

Funding Opportunity

**NCLB, Title IV Part B
2013-2018 21st Century Community Learning Centers Grant Application**

Purpose of Funding	<p>The 21st Century Community Learning Centers (21st CCLC) program is authorized under Title IV, Part B of the Elementary and Secondary Education Act, as amended by the No Child Left Behind (NCLB) Act of 2001 (www.p12.nysed.gov). Its purpose is to create or expand community learning centers that:</p> <ol style="list-style-type: none">1. provide opportunities for academic enrichment, including providing tutorial services to help students, particularly students who attend low-performing schools, to meet State and local student academic achievement standards in core academic subjects such as reading and mathematics;2. offer students a broad array of additional services, programs, and activities, such as youth development activities, drug and violence prevention programs, counseling programs, art, music, and recreation programs, technology education programs, and character education programs, that are designed to reinforce and complement the regular academic program of participating students; and3. offer families of students served by community learning centers opportunities for literacy and related educational development.
Eligible Applicants	<p>Any public or private organization who meets the eligibility requirements can apply for 21st CCLC funding. This includes public school districts, BOCES, charter schools, private schools, nonprofit agencies, city or county government agencies, faith-based organizations, institutions of higher education, and for-profit corporations. For this RFP, private schools and charter schools are considered to be local education agencies.</p> <p>Grants will be awarded only to eligible applicants that propose to serve students who primarily attend:</p> <ol style="list-style-type: none">1. schools eligible for schoolwide programs under Title I, Section 1114 of the No Child Left Behind Act, and the families of these students, or2. schools with at least 40 percent of its students eligible for free or reduced priced lunch. (In New York City it is required that 40 percent of a school's students be eligible for free lunch.); and the families of these students.
Funding	<p>\$82 million annually, subject to federal fund availability. Annual grants awards will range from a minimum of \$50,000 to a maximum of \$1,200,000. For profit agencies may apply for an annual grant award of up to a maximum of \$400,000. Cost per student must not exceed an annual amount of \$1,500.</p>

Project Period	Grants will be for 5 years; July 1, 2013 through June 30, 2018, subject to availability of funds from the United States Department of Education and satisfactory performance of the grantee in the previous year.
Questions & Answers	<p>Questions regarding this Request for Proposals (RFP) must be submitted by E-Mail to: 21CRFP@mail.nysed.gov by November 16, 2012 and should not include questions related to the electronic submission of applications through the ReviewRoom portal.</p> <p>A complete list of all questions and answers will be posted at: http://www.p12.nysed.gov/funding/currentapps.html no later than November 30, 2012.</p> <p>Questions regarding the electronic submission of the RFP through the ReviewRoom portal should not be sent to NYSED. Those questions should be directed to support@reviewroom.com.</p>
Due Date and Submission	<p>The due date for application submissions is January 4, 2013 at 3:00 p.m. Complete applications must be submitted electronically through the Review Room portal.</p> <p>Instructions for submission through this portal are available at: https://nysed-21stcenturyrfp.myreviewroom.com/.</p>

**NCLB, Title IV Part B
21st Century Community Learning Centers Grant Application**

Purpose of Grant Program

The 21st Century Community Learning Centers (21st CCLC) program is authorized under Title IV, Part B of the Elementary and Secondary Education Act (ESEA), as amended by the No Child Left Behind Act of 2001 (www.p12.nysed.gov). Its purpose is to create or expand community learning centers that:

1. provide opportunities for academic enrichment, including providing tutorial services to help students, particularly students who attend low-performing schools, to meet State and local student academic achievement standards in core academic subjects such as reading and mathematics;
2. offer students a broad array of additional services, programs, and activities, such as youth development activities, drug and violence prevention programs, counseling programs, art, music, and recreation programs, technology education programs, and character education programs, that are designed to reinforce and complement the regular academic program of participating students; and
3. offer families of students served by community learning centers opportunities for literacy and related educational development.

Multiple program options may be used by all recipients of funding under the 21st CCLC grant including; before school, after school, weekends, holidays or summer recess. Under NY State's recently approved ESEA waiver, annual program funds may also be used to expand learning time within the school day. Expanded learning includes the time that a school extends its normal school day, week, or year to provide additional instruction or educational programs for all students beyond the State-mandated requirements for the minimum number of hours in a school day, days in a school week, or days or weeks in a school year. For Priority Schools (see page 10), expanded learning time within the school day must be offered to all students, with the intent of serving at least 50% of the student population.

All programs must be implemented through a partnership that includes at least one school and at least one community organization with demonstrated records of success in designing and implementing before school, after school, summer learning, or expanded learning time activities. Either partner; the local educational agency or the community organization, can be the lead fiscal agent. Any specific model that a school, community, or district considers for implementation must embody research-based principles of exemplary expanded learning opportunities that improve students' academic, social, and emotional outcomes.

