In the event of a tie score, the tie breaker will be the highest score on the Program Objectives section of the scoring rubric in the Narrative Application.
 - d. If the scores remain tied after this step, a second tiebreaker will be the highest score on the Need and Cooperative Relationships section of the scoring rubric in the Narrative Application.
4. New York State is divided into ten Regents Higher Education Regions (found here: <http://www.highered.nysed.gov/kiap/documents/RegentsRegions2009.pdf>). The highest ranking applicant in each region with a passing score will be funded at the amount of their request, pending modification of the budget if it includes unallowable expenses.
5. The remaining funds will be pooled into a single statewide sum to be awarded to the remaining eligible unfunded applicants in rank order by final application statewide score. This process should result in at least one program per region and should also support those meritorious applications competing on a statewide basis.
6. If there are funds remaining that will not fully support funding the next highest application in the statewide ranking, that applicant will be given the opportunity to receive a partial award. If an eligible applicant chooses not to accept the partial award, the next eligible applicant will be contacted.

For an increase in available funding:

If new or additional funding becomes available, and NYSED chooses to distribute this funding to applicants of this current RFP, NYSED will allocate the funds in this order by:

1. Making whole any funded programs that have received a partial award;
2. Approving awards, in rank order, for eligible applicants who received passing scores, but who did not rank high enough to receive the initial funding;
3. Allocating funds among already awarded programs. Maximum request amounts will be established by distributing funding proportionally (based on total annual budget) to those currently funded projects.

For a decrease in available funding:

A decrease in funding for any subsequent funding year will result in a proportional reduction to all funded projects based on total annual budget.

XI. BUDGET

Budget Form (FS-10)

Applicants must submit a FS-10 budget with this application, for the initial 12 month project period of September 1, 2016 – August 31, 2017. The 12 month budget will be reviewed and scored.

The applicant must complete the FS-10 Budget Form. Budgeted costs must be in compliance with applicable State and federal laws and regulations and the Department's Fiscal Guidelines. These guidelines, as well as the FS-10 form, are available online at the following URL:

<http://www.oms.nysed.gov/cafe>. The FS-10 must bear the original signature of the Chief School/Administrative Officer.

Information about the categories of expenditures and general information on allowable costs, applicable cost principles and administrative regulations are available in the Fiscal Guidelines for Federal and State Aided Grants at <http://www.oms.nysed.gov/cafe/guidance/guidelines.html>.

The budget should be reasonable and appropriate to cover program expenses.

For more information, visit the website

<http://www.oms.nysed.gov/cafe/guidance/faqs.html>

A. Use of Funds

1. Activities funded under a FCEP award will be administered according to a written agreement between the State Education Department and the participating school district.
2. Amendments to the proposal during the course of the year that involve changes in the manner in which FCEP funds are expended must have prior written approval from the FCEP-SED, and may require approval by the Office of the State Comptroller. Expenses for activities not included in the approved budget will not be reimbursed by the State.

B. Allowable Expenses

Allowable costs include the following:

1. **Program administration:** including as allowable: professional and non-professional salaries, fringe benefits, staff travel, purchased services/consultant services, regional and statewide professional development; reimbursement for "release time" for school personnel engaged in program planning and implementation reported as a purchased service. Out of state travel requires prior approval by SED.
2. **Program activities:** including as deemed allowable: professional development, community engagement events, program achievement/awards, project brochures/materials and promotional activities, expenses related to program attendance and state administration of the FCEP such as participant transportation, and evaluation materials and activities.

3. **Administrative and instructional supplies, materials, and durable goods:** including instructional or administrative computer software and computers, etc., which are used principally in the operation and administration of the project.
 - a. When durable goods (to include computer equipment) are purchased with FCEP-SED funds, it is the responsibility of the district to ensure that the Equipment Inventory Form is completed and that a copy is submitted to the FCEP-SED.
 - b. If a program closes, any durable goods purchased with FCEP-State funds must be released for transfer to another FCEP program so that the durable goods continue to support FCEP students.
 - c. FCEP-SED staff will assist District staff in arranging the transfer of such durable goods.

C. Non-Allowable Expenses

1. Funds may not be used for indirect costs.
2. Funds may not be used for construction or renovation of classroom or office space.
3. Funds may not be used for equipment (items with a per-unit cost of \$5000 or more).
4. Funds are not available for rental of office or meeting space, storage facilities, equipment, fixtures or communication cost (phone, postage, and/or electronic communication cost).
5. Funds cannot be used for items which previously had been assumed by the institution. The purpose of a FCEP award is to supplement rather than supplant monies previously or presently allocated to FCEP related activities.
6. FCEP funds are intended to establish new efforts or to enrich or expand existing ones. They may not be used to supplant funding of other existing efforts.
7. FCEP funds cannot be used to pay for the salary or stipend of the FCEP Director's Supervisor or someone designated as a Principal Investigator for the grant.
8. Funds may not be used for purposes other than those described in the approved grant contract.
9. FCEP funds cannot be used for organizational dues or items not specifically allowed under the categories identified above.

E. Transfer of Funds

1. Budget transfers of more than 10 percent in any category must be submitted as a budget amendment. Form FS-10-A: Proposed Amendment for a Federal or State Project must be used to request a budget amendment and must be submitted to FCEP-SED for review. All FS-10-A forms must be submitted anytime between the start date of any funding year and July 31st of that year. Funds should not be expended until the budget amendment has been approved in writing. If the amount of the modification is equal to or greater than ten percent of the total value of the contract, the modification will require the prior approval of the Office of the State Comptroller.
2. Funds up to 10 percent of line categories may be transferred between approved line categories without prior written approval. However, FCEP-SED must be informed in writing of all amendments made to an approved budget within 30 days of each occurrence, but no later than July 31st of the program year.

F. Institutional Funds

1. **Matching Funds:** A minimum 15 percent match of the approved FCEP grant is required. The matching requirement may be met through the District's own resources, private sources, other governmental sources, and/or in-kind services. Other State funds may be used in this match with the exception of state grant funds from educational opportunity programs, but may not duplicate services

provided. All matching contributions must be used for activities related exclusively to the FCEP project, and institutional accounts must be structured to reflect this contribution by the appropriate line item.

2. Program Support: The district must provide sufficient space and other resources for the effective operation of the program.

3. Institutional Obligation: Districts approved for funding will have an obligation to honor the district amount committed in support of the program in each budget category. This obligation will be reflected in the approved budget agreed to by the State Education Department and the institution. The budget may be amended during the year following the procedures stated in *Budget: E. Transfer of Funds*.

G. FCEP Payment Schedule

Please refer to the **FISCAL GUIDELINES FOR FEDERAL AND STATE AIDED GRANTS** at:

<http://www.oms.nysed.gov/cafe/guidance/guidelines.html>

Funds will be provided through a 25% initial payment of the first year's annual budget, up to 90% based upon submitted FS-25 forms as interim payments; the final 10% will be reimbursed upon completion of the required reports and FS-10F.

XII. PROJECT SCHEDULE

A. Operation Dates: For year one, projects may begin as early as Sept. 1, 2016 but must be completed by August 31, 2017. Expenses incurred prior to September 1, 2016 or after August 31, 2017, will not be reimbursed. **The subsequent three years will be funded at the same level as was awarded for year one, subject to the continuation of the State Appropriation and successful performance of the district.**

B. Required Reports: Each institution receiving a FCEP grant will be required to submit interim and final reports to FCEP-SED. The interim and final reports will outline the scheduled activities in the program period identifying tasks, assignments, and specific objectives accomplished within the reporting period. A format and reporting schedule for the reports will be provided by FCEP-SED.

XIII. APPLICATION INSTRUCTIONS

Interested institutions must submit one original and two copies of the application for funding as well as one electronic copy of the complete application on CD or flash drive. **The original must be clearly identified and signed in blue ink.** An application for funding requires the original signature of the District Superintendent (or designee) of the district on the Statement of Assurances (Attachment II). **Applications for funding must be postmarked on or before 8/26/16 to:**

New York State Education Department
Office of Access, Equity, and Community Engagement Services
89 Washington Avenue, EB 505W
Albany, NY 12234

An application for funding meets the deadline requirement if it has a legible postmark, shipping label, invoice or receipt from the U.S. Postal Service or a commercial carrier bearing the date of **8/26/16** or earlier. Private

metered postmarks **will not** be accepted as proof of meeting the required deadline. Hand delivered applications must be received at the FCEP-SED office by 5:00 p.m. on or before **8/26/16**.

