**Announcement of Funding Opportunity**

**RFP #GC19-012**

New York State Smart Scholars Early College High School ECHS Program

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| --- | --- |
| **Purpose of Grant** | To increase high school graduation and postsecondary degree completion rates among historically underrepresented and/or economically disadvantaged students by developing Smart Scholars Early College High School (ECHS) Partnerships in New York State. Note: Currently funded Smart Scholars Early College High School (SS-ECHS) partnerships may apply to create a new Smart Scholars ECHS project, separate from currently operating projects; however, they may not apply to expand their current projects. Additionally, these funds are not meant to replace any previously awarded Smart Scholars ECHS projects. |
| **Grant Term** | January 1, 2020 – August 31, 2024 |
| **Project Description** | Through the creation of Smart Scholars ECHS Programs consisting of partnerships between public school districts, BOCES, and eligible institutions of higher education (IHEs), historically underrepresented and/or economically disadvantaged students in Grades 9-12 will be provided additional counseling and academic support and college courses which will be used to both meet the high school graduation/Regents diploma requirements and earn a minimum of 24 and up to 60 transferable college credits or an associate degree at no cost to their families. Furthermore, the project commits to fully implement the NYS SS-ECHS model beginning in 9th grade to assure that all students have a consistent, innovative program and college-going culture and all core faculty can collaborate and focus on SS-ECHS instructional and support services. |
| **Eligible Applicants** | Public school districts or BOCES must serve as the applicant/fiscal agent for this grant program. An exception will be made for applications from IHEs that currently serve as lead fiscal agent in an existing Smart Scholars ECHS partnership. Those IHEs may serve as the applicant/fiscal agent for new projects proposed under this RFP, in which case they must be named on the cover page as the applicant (i.e., Research Foundation may be designated as fiscal agent but is not allowed to be named the lead applicant). To implement this grant program, the public school districts must also be partnered in a formal agreement (MOU) with one or more institutions of higher education (IHEs). **Applications that do not include a MOU signed by all required partners will not be reviewed for consideration.** Letters of support will not be accepted in lieu of a required partner’s signature on the MOU. **If the lead applicant is a BOCES, at least one Target District served by the BOCES must join the partnership and sign the MOU. Additionally, at least 51% of the students who enroll in the consortium program must be from Target District(s).** Please see section VI. Applicant and Partner Qualifications below for additional information.IHEs must be public (SUNY/CUNY), private, or independent degree-granting colleges and universities (IHEs) whose programs are registered with the New York State Education Department (NYSED). Note: For-profit institutions of higher education are not eligible to serve as a higher education (IHE) partner. Either the public school district, BOCES, or IHE partner may serve as the lead implementation partner for this grant program.  |
| **Amount of Funding** | Estimated Funds Available: $19,500,000 over the five-year grant cycle (January 1, 2020 – August 31, 2024), contingent on availability of funds after the Planning Period. The planning period is defined by the amount of time needed from the time of award notification and the time a project to begin the SS-ECHS program on September 1, 2020. Regardless of the amount of planning time needed, all programs must meet the pre-launch criteria set forth by the New York State Education Department (e.g., see XV. Required Reports; Accountability Section). NYSED anticipates awarding up to 12 projects contingent on the total of the multi-year requests and availability of funds. Please see section IX. Project Funding for additional information.  |
| **Sub-contracting** | Subcontracting will be limited to twenty-five percent (25%) of the annual contract budget. Subcontracting is defined as non-employee direct personal services and related incidental expenses, including travel; it does not include service contracts between members of the partnership. Services provided by collaborators, such as community-based organizations (CBOs) and local businesses, will be subject to the 25% limitation. This limit applies to subcontracting carried out by the applicant and members of the partnership. It is the responsibility of the applicant/fiscal agent to ensure that the aggregate total subcontracting carried out by the applicant/fiscal agent and the partners does not exceed the 25% subcontracting limit.The fiscal agent/ applicant must provide at least 50% of direct program services.  |
| **Mandatory Application Requirement** | **Applications must include a Memorandum of Understanding (MOU) signed by all partners in order to be reviewed for consideration. Applications that do not include a MOU signed by all required partners will not be reviewed for consideration. Letters of support will not be accepted in lieu of a required partner’s signature on the MOU.**NOTE: If seeking the additional industry partner funds (see Project Funding), the MOU must be signed by the industry partner and must contain the required commitments (see Applicant and Partnership Qualifications) in order to be eligible to receive consideration for the additional funding.  |
| **Non-Mandatory Notice of Intent** | The Notice of Intent (NOI) is not a requirement for submitting a complete application by the application date; however, NYSED strongly encourages all prospective applicants to submit an NOI to ensure a timely and thorough review and rating process. A non-profit applicant’s NOI will also help to facilitate timely review of their prequalification materials. The notice of intent is a simple email notice stating your organization’s (use the legal name) intent to submit an application for this grant. Please also include your organization’s NYS Vendor ID. The due date is August 28, 2019. Please send the NOI to ECHSRFP@nysed.gov. |
| **Prequal-ification Requirement** | The State of New York has implemented a statewide prequalification process (described on the [New York State Grants Management website](https://grantsmanagement.ny.gov/)) designed to facilitate prompt contracting for not-for-profit vendors. All not-for-profit vendors are required to pre-qualify prior to grant application. This includes all currently funded not-for-profit institutions that have already received an award and are in the middle of the program cycle. The pre-qualification must be completed by all not-for-profit institutions prior to application in order to receive an award under this RFP. Please review the additional information regarding this requirement in the Prequalification for Individual Applications section below. |
| **Application Deadline** | Submit one (1) original and two (2) paper copies (both the narrative application and the budget/budget narrative, and M/WBE documents) as well as one electronic copy of the complete application on flash-drive to the following address:New York State Education DepartmentAttention: NYS ECHS RFPOffice of Postsecondary Access, Support and Success89 Washington Ave., Rm. EBA 971Albany, NY 12234**Applications must be postmarked by September 4, 2019.** |
| **Planning Phase** | January 1, 2020 – August 31, 2020 |
| **Implementation Period** | September 1, 2020 – August 31, 2024 |
| **Questions and Answers** | All questions about this RFP must be submitted via e-mail to ECHSRFP@nysed.gov by August 7, 2019. A complete list of Questions and Answers will be posted no later than August 21, 2019 on the NYSED ECHS webpage: <http://www.highered.nysed.gov/kiap/smartscholars.html>  |
| **State Education Department Contacts** | Program: Adrienne Day, ECHSRFP@nysed.govFiscal: Adam Kutryb, ECHSRFP@nysed.govMWBE: Brian Hackett, ECHSRFP@nysed.gov |

****The University of the State of New York****

****THE STATE EDUCATION DEPARTMENT****

****Office of Access, Equity & Community Engagement Services****

****Office of Postsecondary Access, Support and Success****

****89 Washington Avenue, Room EBA 960****

****Albany, NY 12234****

Guidelines for Submission of the

Smart Scholars Early College High School (SS-ECHS) Partnership Program

for the period of 2020-2024

**THE UNIVERSITY OF THE STATE OF NEW YORK**

**Regents of The University**

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Smart Scholars Early College High School Program (SS-ECHS)

**2020 - 2024**

**Application Guidance**

# Definitions of Frequently Used Terms

**Academic Year:** The two regular semesters, three trimesters, or required equivalent arrangement normally occurring between August and June.

**Business Partner:** A business organization or industry entity with a local presence that may collaborate with a NYS SS-ECHS partnership to provide opportunities such as site visits, mentors, and/or internships.