Program Requirements

1. All 21st Century Community Learning Centers (21st CCLCs) must be located in a safe and easily accessible facility, and include the above three strands of program activity: academic enrichment, youth development and family literacy/educational programs for participants' families. See Appendix 7 for the 21st CCLC Performance Indicators.

2. Programs are to be designed to include the 10 essential elements of high quality out-of-school time programs outlined in the Program Quality Self-Assessment (QSA) Tool that was developed by the New York State Afterschool Network (NYSAN) and is available at www.nysan.org . The 10 essential elements of high quality programs listed below are the foundation for all professional development provided to 21st Century programs by the State Education Department, and the 21st Century Technical Assistance Resource Centers.

1. Environment and Climate
2. Administrative and Organization
3. Relationships
4. Staffing and Professional Development
5. Programming and Activities
6. Linkages Between the School Day and After School Programs
7. Youth Participation and Engagement
8. Parent, Family and Community Partnerships
9. Program Sustainability and Growth
10. Measuring Outcomes and Evaluation

The QSA Tool is to be used by all 21st CCLCs twice each year for self-assessment and planning for program improvement. It provides an opportunity for program leaders and key staff, in collaboration with other stakeholders, to utilize a common set of standards to assess, plan, design and execute strategies for ongoing program improvement. Grantees should refer to the NYSAN QSA Tool User's Guide for instructions on how to optimize the QSA process.

Additional information about the QSA Tool is available at:

<http://www.nysan.org/userfiles/file/nysan/>

3. All applicants choosing to utilize 21st CCLC funds must:

- support the school's overall academic focus and ensure the integration of academic support, social and emotional outcomes including enrichment in music and art, and skill development of participants;
- accelerate and enrich learning in core academic subjects by making meaningful improvements to the quality of programming in support of school-wide achievement goals through hands-on experiences that make learning relevant and engaging, and which are in addition to or different from how the school offers its instructional program;

- develop and sustain a meaningful partnership between the school(s) and high-quality community partner(s) who will interact directly with students and staff to offer a range of activities and enrichment opportunities that align with state standards, build student skills and interests, and deepen student engagement in school and learning in support of school-wide achievement goals, which promote higher attendance, reduce risk for retention or drop out, and promote graduation;
- actively address the unique learning needs and interests of all types of students, especially those who may benefit from approaches and experiences not offered in the traditional classroom setting;
- provide ongoing opportunities for literacy and related educational development for families, as well as create meaningful opportunities for them to be active participants in student experiences in ways that deepen connections to curriculum, teaching and learning, and the programs in which their children participate.
- build a professional culture of leadership and collaboration (e.g., designated collaborative planning time for teachers, program staff and community partners), offering on-site targeted professional development focused on strengthening instructional practice and enrichment opportunities and meeting school-wide achievement goals.

4. 21st CCLC funds must be used to supplement, not supplant regular school day staffing and/or activities.

Safety and Health Requirements

If the applicant is a school district, BOCES, charter school or nonpublic school, the applicant must adhere to New York State's SAVE laws including provisions related to fingerprinting of staff. Programs located in school buildings will be governed by the district's School Safety Plan and any related building-level plans. If the proposed program is located at a site other than the school building, the provisions for School-Age Child Care Registration detailed below for community organization applicants shall apply.

If the applicant is a community organization, college or university, municipality or other eligible entity and proposes to serve only children ages 13 and older, the applicant must work with its partnering school(s) to ensure the safety and health of all participants, including reasonable staff-to-student ratios and background clearances for staff.

If the 21st CCLC activities take place in a school building, all staff must be trained in and familiar with the School Emergency Response Plan and its emergency procedures.

The applicant must address how students will travel safely to and from the center and their homes.

School-Age Child Care Registration

If the applicant is a community organization, college or university, municipality or other eligible entity and proposes to serve seven or more children under the age of 13 beyond school hours, the applicant must obtain School-Age Child Care (SACC) registration in accordance with New York State Office of Children and Family Services (OCFS) Regulations at 18 NYCRR Part 414 to operate an after-school program.

Whether the program(s) operates in a school building or community site, it must meet SACC requirements pertaining to buildings and equipment, discipline, fire protection and safety, sanitation, staff background checks and clearances, staff to child ratios, staff credentials, staff training and supervision of children and youth. Programs with a mixture of children and youth under and over 13 years of age must complete the SACC registration process and all children and youth, including those over 13 years of age, will be considered part of the program. This provision applies to out-of-school time school programs whether situated in schools or community locations.

If the community partner is working with the LEA in the school building during school hours, a SACC license is not required during that time.

Applicants are urged to contact the OCFS Bureau of Early Childhood Services (BECS) regional office (Appendix 5) for SACC registration information and to consult with their local childcare resource and referral agency. This registration process must be completed prior to receiving 21st CCLC funds and prior to providing services to students. Applicants are encouraged to notify the appropriate regional OCFS office of their intent to seek registration once proposed sites have been identified. This will expedite the approval process subsequent to award notification.

Applicants selected for funding must submit a copy of the SACC license before the full 21st CCLC program can begin operation.