Proposals that do not meet the deadline requirement will **not** be considered.

A complete application for funding consists of the following items in the order indicated:

- A. Application checklist
- B. Application Cover Page with Original Signature of Chief Executive/Administrative Officer (Attachment I)
- C. Statement of Assurances with Original Signature of Chief Executive/Administrative Officer (Attachment III)
- D. Proposed Budget (Attachment IV)
- E. Payee Information Form (if applicable)
- F. **Required Partnership Agreement(s)** (Attachment VII)
- G. Proposal Narrative (including Attachment II)
- H. Budget Narrative
- I. FS-10 Budget
- J. Worker's Compensation Documentation
- K. Disability Benefits Documentation
- L. M/WBE Documents Package (original signatures required) (Attachment VIII)

XIV. NARRATIVE FORMAT

The proposal narrative should describe the 2016-2017 proposed activities in full detail, including the overall goals, planning, implementation, and evaluation of all proposed activities. **It may not be more than 15 double-spaced pages in a minimum 11 point font**, and all information requested in this section (excluding resumes, memoranda of agreement, course descriptions and the FS-10) must be contained within the narrative portion of the proposal. The narrative should present a cohesive document, with each individual section related to all other sections, and **must** adhere to the format indicated below. The name of the school must appear in the top right corner of each page. A specific format is required for the information requested in Attachment I. This information should be provided on Attachment I and be included in the 15 page limit. Single-spacing may be used on Attachment I provided that the typeface or font is at least 15 point size. Failure to adhere to these guidelines or to include required information will result in an unfavorable review.

- A. Application Cover Page
- B. Executive Summary (1 page max)

This section summarizes the proposal's purpose, scope, outcomes and methodology used.

- C. Organizational Background:
This section should include:
 - 1. An overview and brief description of the applicant school district
 - 2. This section should explain why your district is qualified for a Family and Community Engagement Program (FCEP)
 - 3. A brief history, accomplishments, qualifications, and educational experience in serving the needs of underrepresented and at risk populations
 - 4. Internal Program Relationships:
 - a. Describe the internal structure of the FCEP project, including the following:

- b. The staff positions that have coordinating responsibilities for the major components of the program (e.g., administration, teaching, counseling, tutoring, evaluating, budgeting, reporting)
 - c. A FCEP organizational chart including all program-related personnel
- D. Need and Cooperative Relationships
 - 1. Identify the need explaining why the district seeks to operate a FCEP project and the student groups selected for involvement. This section should include the following:
 - 2. Why does your school district want to initiate a FCEP project?
 - a. Community description including poverty, education, and other information that describes or relates to your target population and the goals of your proposal
 - 3. Fully describe the criteria and processes used to solicit, recruit and involve community organizations and groups, businesses, and institutions of higher education in forming FCEP partnerships. Be specific.
 - 4. Provide a description of the roles and responsibilities of any other local education agencies, school district(s), community-based organizations, and all other parties who will participate in the project. Specify how each collaborating party will contribute to the project
 - a. Partnership Agreement that describes collaborations **must** be attached
 - 5. Describe the school's plan to coordinate and integrate FCEP activities into a systematic approach of enhancing student achievement and college/career readiness
- E. Program Objectives, Strategies, Activities, Services and Performance Measures/Data Sources

Use the forms provided in Attachment I: Program Objectives, Strategies, Activities, Services and Performance Measures/Data Sources

Goal 1: Develop the knowledge and skills of school and district personnel, as well as families and community members, to increase required trust and relationships necessary to address student learning needs and abilities at each grade level.

- 1. Initiatives are aligned with school and district achievement goals and connect families to the teaching and learning goals for the students.
- 2. Initiatives increase family participation in each child's education by implementing family and community engagement strategies based on current research.
- 3. Initiatives bring families and staff together for shared learning to create collective learning environments that foster peer learning and communications networks among families and staff.
- 4. Initiatives increase capacity to engage staff, families, and community to improve student outcomes

Goal 2: Provide access to multi-level networks that foster respect and trust in building family relationships with the school and school community.

- 1. Initiatives must expand beyond mailings, automated phone calls, and even incentives like meals and prizes for attendance as these do little to ensure regular participation of families, and school staff is often less than enthusiastic about participating in these events.
- 2. A district or school's efforts to build the capacity of families and staff to form effective partnerships are integrated into all aspects of its improvement strategy, such as the recruitment and training of effective teachers and school leaders, professional development, and mechanisms of evaluation and assessment.

3. Initiatives encourage support from, and collaboration with, families, community-based organizations, and local associations in communities with high populations of low-achieving boys and young men of color
4. Initiatives develop an effective engagement strategy that is employed by the school staff, parents, and community members, and understand the infrastructure and skills required to sustain it

Goal 3: Create an environment where partnerships thrive in a comfortable, culturally diverse, and engaging atmosphere that fosters respect and trust.

1. Initiatives provide outreach in families' home language to explain curriculum, school programming, special education services, enrichment programs, and the importance of school attendance
2. Initiatives focus on building the intellectual, social, and human capital of stakeholders engaged in the program.
3. During learning sessions, staff and families can receive information on skills and tools, but must also have the opportunity to practice what they have learned and receive feedback and coaching from each other, peers, and facilitators.
4. Initiatives provide advocacy services to assist and support families navigating the educational system as they help support student learning

Goal 4: Commit to building and sustaining child-centered roles for the school, family, and community that values student learning and social and emotional development as equal educational partners.

1. Adopt and implement a family and community involvement policy that is approved by the local Board of Education based upon:
 - a. helping families, extended families, and communities establish home environments that support student learning and social emotional developmental health;
 - b. developing a system for ongoing effective communication between the school and home and community;
 - c. recruiting, organizing, and supporting families, extended families, and communities;
 - d. providing information and resources to families, extended families, and communities to support student learning outside of the classroom;
 - e. including parents and community members in the engagement decision making process; and
 - f. identifying and recruiting community based organizations, businesses, and institutions of higher education to partner with school districts and schools to support student achievement and family practices
2. Initiatives focuses on empowering and enabling participants to be confident, active, knowledgeable, and informed stakeholders in the transformation of their schools and neighborhoods.
3. Initiatives are purposefully designed as core components of educational goals such as school readiness, student achievement, and school turnaround.
4. Initiatives design family, extended family, and community practices that are directly connected to student learning
5. Initiatives incorporate the use of mentors, teachers/tutors, and other high quality support systems that are designed to improve student achievement and ensure a lasting and positive effect on classroom performance

For each goal, be sure to address the following:

Objectives and Strategies

List the specific objectives to be accomplished. Objectives must support the FCEP goals and key strategies and should be measurable. Objectives should be focused on improving student learning,

and increasing the number of boys and young men of color who are prepared for college and/or careers. Each of the FCEP goals listed should be addressed.

Activities and Services

List and describe each activity and service that supports the achievement of each objective. Include required instructional, support, and advocacy services needed for staff, student, family and community member engagement and growth.

Staff Responsible: Indicate staff responsible for the implementation of each activity or service

Timeframe: Indicate the start and end dates, the timeframe, and the duration of each activity or service

Measures/Data Sources: For each objective, describe the performance measures/data sources that will assess its efficacy. Indicate the populations to be served and the tools, methods, and instruments that will be used.

F. Project Staffing and Management

1. Describe a management plan that will assure the effective completion of project activities given the fiscal and other resources available.
2. Provide an organizational chart which indicates the management structure of the program within the district

Note: Direct involvement of school/district administrator is required.

3. Briefly describe all professional staff positions (full-time and part-time, paid and volunteer) that will be assigned directly to the project. Define role and scope of designated positions.
4. List the names and titles of all full-time and part-time professional and instructional staff for the project. Provide current resumes for all professionals in the project.

G. Budget and Budget Narrative

1. Indicate the proposed expenditures for the project on Attachment IV: FCEP 2016-2017 Proposed Budget. The attachment must provide complete information and indicate all proposed expenditures from FCEP, school, district, and other matching funds. The budget must be consistent with the scope of services, reasonable, cost effective, and the staffing pattern is appropriate for the services to be offered.
2. Budget narrative expenditures description (including descriptions of school, district, and other source contributions) must follow the general format of Attachment IV: FCEP 2016-2017 Proposed Budget using the same sequence of categories and code numbers. The budget justifications must be clear and appropriate.
3. Each salaried position is identified by title, anticipated salary amount, and the time contribution to the FCEP Project. Indicate the per diem or hourly rate for each consultant identified under the Purchased Services Category. Provide the unit rate or estimate for all services or items.