**Cohort:** For SS-ECHS reporting purposes, students who are entering grade 9 for the first time form a student cohort.  Students who drop out of the program remain in the cohort—that is, the denominator of the cohort credit accumulation rate calculation—and any credits they accumulated while in the program are included in the numerator.

**Community-based organization (CBO):** An eligible CBO collaborator will be a private non-profit 501(c)3 organizations which is representative of a community or significant segments of a community and which provides educational or other related basic human services to individuals in the community.

**Domicile:** For the purposes of NYS residency determination for NYS SS-ECHS, a permanent residence or domicile shall mean the person’s legal home. A person may have more than one residence; however, they will have one domicile or permanent residence. The permanent residence or domicile (rather than the temporary residence) controls the jurisdiction for taxation and for the exercise of legal rights.

**Economically Disadvantaged:** For the purpose of the NYS SS-ECHS program, a student is economically disadvantaged if he or she meets the income eligibility criteria for the free and reduced price lunch program. Once admitted, a student may continue to receive supportive services as needed, even if the family income rises above the current eligibility standards.

**Eligible Applicant:** A single NYS public school district or BOCES must serve as the applicant/fiscal agent for the application. An exception will be made for applications from IHEs that currently serve as lead fiscal agent in an existing Smart Scholars ECHS partnership. The public school district or BOCES **must** be partnered in a formal agreement (MOU) with one or more institutions of higher education (IHEs). See Applicant and Partnership Qualifications.

**Eligible Student:** Any student at a NYS public high school that offers an ECHS Smart Scholars program.  At least 90% of the SS-ECHS enrolled students must be economically disadvantaged, and/or from groups that are historically underrepresented in postsecondary education and/or academically at-risk.

**First Generation College Goer**: A student from a family in which neither parent (whether natural or adoptive) has completed postsecondary education.

**Historically Underrepresented:** “Underrepresented” in higher education refers to student groups that are disproportionately lower in number relative to their number in the general population, and “historically” means that this is a ten year or longer trend. For the purposes of this RFP, the following students are considered historically underrepresented: African American/black, Hispanic/Latino(a), American Indian or Alaskan native; first generation college goers; students with disabilities; or students academically at-risk.

**Implementation Lead:** The grant partner that is responsible for coordinating and overseeing the planning and implementation of the program. The implementation lead may be either a school district, a BOCES or an IHE partner.

**Industry Partner Funds** or **Industry Partner Bonus:** If the applicant collaborates with a business partner that commits in the MOU to provide direct career support to participants—including site visits, mentorship of students, job shadowing opportunities, project-based learning, skills development, and paid internships—that can lead to jobs with a middle-class salary that are tied to a “very favorable” job outlook, it may receive a bonus of $100,000 for partnering with that industry partner.

**Memorandum of Understanding (MOU)**: An MOU is a written document or agreement between the school district and the IHE partner(s) that delineates all roles and responsibilities to which the parties will commit in the contract resulting from this RFP. The IHE must agree in the MOU to accept all credits earned at their institution by students completing this program. See ATTACHMENT V – Sample Memorandum of Understanding.

**New York State Residency:** The student is a resident of the State if his/her domicile is in New York State **and,** for the purposes of this RFP, he/she is enrolled in an eligible NYS public school (i.e., SS-ECHS) in grades 9 through 12.

**Prioritization of Awards:** Priority will be given to proposals from sending schools with a cohort high school graduation rate below 82% based on the 4-year cohort graduation rate for the 2017-18 school year (August) published annually by NYSED (see https://data.nysed.gov/). Should there be applicants who have graduation rates higher than 82% and there is availability of resources to fund such projects, such projects will also be considered.

**Program Year:** For purposes of this RFP, September 1 through August 31 constitute a program year.

**State Fiscal Year:** The accounting period for the New York State government that begins on April 1 and runs through March 31.

**Students with Disabilities:** A student must be determined to: (1) have a physical or mental impairment that substantially limits one or more major life activities; or (2) have a record of such impairment; or (3) be regarded as having such impairment. For purposes of this RFP, major life activities include, but are not limited to, caring for oneself, performing manual tasks, seeing, hearing, eating, sleeping, walking, standing, lifting, bending, speaking, breathing, learning, reading, concentrating, thinking, communicating, and working. “Substantially limited” generally means that a person is unable to perform a major life activity that the average person in the general population can perform. Mitigating or corrective measures such as medication or corrective lenses may be considered when determining whether a person is substantially limited.

**Target Districts:** Districts identified as Target Districts for the 2018-2019 school year. Applications that will have at least 51% of their students enrolled from a Target District(s) – will receive a 3-point bonus. Lists of the eligible Target Districts are included within as ***Appendix T*** and may be found on the [NYSED website](http://www.nysed.gov/accountability/essa-accountability-designation-materials).

**Target Population:** A student who is economically disadvantaged or from a group that is historically underrepresented in postsecondary education and/or academically at risk.

**Very Favorable Job Outlook** or **In-Demand Career Pathway:** An in-demand industry partner with a “very favorable” job outlook is defined by the New York State Department of Labor (<https://www.labor.ny.gov/stats/reos.asp> [2016-2026 Statewide Long-Term Occupational Projections](https://www.labor.ny.gov/stats/2016-2026-Statewide-Long-Term-Occupational-Projections-with-Separations.xlsx)). The specific industries for an in-demand partner are as follows:

* Web Developers
* Civil Engineering Technicians
* Environmental Science and Protection Technicians

# Description of Program Objectives and Background

New York State has been part of the Early College High School (ECHS) movement since its inception in 2002. In 2009, the New York State Board of Regents launched the Smart Scholars ECHS (SS-ECHS) Program as a strategy to close the high school and college achievement gaps in New York State. Students who are from groups historically underrepresented in postsecondary education, academically at-risk, and/or economically disadvantaged are the target population served by a SS-ECHS. Essential components of the program include an active partnership between a school district and an institution of higher education (IHE) to provide an integrated high school and college curriculum, and the academic and social supports the target student population needs to graduate high school on time with a Regents diploma and at least 24 or up to 60 transferable college credits, at no cost to their families. Successful SS-ECHS students graduate prepared to complete a postsecondary degree on time or early, with no need for remedial courses.

NYSED now seeks to further expand SS-ECHS Programs in New York State through the creation of the additional SS-ECHS Partnerships. The SS-ECHS Program will provide students the opportunity and support to complete a minimum of 24 and up to 60 transferable college credits or an associate degree by the time they graduate from high school. Through this Request for Proposals (RFP), NYSED seeks proposals from New York State Public School Districts in partnerships with IHEs for the development and operation of Smart Scholars Early College High School programs. The SS-ECHS partnership must include an IHE partner(s). The SS-ECHS program will potentially save students one to two years of time at college and college expenses needed to complete a postsecondary degree.

Community-based organizations (CBOs) providing support services for high need communities and businesses or industry entities that have a presence in the community of the proposed SS-ECHS are also encouraged to participate as collaborators in the program in support of the partnerships between the schools and the colleges. However, CBOs and businesses/industry entities are not eligible to apply as a lead fiscal agent or lead implementation partner under this RFP.

NYS SS-ECHS grant recipients will be expected to participate in a program evaluation process that is based on performance targets, as described in the **Accountability** section of this RFP. Furthermore, continued funding past the planning year and implementation years will be contingent on satisfactory reporting, the achievement of annual performance benchmarks and the availability of funds.