Available Funding

Approximately \$82 million is expected to be available annually statewide. Each applicant may apply for an annual grant award from a minimum of \$50,000 to a maximum of \$1,200,000. Agencies applying for multiple grants will be limited to a maximum annual award of \$1,200,000. The amount of 21st CCLC funds requested, divided by the maximum anticipated number of students served, must not exceed an annual amount of \$1,500 per student. **Application budgets that exceed the \$1,500 maximum allowable cost per student will not be reviewed.**

Up to \$1,200,000 will be set aside per year statewide to be shared among for-profit awardees. Each for-profit applicant is limited to a minimum of \$50,000 to a maximum annual award of \$400,000. Any unused for-profit funding will be distributed proportionally by geographic regions (New York City, the Big Four cities of Buffalo, Rochester, Syracuse and Yonkers, and the Rest of State) to the next ranked unfunded applicant who achieves a minimum passing score.

Project Period

Grants will be for 5 years; July 1, 2013 through June 30, 2018, subject to availability of funds from the United States Department of Education and satisfactory performance of the grantee in the previous year.

Eligible Applicants

Any public or private organization who meets the eligibility requirements can apply for 21st CCLC funding. This includes public school districts, BOCES, charter schools, private schools, nonprofit agencies, city or county government agencies, faith-based organizations, institutions of higher education, and for-profit corporations. For partnering purposes for this RFP, private schools and charter schools are considered to be local education agencies.

Grants will be awarded only to eligible applicants that propose to serve students who primarily attend:

1. schools eligible for schoolwide programs under Title I, Section 1114 of the No Child Left Behind Act, and the families of these students, or
2. schools with at least 40 percent of its students eligible for free or reduced priced lunch. (In New York City it is required that 40 percent of a school's students be eligible for free lunch.); and the families of these students.

Eligible School Buildings:

Eligible school buildings are listed by county and Beds Code in the following Excel spreadsheet. Data is based on the 2011-2012 school year. Note that there are individual pages within the spreadsheet for New York City (NYC) and Rest of State (RoS) public, charter and non-public schools:

- NYC Public Schools
- RoS Public Schools
- NYC Nonpublic Schools
- RoS Nonpublic Schools
- NYC Charter Schools
- RoS Charter Schools

Complete List of Eligible Schools, corrected October 15, 2012:

<http://www.p12.nysed.gov/sss/21stCCLC/CorrectedListofEligibleSchoolsBasedon2011-2012FRPL10-15-12.xls>

If a particular school does not appear on one of these lists, it can still be identified as a school that serves a high percentage of students from low-income families if it meets one of the following criteria:

- Administrative Option – In school districts with only one building per grade span (such as one K-6 building, one 7-8 building and one 9-12 building), if at least one of the buildings is on the list, then the other buildings in the district will be considered eligible for 21st CCLC purposes.
- Feeder Pattern Option - A middle or high school that is not on the list will be considered eligible if the average of the "poverty measure" of the elementary schools that feed into that school is at or above 40 percent. However, in New York City students apply to enroll in the high school of their choice. Therefore, the feeder schools cannot be used to determine the eligibility of the high school.

Note: If two or more schools are to be served by the applicant, at least 50% of the school buildings must meet the eligibility criteria stated above.

Applicants must ensure that the students they are proposing to serve are not going to be served by more than one 21st CCLC grant.

Competition Priorities

Section 4204(i)(1) of NCLB requires that competitive priority be given to applications that propose to target services to students who attend schools that have been identified as schools in need of improvement under NCLB, Section 1116 and are submitted jointly by eligible entities consisting of not less than one local educational agency receiving funds under Title I Part A and a community-based organization or other public or private entity. For this RFP, private schools and charter schools are considered to be local education agencies. Priority points will be awarded to applications that will serve students who attend Priority Schools, Focus Schools and/or High Needs Rural Schools. Links to these schools are below.

Priority Schools are among the lowest five percent in the State in terms of combined English language arts and mathematics performance that are not making progress, as well as those schools that have graduation rates below 60% for the last several years.

Focus Schools are those in which the performance of an accountability group (i.e., racial/ ethnic groups, low-income students, English language learners, and students with disabilities) is among the lowest performing in the State for English language arts or mathematics combined and in which the accountability group is not making progress.

- Applications serving Priority Schools are eligible to earn six (6) priority points when proposing to serve middle or high school students, or high school non-completers who attend Priority Schools. (High school non-completers are students who have dropped out or are at risk of not meeting the graduation requirements to earn a diploma).
- Applications serving Priority Schools are eligible to earn five (5) priority points when proposing to serve elementary students.
- Applications serving Focus Schools are eligible to earn three (3) priority points when proposing to serve middle or high school students, or high school non-completers who attend Focus Schools. (High school non-completers are students who have dropped out or are at risk of not meeting the graduation requirements to earn a diploma).

- Applications serving Focus Schools are eligible to earn two (2) priority points when proposing to serve elementary students.