Note: A completed FS-10: Proposed Budget for the State Project will be required with this application.

XV. PROPOSAL RATING, DEBRIEFING, AWARD PROTEST PROCEDURES

Proposal Rating

Proposals will be rated in accordance with Section X of this RFP. **PARTNERSHIP AGREEMENTS ARE REQUIRED AS PART OF THE APPLICATION.**

Debriefing Procedures

All applicants may request a debriefing within fifteen (15) calendar days of receiving notice of non-award from NYSED. Applicants may request a debriefing on the selection process regarding this Grant by emailing the request to FCEPRFP@nysed.gov.

A summary of the strengths and weaknesses of the application, as well as recommendations for improvement will be emailed back to the applicant within ten (10) business days.

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 the notice of non-award. The protest letter must be filed with:

NYS Education Department
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.

XVI. MINORITY AND WOMEN-OWNED BUSINESS ENTERPRISE (M/WBE) PARTICIPATION GOALS PURSUANT TO ARTICLE 15-A OF THE NEW YORK STATE EXECUTIVE LAW

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@mail.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.

XVII. 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/busPermits.jsp>. Alternatively, questions relating to either workers' compensation or disability benefits coverage should be directed to the NYS Workers' Compensation Board, Bureau of Compliance at (518) 486-6307.

XVIII. CORRESPONDENCE

All correspondence, requests for information, and questions concerning this grant should be addressed to:

New York State Education Department
Office of Access, Equity, and Community Engagement Services
89 Washington Avenue, EB 505W
Albany, New York 12234

XIX. PUBLICITY

All materials developed in whole or in part with the support of FCEP funds, including publicity releases and program announcements, will include the following statement:

Support for the development and production of this material was provided by a grant under the My Brother's Keeper Initiative of the New York State Education Department.

ATTACHMENT I

**Application Cover Page
Family and Community Engagement Program**

Name of School District: _____

Regents Higher Education Region: _____

District Address: _____

Name of Program Director: _____

Telephone: _____ E-mail Address: _____

Person Submitting Proposal (name/title): _____

Telephone: _____ E-mail Address: _____

Total Number of Students in the district with race/ethnicity described as Black or African-American, Hispanic/Latino, Asian, Native Hawaiian or other Pacific Islander, or American Indian, or Alaska Native; or two or more

Percentage of Students in the district with race/ethnicity described as Black or African-American, Hispanic/Latino, Asian, Native Hawaiian or other Pacific Islander, or American Indian, or Alaska Native; or two or more

I certify that the information contained in this application is, to the best of my knowledge, complete and accurate and any ensuing program and activity will be conducted in accordance with all applicable Federal and State laws, application guidelines and instructions, Assurances, Certifications, Appendices A, A1-G and that the requested budget amounts are necessary for the implementation of this program. I understand that this application constitutes an offer and, if accepted by the NYSED or renegotiated to acceptance, will form a binding agreement. I also agree that immediate written notice will be provided to NYSED if at any time I learn that this certification was erroneous when submitted, or has become erroneous by reason of changed circumstances.

Signature of District Chief Administrator (or designee) _____

Title: _____

ATTACHMENT II

Instructions for Completing Program Objectives, Strategies, Activities, Services and Performance Measures/Data Sources

1. Make as many copies of the forms as needed.
2. Each of the 4 identified FCEP Goals should be addressed.
Complete one sheet for each goal.
3. Provide all the information requested in each column of the Objectives, Strategies, Activities Matrix (1-5).
4. Definitions:
 - **Strategies:** Describe the process or method FCEP project will use to achieve the FCEP goal indicated on the form (how).
 - **Activities/Services:** Indicate what FCEP project will do to accomplish the FCEP goal indicated on the form (action/work).
 - **Staff Responsible:** Indicate the staff members who will be responsible. Use the title(s) for individuals listed.
 - **Performance Measure:** Indicate measurable elements that will indicate accomplishment of the FCEP goal listed on the form.
 - **Data Source:** Indicate the sources from which the data elements are drawn.
 - **Timeframe:** Indicate the timeframe(s) for each item listed.

Goal 1: Develop the knowledge and skills of school and district personnel, as well as families and community members, to increase required trust and relationships necessary to address student learning needs and abilities at each grade level

Strategies	Activities/Services	Staff Responsible	Timeframe	Performance Measures/Data Sources

Goal 2: Provide access to multi-level networks that foster respect and trust in building family relationships with the school and school community				
Strategies	Activities/Services	Staff Responsible	Timeframe	Performance Measures/Data Sources

Goal 3: Create an environment where partnerships thrive in a comfortable, culturally diverse, and engaging atmosphere that fosters respect and trust

Strategies	Activities/Services	Staff Responsible	Timeframe	Performance Measures/Data Sources

Goal 4: Commit to building and sustaining child-centered roles for the school, family, and community that values student learning and social and emotional development as equal education partners

Strategies	Activities/Services	Staff Responsible	Timeframe	Performance Measures/Data Sources

ATTACHMENT III

Family and Community Engagement Program (FCEP)
STATEMENT OF ASSURANCES

Institution Name: _____

Program: _____

1. The recipient will, if funded, operate a Family and Community Engagement Program (FCEP) program within the letter and spirit of all pertinent legislation and policies, including the appropriate Guidelines.
2. Funds from this source will supplement, not supplant, local expenditures and will not duplicate expenditures from other sources.
3. All activities supported by grant funds will, to the extent possible, be accessible by persons with disabilities.
4. Upon request, the recipient will provide the State Education Department access to its records and other sources of information concerning the operation of the FCEP program.
5. All materials developed in whole or in part with the support of FCEP funds, including publicity releases and program announcements, will include the following statement:
Support for the development and production of this material was provided by a grant under the Family and Community Engagement Program administered by the New York State Education Department.

CHIEF EXECUTIVE OFFICER CERTIFICATION

I hereby certify that the information in this application is correct and in total compliance with appropriate State laws and regulations and that the program design will be carried out as described in the application.

Signed* _____ Date _____
(District Superintendent)

Print name and title _____

*Original signature of District Superintendent is required.

ATTACHMENT IV

Total Number of Students in the district with race/ethnicity described as Black or African-American, Hispanic/Latino, Asian, Native Hawaiian or other Pacific Islander, or American Indian, or Alaska Native; or two or more: _____

FCEP 9/1/16-8/31/17 PROPOSED BUDGET
--

ROUND CENTS TO THE NEAREST DOLLAR

Line No.	Expenditure Category	Code	FCEP (1)	Institution (2)	Other Sources (3)	TOTAL (4)
1	Salaries for Professional Personnel	15				
2	Salaries for Non-Professional Personnel	16				
	a. Clerical/Secretarial					
	b. Student Assistants					
	c. Other					
3	Purchased Services	40				
4	Supplies & Materials	45				
	a. Instructional					
	b. Other					
5	Travel Expenses	46				
	a. Student/Programmatic					
	b. Staff/Administrative					
6	Employee Benefits	80				
	a. Professional___%					
	b. Clerical/Secretarial___%					
	c. Student Assistants___%					
	d. Other___%					
7	SUBTOTAL of Lines 1-6					
8	Indirect Cost*	90	XXXXXXXXX			
9	Equipment	20	XXXXXXXXX			
10	GRAND TOTAL (Lines 7 - 9)					

ROUND CENTS TO THE NEAREST DOLLAR.

The minimum 15% Matching Funds must be reported in Columns 2 and or 3.

ATTACHMENT V

Application Checklist

Listed below are the required documents for a complete application package, in the order that they should be submitted. Use this checklist to ensure that your application submission is complete and in compliance with application instructions.