# Scope of Services

The state-wide purposes of the New York State Smart Scholars Early College High School Program are to increase the number of students who complete a postsecondary degree without the need for remedial courses, especially among **eligible students** who are historically underrepresented, and/or economically disadvantaged.

There are three critical objectives of the New York State Smart Scholars Early College High School Program:

1. Eligible students will be provided a high school curriculum whose core high school courses are aligned with the partner IHE’s introductory level courses, and additional academic and counseling support in 9th through 12th grade to ensure that they are ready to participate in rigorous collegiate courses offered in the SS-ECHS; Smart Scholars students will be served for the full-day, beginning in 9th grade to assure that all students have a consistent, innovative program and college-going culture and all core faculty have the opportunity to collaborate and focus on SS-ECHS instructional and support services.
2. Eligible students, in Grades 9 – 12, will be provided academic and career counseling beyond what they would ordinarily receive in their designated high school.
3. Eligible students, in Grade 9 – 12 will be provided college courses to earn at least 24 and up to 60 transferable college credits or an associate degree from a partner IHE by the time they graduate from high school while also meeting the high school graduation/Regents diploma requirements.

# Detailed Requirements/Specifications

**The NYS Smart Scholars ECHSs to be funded under this RFP will possess the following required elements:**

1. A Steering Committee, with the support and participation of key leadership at each partner, will demonstrate success in planning and developing a course of study for the program and an ongoing plan to meet, address any issues, identify resources, and respond to emerging opportunities. The steering committee must include representation from all K-12 and IHE partners (and industry partner(s)/CBOs, if applicable) who will collaborate and plan to implement the SS-ECHS.
2. The target population is high school students who are economically disadvantaged, and/or from groups that are historically underrepresented in postsecondary education and/or academically at-risk. At least 90% of the SS-ECHS enrolled students must meet these targeted eligibility requirements.
3. Eligible students enter the SS-ECHS at no later than the 9th grade level and complete the SS-ECHS program in four years. The SS-ECHS program does not extend the senior year of high school into a 5th year or longer. SS-ECHS students should graduate high school within four years.
4. The SS-ECHS is a stand-alone school or an autonomous academy or a small learning community within a school where students are teamed for at least their core subjects.
5. All students enrolled in the SS-ECHS program will participate in a summer program on the partner IHE campus. A summer program may be offered to more than one grade level; however, one should be offered at least the summer prior to the first school year that students take college courses on the partner IHE campus. Its duration should be at least three weeks to provide an orientation to the campus and help promote a college-going culture. The summer program may be of a longer duration and include one or more college courses.
6. If the SS-ECHS is not located on the partner IHE’s campus, all students must take at least three of their college courses on the partner IHE campus. For SS-ECHS programs in which students earn an associate degree, students must take at least six of their college courses on the partner IHE campus.
7. The SS-ECHS’s K-12 and IHE partners demonstrate a commitment to collaborate to provide students with intense academic and counseling supports and career counseling during the 9th and 10th grade to promote readiness for college courses by 10th grade or earlier, and a college-going culture. These supports continue throughout the students’ high school tenure to ensure their mastery of college level work and readiness to complete a postsecondary degree.
8. Students are provided with at least 90 hours of extended learning time in every project implementation year.
9. Over the five-year grant cycle, a minimum of 5 additional professional development days should be planned for high school staff over and above that provided to all staff in the K-12 system. This professional development should focus on secondary – postsecondary curriculum alignment and developing a college-going culture. Target faculty and administrators from the partner IHE(s) should also participate in these professional development activities.
10. There is an academic plan in place (or developed during the first grant period, i.e., the planning phase) that seamlessly aligns the secondary and postsecondary curriculum, and enables students to earn a Regents diploma and a minimum of 24 and up to 60 transferable college credits or an associate degree within four years of high school, through guided pathways to postsecondary degrees (i.e., 4-year scope and sequence).
11. No remedial or developmental college courses are included in the academic plan.
12. All college courses offered to SS-ECHS students are offered at no cost to the students’ families.
13. Only accredited colleges/universities whose academic programs are registered by the New York State Education Department, Office of College and University Evaluation will award college credit and degrees earned in this program. (This information is located on the NYSED website.)
14. All college courses offered to SS-ECHS students have course numbers and titles listed in the partner IHE catalog, and the New York State Education Department’s Inventory of Registered Programs (IRP). These courses use the same syllabi and are assessed by the same tools used for traditional students matriculated at the IHE.
15. The instructors for the college level courses provided to the SS-ECHS students are either faculty at the partner IHE, adjunct faculty at the partner IHE, or teachers at the SS-ECHS who have undergone a vetting process that is comparable to that of traditional faculty and/or adjuncts at the partner IHE conferring the college credit.
16. The SS-ECHS partners are committed to supporting the sustainability of SS-ECHS in New York State by participating in professional development, data collection, and program evaluation organized and/or endorsed by NYSED.
17. To implement a NYS Smart Scholars Early College High School, fully executed MOUs, establishing roles and responsibilities between the K-12 and IHE partners, and reflecting the above design elements must accompany the proposal. A provision for the IHE partner to collect and share with NYSED data on the progress of SS-ECHS students who matriculate at their institution must be included in the MOU. Applications that do not include a MOU signed by all partners will not be reviewed for consideration. The MOU must be signed by all partners. Letters of support will not be accepted in lieu of a partner’s signature on the MOU. The fiscal agent and implementation lead must be clearly identified in the MOU. (See sample provided in Attachment V. The sample is only a guide.)

NOTE: If seeking the additional industry partner funds (see Project Funding), the MOU must be signed by the industry partner and must contain the required commitments (see Applicant and Partnership Qualifications) in order to be eligible to receive consideration for the additional funding.

1. By the end of this funding period each Smart Scholars High School must have a partnership that gives every student in the school(s) access and the opportunity to obtain at least one college credit including but not limited to an Early College High School, Dual Enrollment, or Advanced Placement Courses. Such programming shall not be funded by this award (SS-ECHS). Such requirement shall be evidenced by an annual attestation by the Superintendent of Schools.
2. Any change in the structure or key leadership staff of the SS-ECHS project must be subject to the review and approval of SS-ECHS-SED.

**Priority Features That Can Earn Bonus Points:**

The NYSED will give priority, by the assigning of bonus points, to proposals that include one or more of the following elements:

* The majority of the students (i.e., 51% or more of the students) are enrolled from one or more Target Districts. The same requirements apply to consortium and BOCES applicants. – 3 Bonus Points
* The lead applicant of an existing SS-ECHS project that can demonstrate its graduates have earned an average of 24 or more college credits for at least 2 years prior to September 1, 2018 and demonstrate at least 95% annual promotion rate through senior year. – 3 Bonus Points

**Location of SS-ECHS:**

The location of the SS-ECHS in relation to the partner IHE(s) will influence the assignment of points in the **Program Location** section of the proposal narrative. The national Early College High School Initiative has found that the experience of attending classes and other activities on a college campus significantly contributes to developing students’ identity as college goers. They refer to this phenomenon as “the power of place.” (See the [Edutopia](https://www.edutopia.org/practice/early-college-model-giving-students-college-access-high-school) and [Jobs for the Future](https://www.jff.org/resources/page/1/dual-enrollmentearly-college)  websites for further details.) For SS-ECHSs not located directly on the partner IHE’s campus, NYSED requires that the applicants provide all students with at least three courses on the partner IHE campus and encourages applicants to hold a significant number of classes and/or activities on the partner IHE campus. Furthermore, SS-ECHSs not located on the partner IHE campus must be located close enough for the district partners to transport students for classes and activities. To accomplish this, the SS-ECHS and partner IHE(s) should be no more than a 45-minute driving distance from each other.