For purposes of this RFP, applicants proposing to serve students in multiple grade levels will be awarded priority points based on the majority number of students who will be served in elementary, middle or high school. Middle level grades are considered to be 5-8.

Note: If an application proposes to serve students in more than one school, 66% of those schools must be Priority or Focus schools to be eligible for priority points. If an application includes both Priority and Focus schools, priority points will be awarded for each school and then averaged by the number of schools in accountability to determine the number of priority points to be awarded.

Example: Four schools are included in one application; School W is a Priority High School, School X is a Focus Middle School, School Y is a Focus Elementary School, and School Z is not in accountability status.

3 of the 4 schools are in accountability status:

(School W at 6 points) + (School X at 3 points) + (School Y at 2 points) = 11 points

$11/3$ schools = 3.67 priority points

Priority points will be added to the applicant's final score, as long as the base score is 75 or above.

List of Priority Schools:

<http://www.p12.nysed.gov/accountability/documents/2012-13PrioritySchools.xls>

List of Focus Schools:

<http://www.p12.nysed.gov/accountability/documents/2012-13FocusSchools.xls>

In addition:

- One (1) priority point will be given to applications that include high-need rural public school districts as defined by districts ranked number 4 on the Need/Resource Capacity Category Index.

The need/resource capacity index is a measure of a district's ability to meet the needs of its students with local resources based on a ratio of the estimated poverty percentage to the Combined Wealth Ratio of the District. High Need Rural districts are at or above the 70th percentile that have: 1) fewer than 50 students per square mile; or 2) fewer than 100 students per square mile and an enrollment of less than 2,500.

Note: If an application proposes to serve students in more than one high needs rural school district, 66% of those districts must have a ranking of 4 on the Need/Resource Capacity Category Index to be eligible for the priority point.

Link to Needs Resource Capacity Index for High Needs Rural School Districts:

<http://www.p12.nysed.gov/sss/21stCCLC/CopyofNeedsResourceCapacityCategoryIndexNo4.xls>

Priority Schools:

As outlined in New York's Elementary and Secondary Schools Act (ESEA) Flexibility Waiver, schools designated as Priority are required to expand learning time by a minimum of 200 student contact hours per year, beyond the current mandated length of 900 hours per year of instruction in elementary school and 990 of instruction per year in high school (Kindergarten and Grades 1-6 = 5 hours, Grades 7-12 = 5.5 hours x 180 days of instruction per year).

Priority schools may opt to satisfy this requirement by utilizing 21st CCLC funds before school, after school, weekends, holidays, or during summer recess. Grant funds may be used during the school day. If a Priority School opts to expand learning time by extending the regular school day it must meet all of the Program Requirements listed above, and in addition:

- deliver instruction and enrichment activities in active partnership with a community partner, with a goal of serving 50% of the target population;
- ensure that instruction in any core academic subject is delivered under the direction and/or supervision of a teacher who is certified in that particular subject area.

A Priority School Certification form must be completed by each Priority school opting to use 21st CCLC funds to satisfy expanded learning requirements. The form is located in Appendix 10 of the application.

Family Engagement

21st CCLCs must provide families of their students with meaningful opportunities for literacy and related educational development. Services for families should be based on a needs assessment, parent/guardian surveys, and/or demographic trends to determine what the families need and want. Examples of appropriate services are computer classes, resume preparation, English as a second language, assistance in understanding and supporting their children's learning at home, and how to communicate effectively with school. Meaningful family engagement also includes parents and guardians in continual planning and program improvement efforts in order to deepen their connection to the 21st CCLC programs in which their children participate.

Partnerships

Applicants must collaborate with partners including the eligible school(s) the students attend. A partnership signifies meaningful involvement in planning, as well as specific individual or joint responsibilities for program implementation. The application must contain signed Partnership Agreements with each partnering agency that describes the partners' significant involvement in planning and program implementation. A sample Partnership Agreement is provided in Appendix 1 that may be used as a guide to develop customized agreements. Please do not submit letters of support. They will not be reviewed.

Note: An individual, agency, organization or other entity that only provides services described in the proposed program and is not involved in overall program planning and implementation is considered a vendor, not a partner. Therefore, a Partnership Agreement is not required. For the purpose of this funding, the required independent evaluator is a vendor, NOT a partner.