Required Documents	Checked-Applicant	Checked –SED	
Application Checklist (Attachment V)	<input type="checkbox"/>	<input type="checkbox"/>	
Application Cover Page with Original Signature of Chief Executive/Administrative Officer (Attachment I)	<input type="checkbox"/>	<input type="checkbox"/>	
Statement of Assurances with Original Signature of Chief Executive/Administrative Officer (Attachment III)	<input type="checkbox"/>	<input type="checkbox"/>	
Proposed Budget (Attachment IV)	<input type="checkbox"/>	<input type="checkbox"/>	
Payee Information Form (if applicable) http://www.oms.nysed.gov/cafe/forms/PIform.pdf	<input type="checkbox"/>	<input type="checkbox"/>	
Required Partnership Agreement(s) (Attachment VII)	<input type="checkbox"/>	<input type="checkbox"/>	
Proposal Narrative (15 page maximum – including Attachment II)	<input type="checkbox"/>	<input type="checkbox"/>	
Budget Narrative (included in 15 page maximum)	<input type="checkbox"/>	<input type="checkbox"/>	
FS-10 Budget EXCEL Version (signature required) (Attachment VI)	<input type="checkbox"/>	<input type="checkbox"/>	
Worker’s Compensation Documentation	<input type="checkbox"/>	<input type="checkbox"/>	
Disability Benefits Documentation	<input type="checkbox"/>	<input type="checkbox"/>	
M/WBE Documents Package (original signatures required) (Attachment VIII) <input type="checkbox"/> Full Participation <input type="checkbox"/> Request Partial Waiver <input type="checkbox"/> Request Total Waiver			
	Full Participation	Request Partial Waiver	Request Total Waiver
Calculation of M/WBE Goal Amount	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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
M/WBE 105 Contractor’s Good Faith Efforts	N/A	<input type="checkbox"/>	<input type="checkbox"/>
M/WBE 101 Request for Waiver Form	N/A	<input type="checkbox"/>	<input type="checkbox"/>
EO 100 Staffing Plan	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
SED Comments: Has the applicant complied with the application instructions? <input type="checkbox"/> Yes <input type="checkbox"/> No SED Reviewer: _____ Date: _____			

ATTACHMENT VI
Budget Form (FS-10)

Applicants must submit a FS-10 budget with this application, for the initial 12 month project period of September 1, 2016 - August 31, 2017. The 12 month budget will be reviewed and scored.

The applicant must complete the FS-10 Budget Form. Budgeted costs must be in compliance with applicable State and federal laws and regulations and the Department's Fiscal Guidelines. These guidelines, as well as the FS-10 form, are available online at the following URL:

<http://www.oms.nysed.gov/cafe>. The FS-10 must bear the original signature of the Chief School/Administrative Officer.

Information about the categories of expenditures and general information on allowable costs, applicable cost principles and administrative regulations are available in the Fiscal Guidelines for Federal and State Aided Grants at <http://www.oms.nysed.gov/cafe/guidance/guidelines.html>.

The budget should be reasonable and appropriate to cover program expenses.

ATTACHMENT VII

SAMPLE
(Insert Name) School and (Insert Name) Partner
Service Agreement

This cooperative agreement reflects the overall commitment as well as the specific responsibilities and the roles of the (insert Name) Partner and (insert name) School to enhance the preparation of prospective teachers. The purpose of this partnership is to increase the academic achievement and college and career readiness of boys and young men of color.

Up front Planning Activities: _____

SPECIFIC ROLES AND RESPONSIBILITIES

The partnership of the (Insert Name) Partner and the (insert name) School entails the following:

The (insert Name) Partner agrees to:	The (insert Name) School agrees to:
[List all activities/services/etc. that the partner will provide to the partnership.	[List all activities/services/etc. that the school will provide to the partnership.
sample	

Name of School _____ **Signature** _____ **Date** _____

Project Director _____ **Signature** _____ **Date** _____

Name, Title, School _____

Signature _____ **Date** _____

Name, Title, Partner Organization _____

Signature _____ **Date** _____

PLEASE NOTE THAT THESE ACTIVITIES ARE FOR EXAMPLE ONLY. THE AGREEMENT FOR YOUR PROGRAM SHOULD REFLECT THE SPECIFICS OF YOUR PROGRAM AND YOUR PARTNERS. ALL ACTIVITIES/SERVICES, ETC. THAT ARE PERTINENT TO YOUR PROJECT SHOULD BE INCLUDED.

ATTACHMENT VIII**M/WBE Goal Calculation Worksheet**

Project Name: Family and Community Engagement Program (FCEP) A New York State My Brothers' Keeper Initiative 2016-2021

Applicant Name: _____

The M/WBE participation goal is 30% of each grantee's total discretionary non-personal service budget. 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); fringe benefits; the portion of the budget in purchased services representing stipends, student tuition, and financial assistance; indirect costs; room and board, 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.	Portion of Purchased Services used for Stipends, Student Tuition, and Supplemental Financial Assistance		
6.	Indirect Costs		
7.	Student Room and Board		
8.	Sum of lines 2, 3, 4, 5, 6 and 7		
9.	Line 1 minus Line 8		
10.	M/WBE Goal percentage (30%)		0.30
11.	Line 9 multiplied by Line 10 =MWB goal amount		

This form is only for use with the 2016-2021 Family and Community Engagement Program (FCEP) Program. It may not be used with any other grant program.

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

PROJECT NAME: _____

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

M/WBE CONTRACTOR UNAVAILABLE CERTIFICATION

PROJECT NAME _____

I, _____
(Authorized Representative) (Title) (Bidder/Applicant's Company)

(Address) () (Phone)

I certify that the following New York State Certified Minority/Women Business Enterprises were contacted to obtain a quote for work to be performed on the abovementioned project/contract.

List of date, name of M/WBE firm, telephone/e-mail address of M/WBEs contacted, type of work requested, estimated budgeted amount for each quote requested.

<u>DATE</u>	<u>M/WBE NAME</u>	<u>PHONE/EMAIL</u>	<u>TYPE OF WORK</u>	<u>ESTIMATED BUDGET</u>	<u>REASON</u>
1.					
2.					
3.					
4.					
5.					

To the best of my knowledge and belief, said New York State Certified Minority/Women Business Enterprise contractor(s) was/were not selected, unavailable for work on this project, or unable to provide a quote for the following reasons: Please check appropriate reasons given by each MBE/WBE firm contacted above.

- _____ **A.** Did not have the capability to perform the work
_____ **B.** Contract too small
_____ **C.** Remote location
_____ **D.** Received solicitation notices too late
_____ **E.** Did not want to work with this contractor
_____ **F.** Other (give reason) _____

Authorized Representative Signature **Date** **Print Name**

M/WBE 105A

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.

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

M/WBE 101

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): _____

DATE: _____

NAME AND TITLE OF

PREPARER: _____

TELEPHONE/EMAIL: _____

(Print or type)

EEO 100

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@mail.nyused.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

**ATTACHMENT IX
EVALUATION RUBRIC**

**Family and Community Engagement Program (FCEP)
2016-2017 Funding Application
Evaluation Rubric**

Applicant:			
Reviewer's Initials:	Review Completed:	Funding Requested:	Score:

Evaluation Process

Reviewers are asked to evaluate each technical component as listed in the Grant-Contract on a scale provided for each component. In all sections, raters may choose to give a score between any two listed numbers if they feel that a score falls between those two numbers. Reviewers will review applications independently and keep applications and scores confidential. Reviewer comments are required to support the score given in each section.

Rating Guidelines:

- Excellent - Specific and comprehensive. Complete, detailed and clearly articulated information as to how the criteria are met. Well-conceived and thoroughly developed ideas.
- Good - General but sufficient detail. Adequate information as to how the criteria are met, but some areas are not fully explained and/or questions remain. Some minor inconsistencies and weaknesses.
- Fair - Sketchy and non-specific. Criteria appear to be minimally met, but limited information is provided about approach and strategies. Lacks focus and detail.
- Poor - Does not meet the criteria, fails to provide information; provides information that requires substantial clarification as to how the criteria are met.
- Not Found (N/F) - Does not address the criteria or simply restates the criteria.