# Performance Standards

**During the Implementation years, projects that do not meet 95% of their enrollment targets will have their funding for that grant year reduced based upon actual enrollment, as follows.** The ECHS program will submit a roster of students enrolled as of the first Wednesday in October (BEDS Day) of the project year. This roster will be due by November 1st of the project year. Each implementation year, the number of students listed in this roster will be compared against the number of students proposed to be served in the approved budget. If the current roster is less than 95% of the number set forth in the proposed budget, the grantee’s budget will be proportionally reduced by the percentage of the deficiency from the proposed budget. For example: if the actual roster is 94% of the projected number, the grantee’s budget will be reduced by 6% in the year of the deficiency.

A portion of the project funds may be withheld contingent upon timely expenditure and performance reporting and adequate student progress. Late reporting in any project year may result in the withholding of the final project payment until all reports due that project year have been submitted, reviewed and approved. Adequate student progress will be assessed in accordance with the following standards. Penalties will result for projects not meeting college credit attainment goals. The student demographics and outcomes below have been identified as standards for NYS Smart Scholars Early College High Schools. NYSED reserves the right to modify any and/or all standards.

* Students enter the SS-ECHS no later than the 9th grade level and graduate within four years
* At least 51% of the students are eligible to participate in the free or reduced-price lunch program
* 90% of SS-ECHS students are on track to earn at least 15% of the target college credit attainment goal for the individual program which they are enrolled in by the beginning of their junior year of high school. In order to qualify for funding, programs must offer college level coursework equivalent to no less than 24 college credits.
* 80% of SS-ECHS students are on track to earn at least 50% of the target college credit attainment goal for the individual program which they are enrolled in by the beginning of their senior year of high school.
* At least 75% of SS-ECHS students are on track to earn 100% of the target college credit attainment goal for the individual program which they are enrolled in by graduation from high school.
* Students achieve an attendance rate of 95% annually
* Students achieve a grade-to-grade promotion rate of 95% annually
* Students achieve a high school graduation rate of 90%

Programs will use the College Credit Accumulation Plan (Attachment VII) to indicate the target average number of transferable college credits their students will earn at each grade level. This plan should illustrate how students will earn at least 24 non-remedial college credits by the end of their senior year.

Per their goals projected on Attachment VII, at the end of each project year, grantees for whom less than 75% of their 10th graders earned their target number of college credits will receive a warning that they may face a financial penalty at the end of subsequent project years if at least 75% of their 10th, 11th, and 12th grade students do not earn the target cumulative number of college credits for their respective grade level. Grantees who receive this warning will also be required to include a plan for addressing students’ college credit deficiencies in their end-of-year project reports.

# Applicant and Partnership Qualifications

Public school districts, especially Target Districts and those serving students from groups that are historically underrepresented in postsecondary education and/or economically disadvantaged, in partnership with IHEs are eligible to apply for this grant program. A BOCES may also participate as partners in this grant program. With the possible exception outlined in the next paragraph, school districts or BOCES must serve as the fiscal agent. If the lead applicant is a BOCES,at least one Target District served by the BOCES must join the partnership and sign the MOU. Additionally, at least 51% of the students who enroll in the program must be from Target District(s). Contingent on satisfactory performance and available funds, the grant program will support successful applicants for a five-year period (January 1, 2020 - August 31, 2024). This timeframe will see programs through their first graduating class of students.

Exception: An IHE that currently serves as lead fiscal agent in a Smart Scholars ECHS partnership may serve as the applicant/fiscal agent for a new project proposed under this RFP, if the K-12 partner(s) agree.

Currently funded Smart Scholars Early College High School (SS-ECHS) partnerships may apply to create a new Smart Scholars ECHS project, separate from currently operating projects; however, they may not apply to expand their current projects. Additionally, these funds are not meant to replace any previously awarded Smart Scholars ECHS projects.

Eligible applicants will be New York State public school districts (“school districts”), or IHEs currently serving as the fiscal agent in existing Smart Scholars ECHS partnerships, applying on behalf of a partnership, which must include:

1. **K-12:** A single school district or a BOCES must serve as the applicant/fiscal agent for the application. The exception is IHEs that currently serve as lead fiscal agent in a Smart Scholars ECHS partnership; that IHE may serve as the applicant/fiscal agent for a new project proposed under this RFP, if the K-12 partner(s) agree.

***NOTE:***

1. Public charter schools and non-public schools are not eligible to apply for these funds or participate in this program.
2. Individual school buildings may not apply for this grant.
3. A public school district may not apply for NYS SS-ECHS Program funds to support:
	1. a currently funded NYS P-TECH program,
	2. a potential new six-year P-TECH model program,
	3. an existing SS-ECHS project,
	4. another similar program supported in whole or in part by NYS funds.
4. **Institutions of Higher Education (IHEs)**: An eligible IHE is a New York State, two- or four-year college or university that is:
5. Recognized by the United States Department of Education (USDE),
6. Accredited by an appropriate accrediting body, and
7. Offering academic programs registered by the New York State Education Department, Office of College and University Evaluation (listed on the NYSED website).

***NOTE:***

1. For-profit institutions of higher education are **not** eligible to serve as a higher education partner.
2. A fully executed MOU must be submitted with the application for this grant program.

***Applications that do not include a MOU signed by all partners will not be reviewed for consideration. Letters of support will not be accepted in lieu of a partner’s signature on the MOU.***

1. **Collaborators and Partners**
2. **Business/Industry Entity:** Applicants may include one or more New York State businesses/industry entities as collaborators for their SS-ECHS. The business or industry entity must be located in the community of the SS-ECHS and must offer opportunities for students to learn about careers.

NOTE: If the applicant collaborates with a business partner that commits to provide direct career support to participants, which can lead to jobs with a middle-class salary that are tied to a “very favorable” job outlook, it may receive a bonus of $100,000 for partnering with that industry partner (see Project Funding). An in-demand industry partner with a “very favorable” job outlook is defined by the New York State Department of Labor. The specific industries for an in-demand partner are as follows:

* + 1. Web Developers
		2. Civil Engineering Technicians
		3. Environmental Science and Protection Technicians

Source: 2016-2026 Statewide Long-Term Occupational Projections, https://www.labor.ny.gov/stats/reos.asp

To apply for the additional industry partner funds, the business/industry partner must make the following commitments in the MOU:

* That Smart Scholars ECHS participants will be first in line for a job with the participating business/employer partner following completion of the program, graduation from high school, and satisfactorily meeting any employment evaluations. Additionally, this employment would provide a middle-class salary.
	1. That the business/industry partner will provide a variety of services for SS-ECHS participants, such as site visits, mentorship of students, job shadowing opportunities, project-based learning, skills development, and paid internships.
1. **Community Based Organizations:** An eligible partnership may also include as collaborators one or more local 501(c) 3 community-based organizations (CBOs).
2. Neither CBOs nor businesses are eligible to apply as a lead fiscal agency or lead implementation partner under this RFP.
3. Both CBOs and businesses are subject to the 25% subcontracting limitation.
4. **Implementation Lead**

Each partnership will designate one partner as the implementation lead in the MOU. The implementation lead entity may be a K-12 or higher education partner. The implementation lead shall be the partner that is responsible for coordinating and overseeing the planning and implementation of the program. The implementation lead need not be the same as the school district (or, as may be the case of an existing SS-ECHS, the IHE) serving as fiscal agent/applicant. A school district, a BOCES, or an IHE partner may serve as lead implementing partner. Business entities, Research Foundations, and CBOs may not serve as the implementation lead.