NYSED Consortium Policy for State and Federal Discretionary Grant Programs

Applicants/participants can form a partnership or consortium to apply for the grant. In order to do so, the partnership or consortium must meet the following requirements:

1. The partnership/consortium must designate one of the applicants/participants to serve as the applicant and fiscal agent for the grant. The applicant agency must be an eligible grant recipient. All other consortium members must be eligible grant participants, as defined by the program statute or regulation.
2. In the event a grant is awarded to a partnership/consortium, the grant or grant contract will be prepared in the name of the applicant agency/fiscal agent, not the partnership/consortium, since the group may not be a legal entity.
3. The applicant agency/fiscal agent must meet the following requirements:
 - A. Must be an eligible grant recipient as defined by statute;
 - B. Must receive and administer the grant funds and submit the required reports to account for the use of grant funds;
 - C. Must require consortium partners to sign an agreement with the fiscal agent that specifically outlines all services each partner agrees to provide.
 - D. Must be an active member of the partnership/consortium, except where SUNY or CUNY Research Foundations are the fiscal agent.
 - E. Cannot act as a flow-through for grant funds to pass to other recipients. NYSED has established a minimum level of direct service of 15% to be provided by the fiscal agent.
 - F. Is PROHIBITED from sub-granting funds to other recipients. The fiscal agent is permitted to contract for services with other consortium partners or consultants to provide services that the fiscal agent cannot provide itself.
 - G. Must be responsible for the performance of any services provided by the partners, consultants, or other organizations and must coordinate how each plan to participate.

Sustainability

Section 4204(b)(2)(K) of NCLB requires “a description of a preliminary sustainability plan for how the 21st CCLC will continue after 21st Century funding ends.” All proposals must include

this sustainability plan. For more information on how to build a sustainable program, go to www.financeproject.org.

Nutritional Services

21st CCLC funds may not be used for nutritional services such as daily snacks for participants. However, for the benefit of the children being served, applicants are strongly encouraged to include such services as part of a comprehensive program. Many programs will be eligible to receive funds through the U.S. Department of Agriculture (USDA) Food and Nutrition Service for after-school snacks and, in some cases, to provide meals. For more information concerning the availability of these resources for coordination with 21st CCLC programs, please refer to the Department's 21st CCLC web page:

http://www.p12.nysed.gov/sss/21stCCLC/onlinetechassistance.html#Nutrition_Resources or www.frac.org/.

Limited food items may be purchased for special program activities such as cooking classes, field trips, and special events.

Eligible Activities

21st Century grantees may provide the authorized activities from the list below that are identified in the No Child Left Behind Act, Title IV, Part B, Section 4205. These activities listed below are intended to advance student achievement, positive youth development and services to families.

- Remedial education activities and academic enrichment learning programs, including providing additional assistance to students to allow the students to improve their academic achievement
- Mathematics and science education activities
- Arts and music education activities
- Entrepreneurial education programs
- Tutoring services (including those provided by senior citizen volunteers) and mentoring programs
- Programs that provide activities for limited English proficient students that emphasize language skills and academic achievement
- Physical fitness and wellness activities, nutrition education
- Telecommunications and technology education programs
- Expanded library service hours
- Programs that promote parental involvement and family literacy
- Programs that provide assistance to students who have been truant, or suspended, to allow the students to improve their academic achievement

- Drug and violence prevention, counseling programs and character education programs.

Evaluation Requirements

The evaluation requirements for 21st CCLCs consist of the three components described below:

1. A periodic independent evaluation, contracted by the grantee, is required to assess the 21st CCLC grantee's progress toward achieving its objectives to provide a high-quality after school program. The cost of the independent evaluator may not exceed 8 percent of the total annual amount requested. The contracted independent evaluator may not be the primary grant writer of this proposal.

The results of the evaluation must be (1) used to refine, improve, and strengthen the program; and (2) made available to the public upon request.

The evaluation must be based on the factors included in the principles of effectiveness. In order for a program to meet these principles, the program or activity must:

- be based upon an assessment of objective data regarding the need for expanded learning programs (including during summer recess periods) and activities in the schools and communities,
- be based upon an established set of performance measures aimed at ensuring the availability of high quality academic enrichment and other developmental opportunities, and
- if appropriate, be based upon scientifically-based research that provides evidence of the effectiveness of a program activity.

All independent program evaluators must adhere to the evaluation process set forth in the NYS 21st CCLC Evaluation Manual, which is located at:

<http://www.p12.nysed.gov/ss/21stCCLC/NYSEvaluationManual.pdf>

2. The Annual Performance Report (APR) is the federally required web-based reporting system. Grantees will be responsible for periodic entry of data into this system. The two purposes of the APR are to (1) demonstrate that substantial progress has been made toward meeting the objectives of the project as outlined in the grant application, and (2) collect data that addresses the performance indicators for the New York 21st Century Community Learning Center program (Appendix 7). APR measures of participants' progress include:
 - Percentage whose Math/English grades improved from fall to spring.
 - Percentage that meet or exceed the proficient level of performance on State Assessments in reading/language arts and mathematics.
 - Percentage whose regular classroom teacher reported improvements in homework completion, class participation and behavior.