Executive Summary (0 points)

The proposal briefly and concisely describes the purpose and goals of the project and how the goals will be accomplished.	Excellent	Good	Fair	Poor	N/F
Comments:					

Organizational Background (6)

The proposal provides an overview and brief description of the applicant school, district, and administrative structure	Excellent	Good	Fair	Poor	N/F
	2	1.5	1	.5	0
The proposal provides an explanation why the district is qualified for a Family and Community Engagement Program (FCEP)	2	1.5	1	.5	0
The proposal provides a brief history, accomplishments, qualifications, and educational experience in serving the needs of underrepresented and at risk populations	1	.75	.5	.25	0
The proposal provides an explanation of the Internal Program Relationships	1	.75	.5	.25	0
Comments: <div>Score () out of 6</div>					

Need and Cooperative Relationships (6 points)

Proposal describes the need explaining why the school seeks to operate a FCEP project and the student groups selected for involvement	Excellent	Good	Fair	Poor	N/F
	2	1.5	1	.5	0
Proposal describes the criteria and processes used to solicit, recruit and involve community organizations and groups, businesses, and institutions of higher education in forming FCEP partnerships.	2	1.5	1	.5	0
Proposal provides a description of the roles and responsibilities of any other local education agencies, school district(s), community-based organizations, and all other parties who will participate in the project.	1	.75	.5	.25	0
Proposal describes the school's plan to coordinate and integrate FCEP activities into a systematic approach of enhancing student achievement and college/career readiness	1	.75	.5	.25	0
Comments: _____ Score () out of 6					

Program Objectives, Strategies, Services and Performance Measures/Data Sources (42 points)

Goal 1: Proposal outlines strategies to develop the knowledge and skills of school personnel, families, and community members to address student learning and abilities at each grade level: Specifically the proposal identifies initiatives to:	Excellent	Good	Fair	Poor	N/F
Align with school and district achievement goals and connect families to the teaching and learning goals for the students	4.5	3.375	2.25	1.125	0
Increase family participation in each child's education by implementing family and community engagement strategies based on current research	2	1.5	1	.5	0
Bring families and staff together for shared learning to create collective learning environments that foster peer learning and communications networks among families and staff	3	2.25	1.5	.75	0
Increase capacity to engage staff, families, and community to improve student outcomes	4.5	3.375	2.25	1.125	0
Comments: Objective 1 Score () out of 14					
Goal 2: Proposal outlines strategies to provide access to multi-level networks that foster respect and trust in building family relationships with the school and school community Specifically the proposal identifies initiatives to:	Excellent	Good	Fair	Poor	N/F
Expand beyond mailings, automated phone calls, and even incentives like meals and prizes for attendance	1	.75	.5	.25	0
Form effective partnerships that are					

integrated into all aspects of its improvement strategy	1	.75	.5	.25	0
Encourage support from, and collaboration with, families, community-based organizations, and local associations in communities with high populations of underrepresented and at risk populations.	3	2.25	1.5	.75	0
Develop an effective engagement strategy that is employed by the school staff, parents, and community members, and understand the infrastructure and skills required to sustain it	3	2.25	1.5	.75	0
Comments: Objective 2 Score () out of 8					
Goal 3: Proposal outlines strategies to create an environment where partnerships thrive in a comfortable, culturally diverse, and engaging atmosphere that fosters respect and trust Specifically the proposal identifies initiatives to:	Excellent	Good	Fair	Poor	N/F
Provide outreach in families' home language to explain curriculum, school programming, special education services, enrichment programs, and the importance of school attendance	4.5	3.375	2.25	1.125	0
Focus on building the intellectual, social, and human capital of stakeholders engaged in the program	4.5	3.375	2.25	1.125	0
Ensure that staff and families can receive information on skills and tools, but must also have the opportunity to practice what they have learned and receive feedback and coaching from each other, peers, and facilitators	2	1.5	1	.5	0
Provide advocacy services to assist and support families navigating the educational system as they help	2	1.5	1	.5	0

Comments:		Objective 3 Score () out of 13			
Goal 4: Proposal outlines strategies to commit to building and sustaining child-centered roles for the school, family, and community that values student learning and social and emotional development as equal educational partners Specifically the proposal identifies initiatives to:	Excellent	Good	Fair	Poor	N/F
Adopt and implement a family and community involvement policy that is approved by the local Board of Education based upon the criteria identified	2	1.5	1	.5	0
Focus on empowering and enabling participants to be confident, active, knowledgeable, and informed stakeholders in the transformation of their schools and neighborhoods	2	1.5	1	.5	0
Become core components of educational goals such as school readiness, student achievement, and school turnaround	1	.75	.5	.25	0
Design family, extended family, and community practices that are directly connected to student learning	1	.75	.5	.25	0
Incorporate the use of mentors, teachers/tutors, and other high quality support systems that are designed to improve student achievement and ensure a lasting and positive effect on classroom performance	1	.75	.5	.25	0
Comments:		Objective 4 Score () out of 7			

Total of Goals 1-4 Scores

Goal 1 Score ()

Goal 2 Score ()

Goal 3 Score ()

Goal 4 Score ()

Total Score () out of 42

Project Staffing and Management (6 points)

	Excellent	Good	Fair	Poor	N/F
Proposal describes a management plan that will assure the effective completion of project activities given the fiscal and other resources available	3	2.25	1.5	.75	0
Proposal provides an organizational chart which indicates the management structure of the program within the district	1	.75	.5	.25	0
Proposal describes all professional staff positions (full-time and part-time, paid and volunteer) that will be assigned directly to the project. Define role and scope of designated positions	1	.75	.5	.25	0
Proposal lists the names and titles of all full-time and part-time professional and instructional staff for the project	1	.75	.5	.25	0
Comments:	Score () out of 6				

Budget/Budget Narrative (20 points)

	Excellent	Good	Fair	Poor	N/F
The Proposed Budget, FS-10, and Budget Narrative provide complete information and indicate all proposed expenditures from FCEP, institutional and other source funds. The budget is appropriate and consistent with the scope of the services.	5	3.75	2.5	1.25	0
Proposed expenditures are reasonable and cost effective.	5	3.75	2.5	1.25	0
Each salaried position is identified by title, anticipated salary amount and the time contribution to the FCEP. Indicate the per diem or hourly rate for each consultant identified under the Purchased Services Category. Provide the unit rate or estimate for all services or items.	5	3.75	2.5	1.25	0
The proposal demonstrates how the expenditures and activities are supplemental to and do not supplant or duplicate services currently provided.	5	3.75	2.5	1.25	0
Comments: Score () out of 20					

Scoring

Executive Summary

Organizational Background () out of 6

Need & Cooperative Relationships () out of 6

Program Objectives, Strategies, Activities, Services
And Performance Measures/Data Sources () out of 42

Project Staffing and Management () out of 6

Budget/Budget Narrative () out of 20

Total Score: () out of 80

Additional Comments:

Appendix A
STANDARD CLAUSES FOR NYS CONTRACTS

The parties to the attached contract, license, lease, amendment or other agreement of any kind (hereinafter, "the contract" or "this contract") agree to be bound by the following clauses which are hereby made a part of the contract (the word "Contractor" herein refers to any party other than the State, whether a contractor, licensor, licensee, lessor, lessee or any other party):

1. EXECUTORY CLAUSE. In accordance with Section 41 of the State Finance Law, the State shall have no liability under this contract to the Contractor or to anyone else beyond funds appropriated and available for this contract.

2. NON-ASSIGNMENT CLAUSE. In accordance with Section 138 of the State Finance Law, this contract may not be assigned by the Contractor or its right, title or interest therein assigned, transferred, conveyed, sublet or otherwise disposed of without the State's previous written consent, and attempts to do so are null and void. Notwithstanding the foregoing, such prior written consent of an assignment of a contract let pursuant to Article XI of the State Finance Law may be waived at the discretion of the contracting agency and with the concurrence of the State Comptroller where the original contract was subject to the State Comptroller's approval, where the assignment is due to a reorganization, merger or consolidation of the Contractor's business entity or enterprise. The State retains its right to approve an assignment and to require that any Contractor demonstrate its responsibility to do business with the State. The Contractor may, however, assign its right to receive payments without the State's prior written consent unless this contract concerns Certificates of Participation pursuant to Article 5-A of the State Finance Law.

3. COMPTROLLER'S APPROVAL. In accordance with Section 112 of the State Finance Law (or, if this contract is with the State University or City University of New York, Section 355 or Section 6218 of the Education Law), if this contract exceeds \$50,000 (or the minimum thresholds agreed to by the Office of the State Comptroller for certain S.U.N.Y. and C.U.N.Y. contracts), or if this is an amendment for any amount to a contract which, as so amended, exceeds said statutory amount, or if, by this contract, the State agrees to give something other than money when the value or reasonably estimated value of such consideration exceeds \$10,000, it shall not be valid, effective or binding upon the State until it has been approved by the State Comptroller and filed in his office. Comptroller's approval of contracts let by the Office of General Services is required when such contracts exceed \$85,000 (State Finance Law Section 163.6-a). However, such pre-approval shall not be required for any contract established as a centralized contract through the Office of General Services or for a purchase order or other transaction issued under such centralized contract.

4. WORKERS' COMPENSATION BENEFITS. In accordance with Section 142 of the State Finance Law, this contract shall be void and of no force and effect unless the Contractor shall provide and maintain coverage during the life of this contract for the benefit of such employees as are required to be covered by the provisions of the Workers' Compensation Law.