The implementation lead must meet the following requirements:

1. Must be recognized in the MOU by all partners as the lead agency
2. Must identify key existing staff to coordinate planning and operations
3. Must convene all partners, coordinate the planning process, and oversee student and staff recruitment and program implementation.
4. Working with the fiscal agent and all other partners under the MOU, must coordinate management of the partnership, with particular attention to such issues as transportation, tuition, and data collection and submission.
5. Must participate in annual trainings provided by NYSED in the fall of each year of this funded opportunity.

**Responsibilities of Partners**

**K-12**: *Essential responsibilities of K-12 partners include*:

1. Committing to fully implement the NYS SS-ECHS model, serving all students for the full-day, beginning in 9th grade to assure that all students have a consistent, innovative program and college-going culture and all core faculty have the opportunity to collaborate and focus on SS-ECHS instructional and support services;
2. Forming a strong partnership, documented in a formal agreement (MOU), with the higher education partner(s), and any business/community collaborators;
3. Recruiting historically under-represented and/or economically disadvantaged students for enrollment;
4. Identifying/employing school leaders who have demonstrated the ability to drive exceptional student outcomes; are dedicated to working with under-served students and their families; and can provide the leadership skills essential for program success;
5. Working with higher education partner(s) to develop a seamless scope and sequence of courses that enable all students to earn at least 24 and up to 60 transferable college credits or an associate degree;
6. Establishing a college-going culture for all students that begins on the first day of 9th grade and continues throughout all four years of the SS-ECHS program, engaging students in instruction on key “college knowledge”, academic and personal behaviors such as time management; collaboration; problem-solving; leadership; study skills; communication; and tenacity. Credit-bearing college course work and tutoring should be introduced as early as the summer prior to 9th grade, and no later than the 10th grade;
7. Preparing students for college-level coursework from the 9th grade level, including college entry-level English and mathematics, so remedial coursework at the post-secondary level is not necessary;
8. Preparing students for careers through a program of career awareness, exploration and preparation that is coordinated with the 9th – 12th grade curriculum in collaboration with the IHE partner(s) and any business partners;
9. Collaborating with the IHE partner(s) to provide students with guidance as to how the 24 or more college credits or associate degree they earn will transfer to the partner IHE(s) or other IHEs in the State to complete a postsecondary degree;
10. Providing relevant and ongoing professional development for the principal/school leader and all participating teachers, including support and frequent exchanges with one another as well as with faculty and administrators from the partner IHE(s) during the school year; and
11. Maximizing available funding streams (in addition to the State appropriation), such as federal School Improvement Grants, to support the needs of participating students.

**Higher Education**: *Essential responsibilities of higher education partners include*:

1. Forming a strong partnership, documented in a formal agreement (MOU), with the K-12 partners, any other IHE partners, and any business/community collaborators;
2. Identifying appropriate coursework and experiences to introduce students to college course work beginning as early as the summer prior to 9th grade, and no later than the 10th grade;
3. Identifying appropriate college courses to include in the program’s scope and sequence, ensuring that students can earn a minimum of 24 and up to 60 college credits or an associate degree that will enable students upon graduation to matriculate at the partner IHE or another IHE with advanced standing and complete a postsecondary degree;
4. Working with the K-12 partners to determine which courses will be taught by college faculty, which by high school teachers with adjunct status, and which by a combination of the two (and ensuring the appropriate college-level rigor of courses taught by adjunct faculty);
5. Collaborating with high school faculty, any other IHE partners and any business partners to ensure that high school course content will prepare students for college work and career;
6. Collaborating with high school faculty and any other IHE partners to develop innovative approaches for early diagnosis and interventions for students who require additional academic assistance. (Please note: Funds for this program cannot be spent on college remedial coursework; therefore, all high school coursework should prepare students to seamlessly enter college level courses.);
7. Maintaining student advisory resources and credit transfer policies that protect the pathway to degree completion for participating students;
8. Committing to maximize available funding streams (in addition to the State appropriation) and waive or reduce tuition costs per credit for all SS-ECHS college courses to no more than existing “college in the high school” rates;
9. Providing dedicated staff to work on the initiative, including a College Liaison who has the authority to coordinate with the school on the college/university partner’s behalf;
10. Committing to accept all college credits earned at their institution by SS-ECHS graduates, to enable graduates to complete a postsecondary degree in a timely manner; and
11. Committing to collect data to monitor the progress of SS-ECHS graduates who matriculate at the partner IHE, and to share these data with NYSED.

**Business Partner** *(if applicable): Essential responsibilities of the Business Partner include:*

* 1. For applicant that collaborates with a business partner to receive a bonus of $100,000, the business/industry partner must document in a formal agreement (MOU) to provide direct career support to SS-ECHS participants that can lead to jobs with a middle-class salary which are tied to a “very favorable” job outlook.
	2. This would require the business/industry partner to commit to Smart Scholars ECHS participants that they would be first in line for a job with the participating business/employer partner following completion of the program, graduation from high school, and satisfactorily meeting any employment evaluations. Additionally, this employment would provide a middle-class salary.
	3. The business/industry partner would be required to provide a variety of services for SS-ECHS participants, such as site visits, mentorship of students, job shadowing opportunities, project-based learning opportunities, skills development, and paid internships for all student participants.

In addition, all partners must commit to participate in a statewide network of NYS SS-ECHS schools and to working with colleagues to share expertise and experience on the development of the NYS SS-ECHS model, as well as pertinent resources, tools and strategies.

**NYSED CONSORTIUM POLICY for State and Federal Discretionary Grant Programs:**

NYS SS-ECHS applicants/participants will form a partnership to apply for funds under this grant program. To do so, the partnership must meet the following requirements:

The partnership must designate the school district to serve as the applicant and fiscal agent for the grant. The exception is IHEs that currently serve as lead fiscal agent in a Smart Scholars ECHS partnership; that IHE may serve as the applicant/fiscal agent for a new project proposed under this RFP, if the K-12 partner(s) agree.

All other members of the partnership must be eligible participants as well, per the definition provided in this RFP (See Applicant and Partnership Qualifications section above). In the event a contract is awarded, the contract will be prepared in the name of the applicant agency/fiscal agent, not the partnership, since the group may not be a legal entity.

Furthermore, the applicant agency/fiscal agent must meet the following requirements:

1. Must receive and administer the grant funds and submit the required reports to account for the use of contract funds.
2. Must require partners to sign an agreement (MOU) with the fiscal agent that specifically outlines all services each partner agrees to provide. (See **Eligibility: Definitions**, and **Attachment V,** Memorandum of Understanding.)
3. Cannot act as a flow-through for contract funds to pass to other recipients. NYSED has established 50% of direct services be provided by the fiscal agent for this grant program.
4. Is PROHIBITED from sub-granting contract funds to other recipients. The fiscal agent is permitted to contract for services with other partners, collaborators, or consultants to provide services that the fiscal agent cannot provide itself.
5. Must be responsible for the performance of any services provided through funds awarded under this grant by the partners, consultants, or other organizations.

# Timeline and Calendar Events

* + 1. **Dates for Question Submission and Agency Response**

All questions about this RFP must be submitted via e-mail to ECHSRFP@nysed.gov by August 7, 2019. A complete list of Questions and Answers will be posted to the [NYSED SS ECHS webpage](http://www.highered.nysed.gov/kiap/smartscholars.html) no later than August 21, 2019.