3. The Program Quality Self-Assessment (QSA) Tool, the research-based planning and self-assessment tool developed by the New York State Afterschool Network (NYSAN), will be used by each program site two times each year. The QSA process should include representatives of all stakeholders involved in the program. Although the QSA Tool is not considered to be an evaluation tool, the feedback from the QSA does contribute to the overall understanding of the outcomes of the program. The QSA tool and User's guide are available at: <http://www.nysan.org/userfiles/file/nysan/>

Grantees must continually evaluate the objectives identified in the federal APR as well as any others they have set for themselves

Payee Information Form/NYSED Substitute W-9 Form

General Instructions: The Payee Information Form is a packet consisting of the Payee Information Form itself and an accompanying form known as the NYSED Substitute W-9 Form. The NYSED Substitute W-9 form may or may not be needed from your agency. Please follow the instructions for each as outlined below. The Payee Information Form is used to establish the identity of applicant organizations and enables them to receive funds from the NYSED. An online version of both forms is available at <http://www.oms.nysed.gov/cafe/forms/PIform.pdf>.

Vendor Responsibility

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

http://www.osc.state.ny.us/vendrep/resources_docreq_agency.htm.

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

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

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

Subcontractors:

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

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

Unallowable Expenditures

Planning expenses, daily nutritional services for participants, purchase of vehicles or facilities, major remodeling or new construction are not allowed.

Program Income

The intent of the 21st CCLC program is to establish programs that offer academic enrichment, youth development and literacy services to low-income students and their families. Although not specifically prohibited by federal law or program regulations, NYSED strongly discourages charging fees to these low income children and families. Programs proposing fees must offer a sliding scale of fees and scholarships for those who cannot afford to participate.

If a grantee earns any program income, the income **MUST** be used to reduce the amount of the grant award and defray current grant expenditures unless **PRIOR** approval is requested and received from NYSED. If a grantee wishes to earn program income for grant program activities without decreasing the amount of grant funds received from NYSED, the grantee must submit a written request and receive approval from NYSED and The U.S. Department of Education **PRIOR** to earning any program income. The request must describe the activities from which program income will be earned and the anticipated time period during which the income will be earned, as well as a statement that the program income will be added to the total grant, and expended for approved grant activities before claiming expenditures for such activities from NYSED. NYSED will then review the request and either approve or disapprove it.

In addition, grantees must report all program income to NYSED. NYSED will deduct program income from the grant award unless NYSED gave the grantee prior approval to add the program income to their grant.

For further information on the treatment of program income, see <http://www.oms.nysed.gov/cafe/guidance/Guide.html#Eleven>

Budget

The grant award period will begin on July 1, 2013 and end on June 30, 2018. The initial project period will be July 1, 2013 through June 30, 2014. Applicants must submit an FS-10 budget with this application, for the initial 12 month project period of 7/1/13 – 6/30/14. The 12 month budget will be reviewed and scored. Beginning July 1, 2013 through June 30, 2018, programs will be awarded annual funds based on the 12 month budget.

The applicant must complete the FS-10 Budget Form and Composite Budget. 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. The Composite Budget can be found in Appendix 11 of the RFP application.

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, including student transportation. Budgets must include travel and lodging for at least three persons to attend two one-day regional professional development events each year.

Please remember that travel costs for program employees, busing, field trips and admission fees should be itemized under Travel Expenses; travel for consultants should be itemized under Purchased Services.

Note that grant funds cannot be used for daily nutritional services, to purchase vehicles or facilities, or to support major remodeling or new construction.

Administrative Cost Cap

Administrative costs can be direct or indirect. No more than 10 percent of the total annual award may be used for administrative costs for school or agency administrative or support staff who do not provide direct service to participants in the program but whose cost can be identified and directly associated with the program. One example is the cost of a principal required to remain in the building during program hours.

The 10% administrative cap is inclusive of indirect costs. The Program Director salary is not included in the 10% administrative cap. For the purpose of this grant, program space rental and school usage fees are also considered a direct cost and are not included in the 10% administrative cap.

Indirect Cost Cap

LEAs and not-for-profits may include indirect costs in the budget. For-profits **cannot** include indirect costs. Indirect costs are costs of activities that benefit more than one program or objective and, therefore cannot be readily assigned to only one specific program or objective. Indirect costs are generally classified under functional categories such as general maintenance and operation expenses, general office and administration expenses, general overhead expenses and other allowable general expenses.

- **School districts and BOCES** must use the restricted indirect cost rates calculated by the State Education Department.

- **Community-Based Organizations (CBOs), Charter Schools and Municipalities** must prepare their budgets using an indirect cost rate of up to 2.6 percent. If they are notified that they have been selected to receive a 21st Century funding award, they may apply for a higher indirect cost rate of up to 8 percent, bearing in mind the 10% administrative cap, by completing and submitting an FS-87-R Form to the Department. Note that approval for a higher indirect cost rate must be requested and approved each year. The Form may be obtained by calling Grants Finance at 518-474-4815.
- **Colleges and Universities** may use an indirect cost rate of up to 8 percent.

For more information, visit the website

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

Planning and Professional Development Cost Cap

No more than 5 percent of the total annual award may be used for collaborative planning and professional development related directly to 21st CCLC programs.

Program Evaluation Cost Cap

No more than 8 percent of the total annual award may be used for independent program evaluation.