5. NON-DISCRIMINATION REQUIREMENTS. To the extent required by Article 15 of the Executive Law (also known as the Human Rights Law) and all other State and Federal statutory and constitutional non-discrimination provisions, the Contractor will not discriminate against any employee or applicant for employment because of race, creed, color, sex (including gender identity or expression), national origin, sexual orientation, military status, age, disability, predisposing genetic characteristics, marital status or domestic violence victim status. Furthermore, in accordance with Section 220-e of the Labor Law, if this is a contract for the construction, alteration or repair of any public building or public work or for the manufacture, sale or distribution of materials, equipment or supplies, and to the extent that this contract shall be performed within the State of New York, Contractor agrees that neither it nor its subcontractors shall, by reason of race, creed, color, disability, sex, or national origin: (a) discriminate in hiring against any New York State citizen who is qualified and available to perform the work; or (b) discriminate against or intimidate any employee hired for the performance of work under this contract. If this is a building service contract as defined in Section 230 of the Labor Law, then, in accordance with Section 239 thereof, Contractor agrees that neither it nor its subcontractors shall by reason of race, creed, color, national origin, age, sex or disability: (a) discriminate in hiring against any New York State citizen who is qualified and available to perform the work; or (b) discriminate against or intimidate any employee hired for the performance of work under this contract. Contractor is subject to fines of \$50.00 per person per day for any violation of Section 220-e or Section 239 as well as possible termination of this contract and forfeiture of all moneys due hereunder for a second or subsequent violation.

6. WAGE AND HOURS PROVISIONS. If this is a public work contract covered by Article 8 of the Labor Law or a building service contract covered by Article 9 thereof, neither Contractor's employees nor the employees of its subcontractors may be required or permitted to work more than the number of hours or days stated in said statutes, except as otherwise provided in the Labor Law and as set forth in prevailing wage and supplement schedules issued by the State Labor Department. Furthermore, Contractor and its subcontractors must pay at least the prevailing wage rate and pay or provide the prevailing supplements, including the premium rates for overtime pay, as determined by the State Labor Department in accordance with the Labor Law. Additionally, effective April 28, 2008, if this is a public work contract covered by Article 8 of the Labor Law, the Contractor understands and agrees that the filing of payrolls in a manner consistent with Subdivision 3-a of Section 220 of the Labor Law shall be a condition precedent to payment by the State of any State approved sums due and owing for work done upon the project.

7. NON-COLLUSIVE BIDDING CERTIFICATION. In accordance with Section 139-d of the State Finance Law, if this contract was awarded based upon the submission of bids, Contractor affirms, under penalty of perjury, that its bid was arrived at independently and without collusion aimed at restricting competition. Contractor further affirms that, at the time Contractor submitted its bid, an authorized and responsible person executed and delivered to the State a non-collusive bidding certification on Contractor's behalf.

8. INTERNATIONAL BOYCOTT PROHIBITION. In accordance with Section 220-f of the Labor Law and Section 139-h of the State Finance Law, if this contract exceeds \$5,000, the Contractor agrees, as a material condition of the contract, that neither the Contractor nor any substantially owned or affiliated person, firm, partnership or corporation has participated, is participating, or shall participate in an international boycott in violation of the federal Export Administration Act of 1979 (50 USC App. Sections 2401 et seq.) or regulations thereunder. If such Contractor, or any of the aforesaid affiliates of Contractor, is convicted or is otherwise found to have violated said laws or regulations upon the final determination of the United States Commerce Department or any other appropriate agency of the United States subsequent to the contract's execution, such contract, amendment or modification thereto

shall be rendered forfeit and void. The Contractor shall so notify the State Comptroller within five (5) business days of such conviction, determination or disposition of appeal (2NYCRR 105.4).

9. SET-OFF RIGHTS. The State shall have all of its common law, equitable and statutory rights of set-off. These rights shall include, but not be limited to, the State's option to withhold for the purposes of set-off any moneys due to the Contractor under this contract up to any amounts due and owing to the State with regard to this contract, any other contract with any State department or agency, including any contract for a term commencing prior to the term of this contract, plus any amounts due and owing to the State for any other reason including, without limitation, tax delinquencies, fee delinquencies or monetary penalties relative thereto. The State shall exercise its set-off rights in accordance with normal State practices including, in cases of set-off pursuant to an audit, the finalization of such audit by the State agency, its representatives, or the State Comptroller.

10. RECORDS. The Contractor shall establish and maintain complete and accurate books, records, documents, accounts and other evidence directly pertinent to performance under this contract (hereinafter, collectively, "the Records"). The Records must be kept for the balance of the calendar year in which they were made and for six (6) additional years thereafter. The State Comptroller, the Attorney General and any other person or entity authorized to conduct an examination, as well as the agency or agencies involved in this contract, shall have access to the Records during normal business hours at an office of the Contractor within the State of New York or, if no such office is available, at a mutually agreeable and reasonable venue within the State, for the term specified above for the purposes of inspection, auditing and copying. The State shall take reasonable steps to protect from public disclosure any of the Records which are exempt from disclosure under Section 87 of the Public Officers Law (the "Statute") provided that: (i) the Contractor shall timely inform an appropriate State official, in writing, that said records should not be disclosed; and (ii) said records shall be sufficiently identified; and (iii) designation of said records as exempt under the Statute is reasonable. Nothing contained herein shall diminish, or in any way adversely affect, the State's right to discovery in any pending or future litigation.

11. IDENTIFYING INFORMATION AND PRIVACY NOTIFICATION. (a) Identification Number(s). Every invoice or New York State Claim for Payment submitted to a New York State agency by a payee, for payment for the sale of goods or services or for transactions (e.g., leases, easements, licenses, etc.) related to real or personal property must include the payee's identification number. The number is any or all of the following: (i) the payee's Federal employer identification number, (ii) the payee's Federal social security number, and/or (iii) the payee's Vendor Identification Number assigned by the Statewide Financial System. Failure to include such number or numbers may delay payment. Where the payee does not have such number or numbers, the payee, on its invoice or Claim for Payment, must give the reason or reasons why the payee does not have such number or numbers.

(b) Privacy Notification. (1) The authority to request the above personal information from a seller of goods or services or a lessor of real or personal property, and the authority to maintain such information, is found in Section 5 of the State Tax Law. Disclosure of this information by the seller or lessor to the State is mandatory. The principal purpose for which the information is collected is to enable the State to identify individuals, businesses and others who have been delinquent in filing tax returns or may have understated their tax liabilities and to generally identify persons affected by the taxes administered by the Commissioner of Taxation and Finance. The information will be used for tax administration purposes and for any other purpose authorized by law. (2) The personal information is requested by the purchasing unit of the agency contracting to purchase the goods or services or lease the real or personal property covered by this contract or lease. The information is maintained in the Statewide Financial System by the Vendor Management Unit within the Bureau of State Expenditures, Office of the State Comptroller, 110 State Street, Albany, New York 12236.

12. EQUAL EMPLOYMENT OPPORTUNITIES FOR MINORITIES AND WOMEN. In accordance with Section 312 of the Executive Law and 5 NYCRR 143, if this contract is: (i) a written agreement or purchase order instrument, providing for a total expenditure in excess of \$25,000.00, whereby a contracting agency is committed to expend or does expend funds in return for labor, services, supplies, equipment, materials or any combination of the foregoing, to be performed for, or rendered or furnished to the contracting agency; or (ii) a written agreement in excess of \$100,000.00 whereby a contracting agency is committed to expend or does expend funds for the acquisition, construction, demolition, replacement, major repair or renovation of real property and improvements thereon; or (iii) a written agreement in excess of \$100,000.00 whereby the owner of a State assisted housing project is committed to expend or does expend funds for the acquisition, construction, demolition, replacement, major repair or renovation of real property and improvements thereon for such project, then the following shall apply and by signing this agreement the Contractor certifies and affirms that it is Contractor's equal employment opportunity policy that:

(a) The Contractor will not discriminate against employees or applicants for employment because of race, creed, color, national origin, sex, age, disability or marital status, shall make and document its conscientious and active efforts to employ and utilize minority group members and women in its work force on State contracts and will undertake or continue existing programs of affirmative action to ensure that minority group members and women are afforded equal employment opportunities without discrimination. Affirmative action shall mean recruitment, employment, job assignment, promotion, upgradings, demotion, transfer, layoff, or termination and rates of pay or other forms of compensation;

(b) at the request of the contracting agency, the Contractor shall request each employment agency, labor union, or authorized representative of workers with which it has a collective bargaining or other agreement or understanding, to furnish a written statement that such employment agency, labor union or representative will not discriminate on the basis of race, creed, color, national origin, sex, age, disability or marital status and that such union or representative will affirmatively cooperate in the implementation of the Contractor's obligations herein; and

(c) the Contractor shall state, in all solicitations or advertisements for employees, that, in the performance of the State contract, all qualified applicants will be afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex, age, disability or marital status.