* + 1. **Date for Submission of Proposals**

Submit one original and two (2) paper copies (both the narrative application and the budget/budget narrative, and M/WBE documents) as well as one electronic copy of the complete application on flash drive to the following address:

New York State Education Department

Attention: NYS Smart Scholars ECHS GRANT

Office of Postsecondary Access, Support and Success

89 Washington Ave., Rm. EBA 971

Albany, NY 12234

**Applications must be postmarked by September 4, 2019.**

# Anticipated Start Date and Term of Grant

The course of creating a new SS-ECHS generally evolves in two distinct phases: Pre-Opening and Implementation. SS-ECHSs funded through this grant program will be allowed a planning phase from January 1, 2020 through August 31, 2020. It is anticipated that there will be four (4) additional project periods, contingent on availability of funds:

Project Period 2 – September 1, 2020 – August 31, 2021

Project Period 3 – September 1, 2021 – August 31, 2022

Project Period 4 – September 1, 2022 – August 31, 2023

Project Period 5 – September 1, 2023 – August 31, 2024

# Distribution of Awards

1. Priority will be given to proposals from sending schools with a cohort high school graduation rate below 82% based on the 4-year cohort graduation rate for the 2017-18 school year (August) published annually by NYSED (see https://data.nysed.gov/). See ***Appendix S*** for the 2017-18 list of all schools. Note that schools that do not serve grades 9-12 are not considered priority schools. Should there be applicants who have graduation rates higher than 82% and there is availability of resources to fund such projects, such projects will also be considered.
2. Proposals from partnerships whose target enrollment includes at least 51% of their students from Target Districts serving students in schools with graduation rates below the State average will receive bonus points as outlined in this RFP. Bonus points will be considered after the proposal meets the minimum scoring threshold.
3. Applications will be awarded in a statewide ranking until there are no fundable applications remaining or until the multi-year amount of funding is exhausted.

# Project Funding

Funds will be distributed based on approved program budgets.

A total of $19,500,000 will be available over the full five project periods to fund approximately 12 projects. Each award recipient will be eligible to receive up to $125,000 for the planning phase. Please see the table below for information regarding maximum award amounts for the four implementation years.

Each project will enroll only 9th grade students in the first implementation year (Project Period 2) and add a grade level each succeeding year of the grant program so that the project reaches full implementation with 9th through 12th grade by the final year of the grant. Continued funding past the first implementation year will be contingent on satisfactory reporting, the achievement of annual performance benchmarks, and the availability of funds.

The SS-ECHS must enroll a minimum of 25 students per grade level. Research shows that small learning communities with a maximum of 100 students per grade level (or 400 students as their total enrollment for grades 9 through 12) are most effective for the SS-ECHS school design. Applicants that are existing SS-ECHS partnerships may present their case for a larger program size; however, regardless of program size, the annual award for each implementation year may not exceed the maximum amounts described below.

Award amounts will be determined by the number of students that applicants propose to serve. The maximum amount of funding that an applicant may request will be determined by the exact number of new 9th grade students the project commits to serve on an annual basis. See the funding level tables below for the corresponding maximum award that can be requested based on the 9th grade cohort size (i.e., small, medium, or large).

During each implementation year, the awardee may request funds based on the following scale:

|  |  |  |  |
| --- | --- | --- | --- |
| **Small Enrollment**  |  |  |  |
| Implementation Year | Range for Number of Students | Maximum Dollars Awarded | Grades |
| 2020-2021 | 25 to 50 | Up to $100,000 | 9th graders |
| 2021-2022 | 50 to 100 | Up to $150,000 | 9th and 10th graders |
| 2022-2023 | 75 to 150 | Up to $200,000 | 9th, 10th & 11th graders |
| 2023-2024 | 100 to 200 | Up to $250,000 | 9th, 10th, 11th &12th graders |

|  |  |  |  |
| --- | --- | --- | --- |
| **Medium Enrollment**  |  |  |  |
| Implementation Year | Range for Number of Students | Maximum Dollars Awarded | Grades |
| 2020-2021 | 51 to 75 | Up to $150,000 | 9th graders |
| 2021-2022 | 101 to 150 | Up to $200,000 | 9th and 10th graders |
| 2022-2023 | 151 to 225 | Up to $300,000 | 9th, 10th & 11th graders |
| 2023-2024 | 201 to 300 | Up to $400,000 | 9th, 10th, 11th &12th graders |

|  |  |  |  |
| --- | --- | --- | --- |
| **Large Enrollment**  |  |  |  |
| Implementation Year | Range for Number of Students | Maximum Dollars Awarded | Grades |
| 2020-2021 | 76 to 100 | Up to $200,000 | 9th graders |
| 2021-2022 | 151 to 200 | Up to $300,000 | 9th and 10th graders |
| 2022-2023 | 226 to 300 | Up to $400,000 | 9th, 10th & 11th graders |
| 2023-2024 | 301 to 400 | Up to $500,000 | 9th, 10th, 11th &12th graders |

If the applicant collaborates with a business partner that commits to provide direct career support to participants which can lead to jobs with a middle-class salary that are tied to a “very favorable” job outlook, it may receive a bonus of $100,000 for partnering with that industry partner. During each implementation year, that type of awardee may request funds based on the following scale:

|  |  |  |  |
| --- | --- | --- | --- |
| **Small Enrollment**  |  |  |  |
| Implementation Year | Range for Number of Students | Maximum Dollars Awarded | Grades |
| 2020-2021 | 25 to 50 | Up to $100,000 | 9th graders |
| 2021-2022 | 50 to 100 | Up to $150,000 | 9th and 10th graders |
| 2022-2023 | 75 to 150 | Up to $200,000 | 9th, 10th & 11th graders |
| 2023-2024 | 100 to 200 | Up to $350,000 | 9th, 10th, 11th &12th graders |

|  |  |  |  |
| --- | --- | --- | --- |
| **Medium Enrollment**  |  |  |  |
| Implementation Year | Range for Number of Students | Maximum Dollars Awarded | Grades |
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| 2021-2022 | 101 to 150 | Up to $200,000 | 9th and 10th graders |
| 2022-2023 | 151 to 225 | Up to $300,000 | 9th, 10th & 11th graders |
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|  |  |  |  |
| --- | --- | --- | --- |
| **Large Enrollment**  |  |  |  |
| Implementation Year | Range for Number of Students | Maximum Dollars Awarded | Grades |
| 2020-2021 | 76 to 100 | Up to $200,000 | 9th graders |
| 2021-2022 | 151 to 200 | Up to $300,000 | 9th and 10th graders |
| 2022-2023 | 226 to 300 | Up to $400,000 | 9th, 10th & 11th graders |
| 2023-2024 | 301 to 400 | Up to $600,000 | 9th, 10th, 11th &12th graders |

**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.

SS-ECHS Sliding Scale of Payments

Projects with graduating cohorts of students must meet credit accumulation targets in order to receive their entire 10% final payment (e.g., $500,000 or $600,000). Ten percent (10%) of the annual award will be withheld contingent upon the graduating cohort of students earning an average of at least 24 college credits over a four-year period.

Specifics Targets and Fiscal Implications:

Of the final 10% of funds, projects will be eligible to receive all remaining funds if the four-year credit accumulation rate of the graduating cohort is 24 credits or above. The four-year cohort credit accumulation rate is:

* defined as the average number of credits accumulated per student by the students in the cohort;
* calculated by dividing the total number of credits accumulated by all students in the cohort over a four-year period by the number of students who initially entered that cohort as 9th graders.