Minimum Direct Service Level Participation

As stated in the NYSED Consortium Policy, a lead agency cannot act as a flow-through for grant funds to pass to other recipients. NYSED has established a minimum level of direct service of 15% to be provided by the fiscal (lead) agent. Direct services can include costs connected with the Program Director, teachers, activity leaders, rent for program space and school usage fees, the provision specific activities for students and families, etc

Budget Adjustments in the Event of Shortfalls in Enrollment Goals

Grantee will furnish NYSED a roster of participants served in its program as of June 1st in each program year. This roster is due by June 15th. The number of students listed in the roster will be compared against the number of students proposed to be served in the RFP's 2012-2013 composite budget.

Non-Profit

In grant years two through five, if the current roster is less than 95% of the number set forth in the composite budget, the grantee's budget will be proportionately reduced by the amount of the percentage deficiency from the composite budget. For example, if the actual roster is 94% of the projected number, the grantees budget will be reduced by 1% in the year of the deficiency. There will be no fiscal impact in year one.

For-Profit

In grant years one through five, if the current roster is less than 95% of the number set forth in the composite budget, the grantee's budget will be proportionately reduced by the amount of the percentage deficiency from the composite budget. For example, if the actual roster is 94% of the projected number, the grantees budget will be reduced by 1% in the year of the deficiency.

Review and Rating of Applications

Proposals received after the due date will not be reviewed. Only the first 35 pages of an application's program narrative will be reviewed. The allowed 35 page limit includes the "Template for Goals and Objectives Based on 21st Century Community Learning Centers Performance Indicators" (Appendix 8) and charts or graphs used to display numerical data or activity schedules. Other types of charts are not allowed and will not be reviewed. The FS-10 Budget and Partnership Agreement(s) are not considered part of the program narrative.

The State Education Department will administer a peer review process of proposals that includes the following components:

- Screening of all proposals to verify eligibility for 21st Century funding and for priority points.
- Recruitment, selection and assignment of peer reviewers to ensure geographic diversity, confidentiality, and the avoidance of conflicts of interest.

Each accepted application will be reviewed and rated by two reviewers according to the points indicated in the Scoring Evaluation Rubric (Appendix 2). A scoring guide for applicants can be found in Appendix 9. Scores from each reviewer will be averaged to compute the final score. If there is a difference of more than 15 points between the two reviewer's scores, a third reviewer will review the application and the two closest scores will be averaged to compute the final score. In those instances where the third review falls equally between the initial two scores, the score of the third review will be used as the final score.

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

An application (except from a for-profit applicant – see next section "For-Profit Applicants") must receive a final average score of 75 or higher out of 100 points (not including priority points) to be considered for funding.

Applications will be ranked according to final average score plus priority points from highest to lowest in one of the following three geographic areas:

1. New York City
2. Big Four Cities (Buffalo, Rochester, Syracuse, Yonkers)

3. Rest of the State

Funds will be allocated to each geographic area as follows: 55 percent to New York City; 15 percent to the big four cities of Buffalo, Rochester, Syracuse and Yonkers; and 30 percent to the Rest of the State.

Placement of applicants into one of these groups will be based on the home district of the majority of students targeted to receive services, 2010 U.S. Census Bureau data, and will be made at the discretion of SED staff.

Awards will be made in the full amount of the budget, as adjusted, to applicants within each geographic area in rank order of score until the total amount of funds set aside for that geographic area are insufficient to fully fund the next ranking proposal in that geographic area. The next ranked applicant in that geographic area will then be given the option of receiving partial funding for a reduced program. If funds remain in a geographic area after awards are made to all applicants who score 75 or higher, the funds will be redistributed proportionately to the other geographic area(s).

In the event of a tie score, the score on the following parts of the Proposal Narrative will be used to determine the higher ranking:

- The score on item 3; Key Elements of Program Design, and if still tied;
- The score on item 2; Need for Project.

If still tied, the application with the highest average free and reduced lunch rate (free lunch rate in NYC) of the school(s) will be ranked higher.

Prior to final award, NYSED program staff will meet with potential lead agency awardees that have not administered a grant with NYSED in the past, and those agencies that have had prior A-133 audit findings in relation to 21st CCLC funding to confirm agency capacity to administer the 21st CCLC grant. The purpose of this meeting is for NYSED to clearly articulate the fiscal requirements of the grant, and for the agency to accept or decline the funds.

For-Profit Applicants

Up to \$1,200,000 will be set aside per year to be shared among for-profit awardees. Each for-profit applicant is limited to a minimum annual award of \$50,000 and a maximum annual award of \$400,000. Applications from for-profit organizations will be reviewed and ranked separately from all other applicants. Each eligible application from a for-profit organization must receive a minimum technical score of 60 points (out of a possible 80 points) in the peer review process using the point scales indicated in the first four sections of the Scoring Evaluation Rubric (Appendix 2) to be eligible for the objective cost scoring phase. The remaining 20 points allowable for the “Adequacy of Resources” section which addresses the proposed budget will be scored separately according to cost criteria (cost per student) by the NYSED’s Contract Administration Office.