Contractor will include the provisions of "a", "b", and "c" above, in every subcontract over \$25,000.00 for the construction, demolition, replacement, major repair, renovation, planning or design of real property and improvements thereon (the "Work") except where the Work is for the beneficial use of the Contractor. Section 312 does not apply to: (i) work, goods or services unrelated to this contract; or (ii) employment outside New York State. The State shall consider compliance by a contractor or

subcontractor with the requirements of any federal law concerning equal employment opportunity which effectuates the purpose of this section. The contracting agency shall determine whether the imposition of the requirements of the provisions hereof duplicate or conflict with any such federal law and if such duplication or conflict exists, the contracting agency shall waive the applicability of Section 312 to the extent of such duplication or conflict. Contractor will comply with all duly promulgated and lawful rules and regulations of the Department of Economic Development's Division of Minority and Women's Business Development pertaining hereto.

13. CONFLICTING TERMS. In the event of a conflict between the terms of the contract (including any and all attachments thereto and amendments thereof) and the terms of this Appendix A, the terms of this Appendix A shall control.

14. GOVERNING LAW. This contract shall be governed by the laws of the State of New York except where the Federal supremacy clause requires otherwise.

15. LATE PAYMENT. Timeliness of payment and any interest to be paid to Contractor for late payment shall be governed by Article 11-A of the State Finance Law to the extent required by law.

16. NO ARBITRATION. Disputes involving this contract, including the breach or alleged breach thereof, may not be submitted to binding arbitration (except where statutorily authorized), but must, instead, be heard in a court of competent jurisdiction of the State of New York.

17. SERVICE OF PROCESS. In addition to the methods of service allowed by the State Civil Practice Law & Rules ("CPLR"), Contractor hereby consents to service of process upon it by registered or certified mail, return receipt requested. Service hereunder shall be complete upon Contractor's actual receipt of process or upon the State's receipt of the return thereof by the United States Postal Service as refused or undeliverable. Contractor must promptly notify the State, in writing, of each and every change of address to which service of process can be made. Service by the State to the last known address shall be sufficient. Contractor will have thirty (30) calendar days after service hereunder is complete in which to respond.

18. PROHIBITION ON PURCHASE OF TROPICAL HARDWOODS. The Contractor certifies and warrants that all wood products to be used under this contract award will be in accordance with, but not limited to, the specifications and provisions of Section 165 of the State Finance Law, (Use of Tropical Hardwoods) which prohibits purchase and use of tropical hardwoods, unless specifically exempted, by the State or any governmental agency or political subdivision or public benefit corporation. Qualification for an exemption under this law will be the responsibility of the contractor to establish to meet with the approval of the State.

In addition, when any portion of this contract involving the use of woods, whether supply or installation, is to be performed by any subcontractor, the prime Contractor will indicate and certify in the submitted bid proposal that the subcontractor has been informed and is in compliance with specifications and provisions regarding use of tropical hardwoods as detailed in §165 State Finance Law. Any such use must meet with the approval of the State; otherwise, the bid may not be considered responsive. Under bidder certifications, proof of qualification for exemption will be the responsibility of the Contractor to meet with the approval of the State.

19. MACBRIDE FAIR EMPLOYMENT PRINCIPLES. In accordance with the MacBride Fair Employment Principles (Chapter 807 of the Laws of 1992), the Contractor hereby stipulates that the Contractor either (a) has no business operations in Northern Ireland, or (b) shall take lawful steps in good faith to conduct any business operations in Northern Ireland in accordance with the MacBride Fair Employment Principles (as described in Section 165 of the New York State Finance Law), and shall permit independent monitoring of compliance with such principles.

20. OMNIBUS PROCUREMENT ACT OF 1992. It is the policy of New York State to maximize opportunities for the participation of New York State business enterprises, including minority and women-owned business enterprises as bidders, subcontractors and suppliers on its procurement contracts.

Information on the availability of New York State subcontractors and suppliers is available from:

NYS Department of Economic Development
Division for Small Business
Albany, New York 12245
Telephone: 518-292-5100
Fax: 518-292-5884
email: opa@esd.ny.gov

A directory of certified minority and women-owned business enterprises is available from:

NYS Department of Economic Development
Division of Minority and Women's Business Development
633 Third Avenue
New York, NY 10017
212-803-2414
email: mwbecertification@esd.ny.gov
<https://ny.newnycontracts.com/FrontEnd/VendorSearchPublic.asp>

The Omnibus Procurement Act of 1992 requires that by signing this bid proposal or contract, as applicable, Contractors certify that whenever the total bid amount is greater than \$1 million:

(a) The Contractor has made reasonable efforts to encourage the participation of New York State Business Enterprises as suppliers and subcontractors, including certified minority and women-owned business enterprises, on this project, and has retained the documentation of these efforts to be provided upon request to the State;

(b) The Contractor has complied with the Federal Equal Opportunity Act of 1972 (P.L. 92-261), as amended;

(c) The Contractor agrees to make reasonable efforts to provide notification to New York State residents of employment opportunities on this project through listing any such positions with the Job Service Division of the New York State Department of Labor, or providing such notification in such manner as is consistent with existing collective bargaining contracts or agreements. The Contractor agrees to document these efforts and to provide said documentation to the State upon request; and

(d) The Contractor acknowledges notice that the State may seek to obtain offset credits from foreign countries as a result of this contract and agrees to cooperate with the State in these efforts.

21. RECIPROCITY AND SANCTIONS PROVISIONS. Bidders are hereby notified that if their principal place of business is located in a country, nation, province, state or political subdivision that penalizes New York State vendors, and if the goods or services they offer will be substantially produced or performed outside New York State, the Omnibus Procurement Act 1994 and 2000 amendments (Chapter 684 and Chapter 383, respectively) require that they be denied contracts which they would otherwise obtain. NOTE: As of May 15, 2002, the list of discriminatory jurisdictions subject to this provision includes the states of South Carolina, Alaska, West Virginia, Wyoming, Louisiana and Hawaii. Contact NYS Department of Economic Development for a current list of jurisdictions subject to this provision.

22. COMPLIANCE WITH NEW YORK STATE INFORMATION SECURITY BREACH AND NOTIFICATION ACT. Contractor shall comply with the provisions of the New York State Information Security Breach and Notification Act (General Business Law Section 899-aa; State Technology Law Section 208).

23. COMPLIANCE WITH CONSULTANT DISCLOSURE LAW. If this is a contract for consulting services, defined for purposes of this requirement to include analysis, evaluation, research, training, data processing, computer programming, engineering, environmental, health, and mental health services, accounting, auditing, paralegal, legal or similar services, then, in accordance with Section 163 (4-g) of the State Finance Law (as amended by Chapter 10 of the Laws of 2006), the Contractor shall timely, accurately and properly comply with the requirement to submit an annual employment report for the contract to the agency that awarded the contract, the Department of Civil Service and the State Comptroller.

24. PROCUREMENT LOBBYING. To the extent this agreement is a "procurement contract" as defined by State Finance Law Sections 139-j and 139-k, by signing this agreement the contractor certifies and affirms that all disclosures made in accordance with State Finance Law Sections 139-j and 139-k are complete, true and accurate. In the event such certification is found to be intentionally false or intentionally incomplete, the State may terminate the agreement by providing written notification to the Contractor in accordance with the terms of the agreement.

25. CERTIFICATION OF REGISTRATION TO COLLECT SALES AND COMPENSATING USE TAX BY CERTAIN STATE CONTRACTORS, AFFILIATES AND SUBCONTRACTORS.

To the extent this agreement is a contract as defined by Tax Law Section 5-a, if the contractor fails to make the certification required by Tax Law Section 5-a or if during the term of the contract, the Department of Taxation and Finance or the covered agency, as defined by Tax Law 5-a, discovers that the certification, made under penalty of perjury, is false, then such failure to file or false certification shall be a material breach of this contract and this contract may be terminated, by providing written notification to the Contractor in accordance with the terms of the agreement, if the covered agency determines that such action is in the best interest of the State.