Projects where the initially-enrolled cohort of students earned less than 24 credits, on average, by the end of the cohort’s 12th grade year will be subject to a financial penalty administered after each cohort’s 12th grade year. The chart below outlines the specific fiscal implications.

|  |  |
| --- | --- |
| The graduating cohort of students earned an average of at least 24 credits by the end of the cohort’s 12th grade year | Eligible to receive entire 10% final payment (e.g., up to $50,000 for $500,000 award projects / up to $60,000 for $600,000 award projects)  |
| The graduating cohort of students earned an average of at least 18 credits, but less than 24 credits, by the end of the cohort’s 12th grade year | Eligible to receive 50% of 10% final payment (e.g., up to $25,000 for $500,000 award projects / up to $30,000 for $600,000 award projects)  |
| The graduating cohort of students earned an average of at least 12 credits, but less than 18 credits, by the end of the cohort’s 12th grade year | Eligible to receive 25% of the 10% final payment (e.g., up to $12,500 for $500,000 award projects / up to $15,000 for $600,000 award projects)  |
|  The graduatingcohort of students earned an average of less than 12 credits by the end of the cohort’s 12th grade year |  Not eligible to receive the 10% final payment  |

# Evaluation Criteria

Except as noted below, each application will be evaluated and scored by two reviewers. The two scores will be averaged to get a final average score. An application must receive a final average score of 60 points (the minimum scoring threshold) on the combined technical (narrative) and budget sections (excluding bonus points) of the proposal to be considered for funding. A third review will be performed if there is a difference of fifteen points or more between the initial two reviewers’ scores. In cases where a third review is necessary, the two closest scores will be averaged to obtain the final average score. Bonus points will then be added for those eligible applicants who have provided sufficient documentation of meeting the criteria for bonus points. Bonus point cannot be used to make an unsuccessful proposal become successful.

# Method of Determining Award

The aggregate score of all the criteria listed will be calculated for each proposal received. In the event that more than one proposal obtains the same aggregate score and there are insufficient funds to award all proposals, the grants(s) will be awarded to the proposal(s) with the highest score on the technical section (proposal narrative).

Proposals will be ranked statewide highest to lowest in accordance with the combined technical and budget score, plus any bonus points. Grants will first be awarded to the highest scoring eligible proposals in the statewide ranking, until funds are exhausted or there are no fundable applications remaining.

# Payee Information

The Payee Information Form is a packet containing the Payee Information Form itself and an accompanying NYSED Substitute W-9. The NYSED Substitute W-9 may or may not be needed from your agency. Please follow the specifics instructions provided with the form. The Payee Information Form is used to establish the identity of the applicant organization and enables it to receive federal (and/or State) funds through the NYSED. An on-line version of the packet is available at the [NYSED website](http://www.oms.nysed.gov/cafe/forms/PIform.pdf).

**Electronic Processing of Payments**

In accordance with a directive dated January 22, 2010 by the Director of State Operations - Office of Taxpayer Accountability, all State agency contracts, grants, and purchase orders executed after February 28, 2010 shall contain a provision requiring that contractors and grantees accept electronic payments. Additional information and authorization forms are available at the State Comptroller's website.

**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, visit the [State Comptroller's website](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](https://www.osc.state.ny.us/vendrep/info_vrsystem.htm) or go directly to the [VendRep System online](https://onlineservices.osc.state.ny.us/).

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

Vendors opting to complete and submit a paper questionnaire can obtain the appropriate questionnaire from the [VendRep website](http://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 vendors using subcontractors, a Vendor Responsibility Questionnaire and a NYSED vendor responsibility review are required for a subcontractor where:

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

**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 that 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](http://www.wcb.ny.gov/content/main/Employers/Employers.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.

**Prequalification for Individual Applications**

Pursuant to the New York State Division of Budget Bulletin H-1032, dated June 7, 2013, New York State has instituted key reform initiatives to the grant contract process that require not-for-profits to register in the Grants Gateway and complete the Vendor Prequalification process in order for proposals to be evaluated. Public school districts or BOCES serving as the lead applicant/fiscal agent are not required to prequalify. Only any non-profit IHE applicants serving as the applicant/fiscal agent are required to prequalify by the application deadline. Information on these initiatives can be found on the [Grants Management website](http://www.grantsmanagement.ny.gov/).

**Proposals received from not-for-profit applicants that have not Registered and are not Prequalified in the Grants Gateway by 5:00 PM on the proposal due date of 9/4/19 cannot be evaluated. Such proposals will be disqualified from further consideration**

Below is a summary of the steps that must be completed to meet registration and prequalification requirements. The [Vendor Prequalification Manual](https://grantsmanagement.ny.gov/system/files/documents/2019/01/vendor-user-manual-final.pdf) on the Grants Management website details the requirements and [online tutorials](https://grantsmanagement.ny.gov/videos-grant-applicants) are available to walk users through the process.

1. **Register for the Grants Gateway**.
* On the Grants Management website, download a copy of the [Registration Form for Administrator](https://grantsmanagement.ny.gov/system/files/documents/2019/01/registration-form-administrators-1-16-2018.pdf). A signed, notarized original form must be sent to the address provided in the instructions. You will be provided with a Username and Password allowing you to access the Grants Gateway.
* If you have previously registered and do not know your Username, please email grantsgateway@its.ny.gov. If you do not know your Password please click the [Forgot Password](https://grantsgateway.ny.gov/IntelliGrants_NYSGG/PersonPassword2.aspx?Mode=Forgot) link from the main log in page and follow the prompts.
1. **Complete your Prequalification Application.**
2. Log in to the [Grants Gateway](https://grantsgateway.ny.gov/IntelliGrants_NYSGG/login2.aspx). **If this is your first time logging in,** you will be prompted to change your password at the bottom of your Profile page. Enter a new password and click SAVE.
3. Click the *Organization(s)* link at the top of the page and complete the required fields, including selecting the State agency you have the most grants with. This page should be completed in its entirety before you SAVE. A *Document Vault* link will become available near the top of the page. Click this link to access the main Document Vault page.
4. Answer the questions in the *Required Forms* and upload *Required Documents*. This constitutes your Prequalification Application. Optional Documents are not required unless specified in this Request for Proposal.
5. Specific questions about the prequalification process should be referred to your agency representative at prequal@nysed.gov or to the Grants Management Team at grantsgateway@its.ny.gov.
6. **Submit Your Prequalification Application**
* After completing your Prequalification Application, click the ***Submit Document Vault*** Link located below the Required Documents section to submit your Prequalification Application for State agency review. Once submitted, the status of the Document Vault will change to *In Review*.
* If your Prequalification reviewer has questions or requests changes, you will receive email notification from the Gateway system.
* Once your Prequalification Application has been approved, you will receive a Gateway notification that you are now prequalified to do business with New York State.

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

# Minority and Women-Owned Business Enterprise (M/WBE) 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 term.*

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 the [NYS M/WBE Directory](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 each year of the grant.** Discretionary non-personal service budget is defined as total annual 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 for the lead applicant only if these items are allowable expenditures; and
	3. Any portion of purchased services used for student tuition.