The final score awarded will be the total of the final average technical score (up to 80 points), the “Adequacy of Resources” or cost score (up to 20 points) and priority points, if applicable.

The submitted budget will be awarded points pursuant to a formula which awards the highest score of 20 points to the budget that reflects the lowest overall cost per student. The remaining budgets will be awarded points based on a calculation that computes the relative difference of each proposal against the lowest budget submitted. The resulting percentage is then applied to the maximum point value of 20 points.

For-profit applicants will be ranked separately from all other applicants according to their final score from highest to lowest. For-profit applicants will not be separated into three separate geographic regions.

Awards will be made to for-profit applicants in rank order of score until an insufficient amount of the \$1,200,000 set aside for for-profit applicants is available to fund the next ranking for-profit applicant in full. The next ranked applicant after that will be given the opportunity to operate a smaller program using the remaining funds allocated to for-profit applicants. In the case of a tie score, the applicant with the lower cost per student will be ranked higher. After that, any unused for-profit funding will be distributed proportionally by geographic region to the next ranked unfunded non-profit applicant who achieves a minimum passing score.

Entities' Responsibility

Entities that receive 21st CCLC funding are responsible for the proper disbursement of, and accounting for, program funds, and to be fully compliant with the federal Education Department General Administrative Regulations (EDGAR). Written agency policy concerning wages, mileage and travel allowances, overtime compensation, or fringe benefits, as well as State rules pertaining to competitive bidding, safety regulations, and inventory control must be followed. Supporting or source documents are required for all grant related transactions entered into the local agency's recordkeeping system. Source documents that authorize the disbursement of grant funds consist of purchase orders, contracts, time & effort records, delivery receipts, vendor invoices, travel documentation and payment documents, including check stubs.

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

For additional information about grants, please refer to the previously noted Fiscal Guidelines for Federal and State Aided Grants at <http://www.oms.nysed.gov/cafe/guidance/guidelines.html>

Other Reporting Requirements

Each recipient of funds under this RFP will be required to submit a mid-year report each year on January 31 to the State Education Department in a format to be provided by the Department. Reporting elements include but are not limited to:

- Summary of program activities.

- Progress made toward achieving the goals and objectives in each of the three components of the program: academic enrichment, youth development and literacy services to participant's families.

Debriefing Procedures

All applicants may request a debriefing within five (5) business 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 21CRFP@mail.nysed.gov.

If requested, a summary of the strengths and areas for improvement of the application will be provided 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 the written debriefing letter. The protest letter must be filed with:

NYS Education Department
Contract Administration Unit
89 Washington Avenue
Room 505W 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.

Application Submission Instructions

Grant applications are due no later than January 4, 2013 at 3:00 p.m.

By going to the website <https://nysed-21stcenturyrfp.myreviewroom.com/>, you will be able to create your application account. Click “Sign Up” on the right hand side of the page and you will be sent to the account creation page. Once you are on this page, you will be asked to specify a few details such as your email address and your desired password in order to create your account. An email will be sent to you in order to activate your account. Simply log into your email and click on the activation link

Once you have created and activated your account, you can log in and will be brought to your main dashboard where you may find additional instructions if provided by the Review Room Administrator as well as any tasks that you need to complete in order to submit your application. You will be able to sign in and out of the room as much or as little as desired.

To log back into your account in the future, go to <https://nysed-21stcenturyrfp.myreviewroom.com/>, and sign in using the email address and the password you (previously) created.

To complete a task, you must simply click on it and the task will open for you. From there, you will upload the required documents. Once you have completed a task, you may preview your submission or download it for your files.

Once you have completed all of the required tasks, you must click on the Submit button at the bottom of the page to have your application sent on to the review portal. Here, you may also download the entire document for your files.

For additional information and resources that will help in development of your grant application, go to <https://nysed-21stcenturyrfp.myreviewroom.com/res/p/resources-for-applicants/>

If you need any help or have any questions during the application process, please click on the Help link in the upper right hand side of your page.

In addition to the electronic application submission, One (1) copy of all pages that require an original signature must be postmarked by January 4, 2013 and mailed to:

New York State Education Department
Grants Management
Room 464 EBA
89 Washington Avenue
Room 464 EBA
Albany, NY 12234

The mailed application packet should include all of the following items. Each of these items requires an original signature. Please compile your mailed application packet in the following order. Include one original for each of the following:

- Application Cover Page
- Participating Schools Form
- Partnership Agreement(s) (Appendix 1)
- FS-10 Budget

- Capacity Determination Form
- Payee ID Form. Note: Payee ID Form is not required if applicant is an LEA

Application Form :

The RFP application can be found at:

<http://www.p12.nysed.gov/funding/2013-2018-21st-cclc/>

Webinar

Applicants may access a Technical Assistance Webinar for this RFP at:

<http://www.p12.nysed.gov/sss/21stCCLC/> .