26. IRAN DIVESTMENT ACT. By entering into this Agreement, Contractor certifies in accordance with State Finance Law §165-a that it is not on the "Entities Determined to be Non-Responsive Bidders/Offerors pursuant to the New York State Iran Divestment Act of 2012" ("Prohibited Entities List") posted at: <http://www.ogs.ny.gov/about/regs/docs/ListofEntities.pdf>

Contractor further certifies that it will not utilize on this Contract any subcontractor that is identified on the Prohibited Entities List. Contractor agrees that should it seek to renew or extend this Contract, it must provide the same certification at the time the Contract is renewed or extended. Contractor also agrees that any proposed Assignee of this Contract will be required to certify that it is not on the Prohibited Entities List before the contract assignment will be approved by the State.

During the term of the Contract, should the state agency receive information that a person (as defined in State Finance Law §165-a) is in violation of the above-referenced certifications, the state agency will review such information and offer the person an opportunity to respond. If the person fails to demonstrate that it has ceased its engagement in the investment activity which is in violation of the Act within 90 days after the determination of such violation, then the state agency shall take such action as may be appropriate and provided for by law, rule, or contract, including, but not limited to, imposing sanctions, seeking compliance, recovering damages, or declaring the Contractor in default.

The state agency reserves the right to reject any bid, request for assignment, renewal or extension for an entity that appears on the Prohibited Entities List prior to the award, assignment, renewal or extension of a contract, and to pursue a responsibility review with respect to any entity that is awarded a contract and appears on the Prohibited Entities list after contract award. (January 2014)

ATTACHMENT XI

APPENDIX A-1 G

General

- A. In the event that the Contractor shall receive, from any source whatsoever, sums the payment of which is in consideration for the same costs and services provided to the State, the monetary obligation of the State hereunder shall be reduced by an equivalent amount provided, however, that nothing contained herein shall require such reimbursement where additional similar services are provided and no duplicative payments are received.
- B. This agreement is subject to applicable Federal and State Laws and regulations and the policies and procedures stipulated in the NYS Education Department Fiscal Guidelines found at <http://www.nysed.gov/cafe/>.
- C. For each individual for whom costs are claimed under this agreement, the contractor warrants that the individual has been classified as an employee or as an independent contractor in accordance with 2 NYCRR 315 and all applicable laws including, but not limited to, the Internal Revenue Code, the New York Retirement and Social Security Law, the New York Education Law, the New York Labor Law, and the New York Tax Law. Furthermore, the contractor warrants that all project funds allocated to the proposed budget for Employee Benefits, represent costs for employees of the contractor only and that such funds will not be expended on any individual classified as an independent contractor.
- D. Any modification to this Agreement that will result in a transfer of funds among program activities or budget cost categories, but does not affect the amount, consideration, scope or other terms of this Agreement must be approved by the Commissioner of Education and the Office of the State Comptroller when:
 - a. The amount of the modification is equal to or greater than ten percent of the total value of the contract for contracts of less than five million dollars; or
 - b. The amount of the modification is equal to or greater than five percent of the total value of the contract for contracts of more than five million dollars.
- E. Funds provided by this contract may not be used to pay any expenses of the State Education Department or any of its employees.

Terminations

- A. The State may terminate this Agreement without cause by thirty (30) days prior written notice. In the event of such termination, the parties will adjust the accounts due and the Contractor will undertake no additional expenditures not already required. Upon any such termination, the parties shall endeavor in an orderly manner to wind down activities hereunder.

Responsibility Provisions

- A. General Responsibility Language
The Contractor shall at all times during the Contract term remain responsible. The Contractor agrees, if requested by the Commissioner of Education or his or her designee, to present evidence of its continuing legal authority to do business in New York State, integrity, experience, ability, prior performance, and organizational and financial capacity.
- B. Suspension of Work (for Non-Responsibility)
The Commissioner of Education or his or her designee, in his or her sole discretion, reserves the right to suspend any or all activities under this Contract, at any time, when he or she discovers information that calls into question the responsibility of the Contractor. In the event of such suspension, the Contractor will be given written notice outlining the particulars of such suspension. Upon issuance of such notice, the Contractor must comply with the terms of the suspension order. Contract activity may resume at such time as the Commissioner of Education or his or her designee issues a written notice authorizing a resumption of performance under the Contract.

C. Termination (for Non-Responsibility)

Upon written notice to the Contractor, and a reasonable opportunity to be heard with appropriate SED officials or staff, the Contract may be terminated by the Commissioner of Education or his or her designee at the Contractor's expense where the Contractor is determined by the Commissioner of Education or his or her designee to be non-responsible. In such event, the Commissioner or his or her designee may complete the contractual requirements in any manner he or she may deem advisable and pursue available legal or equitable remedies for breach.

Safeguards for Services and Confidentiality

- A. Any copyrightable work produced pursuant to said agreement shall be the sole and exclusive property of the New York State Education Department. The material prepared under the terms of this agreement by the Contractor shall be prepared by the Contractor in a form so that it will be ready for copyright in the name of the New York State Education Department. Should the Contractor use the services of consultants or other organizations or individuals who are not regular employees of the Contractor, the Contractor and such organization or individual shall, prior to the performance of any work pursuant to this agreement, enter into a written agreement, duly executed, which shall set forth the services to be provided by such organization or individual and the consideration therefor. Such agreement shall provide that any copyrightable work produced pursuant to said agreement shall be the sole and exclusive property of the New York State Education Department and that such work shall be prepared in a form ready for copyright by the New York State Education Department. A copy of such agreement shall be provided to the State.
- B. All reports of research, studies, publications, workshops, announcements, and other activities funded as a result of this proposal will acknowledge the support provided by the State of New York.**
- C. This agreement cannot be modified, amended, or otherwise changed except by a written agreement signed by all parties to this contract.**
- D. No failure to assert any rights or remedies available to the State under this agreement shall be considered a waiver of such right or remedy or any other right or remedy unless such waiver is contained in a writing signed by the party alleged to have waived its right or remedy.
- E. Expenses for travel, lodging, and subsistence shall be reimbursed in accordance with the policies stipulated in the aforementioned Fiscal guidelines.
- F. No fees shall be charged by the Contractor for training provided under this agreement.
- G. Nothing herein shall require the State to adopt the curriculum developed pursuant to this agreement.
- H. All inquiries, requests, and notifications regarding this agreement shall be directed to the Program Contact or Fiscal Contact shown on the Grant Award included as part of this agreement.
- I. This agreement, including all appendices, is, upon signature of the parties and the approval of the Attorney General and the State Comptroller, a legally enforceable contract. Therefore, a signature on behalf of the Contractor will bind the Contractor to all the terms and conditions stated therein.
- J. The parties to this agreement intend the foregoing writing to be the final, complete, and exclusive expression of all the terms of their agreement.

Iran Divestment Act

As a result of the Iran Divestment Act of 2012 (Act), Chapter 1 of the 2012 Laws of New York, a new provision has been added to the State Finance Law (SFL), § 165-a, effective April 12, 2012. Under the Act, the Commissioner of the Office of General Services (OGS) will be developing a list (prohibited entities list) of "persons" who are engaged in "investment activities in Iran" (both are defined terms in the law). Pursuant to SFL § 165-a(3)(b), the initial list is expected to be issued no later than 120 days after the Act's effective date, at which time it will be posted on the OGS website.

By entering into this Contract, Contractor (or any assignee) certifies that once the prohibited entities list is posted on the OGS website, it will not utilize on such Contract any subcontractor that is identified on the prohibited entities list.

Additionally, Contractor agrees that after the list is posted on the OGS website, should it seek to renew or extend the Contract, it will be required to certify at the time the Contract is renewed or extended that it is not included on the prohibited entities list. Contractor also agrees that any proposed Assignee of the Contract will be required to certify that it is not on the prohibited entities list before SED may approve a request for Assignment of Contract

During the term of the Contract, should SED receive information that a person is in violation of the above-referenced certification, SED will offer the person an opportunity to respond. If the person fails to demonstrate that it has ceased its engagement in the investment which is in violation of the Act within 90 days after the determination of such violation, then SED shall take such action as may be appropriate including, but not limited to, imposing sanctions, seeking compliance, recovering damages, or declaring the Contractor in default.

SED reserves the right to reject any request for assignment for an entity that appears on the prohibited entities list prior to the award of a contract, and to pursue a responsibility review with respect to any entity that is awarded a contract and appears on the prohibited entities list after contract award. Rev. 6/4/13