For the purposes of this RFP, these exclusions apply to the expenses of the lead applicant as well as any other members of the partnership. For example, the salaries of project staff employed by partner school districts, BOCES, IHEs or any combination of these entities should be excluded from the total budget, along with the salaries of project staff employed by the lead applicant, when calculating the discretionary non-personal service budget. (Please note that the indirect costs of partner organizations are not allowable expenses under this grant program.) The M/WBE Goal Calculation Worksheet is provided for use in calculating the dollar amount of the M/WBE goal for this grant application.

The Purchased Service (Code 40) and Purchase Services with BOCES (Code 49) sections of the FS-10 Budget Form should reflect a detailed, itemized, budget which clearly identifies the salaries and benefits of project staff employed by approved partnerships should these deductions be included on the M/WBE Goal Calculation Worksheet.

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

1. **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

1. **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 NYS Directory of Certified Minority and Women-Owned Business 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 104G Quarterly M/WBE Compliance Report. This report should be submitted on a quarterly basis and can be requested at MWBEGrants@nysed.gov.

NYSED’s M/WBE Coordinator is available to assist applicants in meeting the M/WBE goals. The Coordinator can be reached at MWBEGrants@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.

# Entities’ Responsibility

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

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 [Fiscal Guidelines for Federal and State Aided Grants](http://www.oms.nysed.gov/cafe/guidance/).

**Requirements of Education Law Section 2-d**

The applicant agrees to comply with FERPA and New York State Education Law § 2-d. The New York State Data Security and Privacy Plan (Appendix R) is annexed to this RFP, the terms of which are incorporated herein by reference, and shall also be part of the agreement.

**Accessibility of Web-Based Information and Applications**

Any documents, web-based information and applications development, or programming delivered pursuant to the contract or procurement, will comply with New York State Education Department IT Policy NYSED-WEBACC-001, Web Accessibility Policy as such policy may be amended, modified or superseded, which requires that state agency web-based information, including documents, and applications are accessible to persons with disabilities. Documents, web-based information and applications must conform to NYSED-WEBACC-001 as determined by quality assurance testing. Such quality assurance testing will be conducted by NYSED employee or contractor and the results of such testing must be satisfactory to NYSED before web-based information and applications will be considered a qualified deliverable under the contract or procurement.

# Required Reports

Recipients of this multi-year discretionary grant must submit a report for the planning phase in order to receive a continuation award. Such report to include the staff hired, student recruitment method used, number of students beginning the first implementation year and other items required by the Commissioner. For the subsequent implementation years, SED’s approval of a mid-year (February) and an annual performance report (September) for each year of funding will be required in order to receive a continuation award. The performance reports should demonstrate that substantial progress has been made toward meeting the project goals and the program performance indicators. Additional information about these reports will be distributed to the grantees by NYSED after grant awards are made. By September 1 of each project implementation year, NYSED, in consultation with each grantee, will establish minimum performance benchmarks required for continued funding in the subsequent project year. Grantees that do not demonstrate adequate performance may be discontinued.

In addition, grantees that do not meet minimum annual requirements for college credit attainment by enrolled students based on approved College Credit Accumulation Plans (Attachment VII) will face a financial penalty as outlined in the Performance Standards section (Section V) of this RFP.

**Accountability**

Each SS-ECHS grantee must collect data on each student who is enrolled in its SS-ECHS. The fiscal agent/applicant for the partnership is responsible for all data collection and shall, if directed, submit the data electronically to SED. The grantee is responsible for securing relevant student and program data and recording the information into his/her data system.

The minimum data elements that must be collected for each student are:

1. **Descriptive Data**
* NYSSIS ID Numbers (SIRS Individual Student Identifier)
* Gender
* Name of home high school
* Date of entry into program
* Date of exit from program
* NYS SS-ECHS Program CIP Code
1. **Race/Ethnicity Designation**
* Hispanic/Latino (H/L)
* American Indian/Alaskan Native (AI/AN)
* Asian (A)
* Black/African American (B/AA)
* Native Hawaiian/Other Pacific Islander (H/OP)
* White (W)
* Unknown (Unk)
1. **Special Populations**
* Attendance Rates
* Economically Disadvantaged
* English Language Learner (ELL)
* Familial Academic Achievement
* Individuals with disabilities
* Student Academic Achievement
* Other
1. **Program Information**
* Full Time Equivalents (FTE) of all school staff by title and courses taught in program
* Certification and professional licensure status of all leadership and certificated staff for the program
* College Credit Accumulation Plan (Attachment VII) that includes expectations for college credit accumulation per student in each year of the program
* Compliance with grant funding requirements
* Delivery of performance measurements
* Other items as requested

**Minimum Performance Reporting Requirements (but not limited to)**

Planning Phase (January 1, 2020 – August 31, 2020): Upon completion of the first project period (planning phase) of the grant, the following elements will be measured and reported:

* The Steering Committee will demonstrate success in planning and developing a course of study for the program and College Credit Accumulation Plan (Attachment VII) for the later years of the program;
* Recruitment and selection of staff (as needed);
* Design of 4-year scope and sequence leading to a Regents diploma and at least 24 and up to 60 transferable college credits or an associate degree
* Development of instructional modules for the first year of instruction;
* Identification, targeting and enrollment of students who are traditionally underrepresented in postsecondary education and/or economically disadvantaged for the first cohort;
* Development of support programs and structures for the SS-ECHS students; and
* Professional development for participating high school and higher education faculty has been conducted, and preparation for non-classroom program staff to offer adequate support to students.
* Confirmation of the school/program site

First Implementation Year (September 1, 2020 – August 31, 2021): Upon the completion of the first implementation period, which represents the first academic year for new SS-ECHSs, the following elements will be measured and reported:

* Number of students enrolled at the SS-ECHS;
* Percent of enrolled students who are traditionally underrepresented in postsecondary education and/or economically disadvantaged;
* Academic achievement levels and progress of enrolled students;
* Evidence that students have made adequate progress toward the completion of the planned curriculum, including attainment of college credit pursuant to the College Credit Accumulation Plan (Attachment VII), and the requirements for a NYS Regents diploma in their first year of the program;
* Evidence that the curriculum supports preparation for careers and postsecondary study
* Evidence of supports provided to develop college readiness and a college-going culture.

Implementation Years after First Implementation Year (Years 3 - 5): Upon the completion of each year after the first academic year of the program, the following elements will be measured and reported:

* Number of students enrolled at the SS-ECHS;
* Percent of enrolled students who are traditionally underrepresented in postsecondary education and/or economically disadvantaged;
* Academic achievement levels and progress of enrolled students;
* Programs will demonstrate adequate levels of retention and progression of students who entered in prior implementation years;
* Programs will demonstrate that a new cohort of students has enrolled in their first year of the program;
* Evidence that students in each cohort have made adequate progress toward the completion of the planned curriculum, including attainment of college credit and/or associate degree pursuant to the College Credit Accumulation Plan (Attachment VII), and the requirements for a NYS Regents diploma;
* Evidence that the curriculum supports preparation for careers and postsecondary study
* Evidence of supports provided to develop college readiness and a college-going culture.
* For SS-ECHSs that have students in 12th grade, data on students who have met the requirements for the completion of a Regents diploma and at least 24 and up to 60 transferable college credits or an associate degree in their fourth year; graduation rates, and students’ graduation plans (e.g., successful transfer into a postsecondary degree program at the partner IHE or other plans).

# Records Retention

The following documents and supporting documentation must be retained for at least six years after the last payment was made unless otherwise required by specific program requirements: The original RFP application and other supporting documents that comprise the application package such as a Memorandum of Understanding or letters of support from participating collaborators/partners, budget category forms, budget summary forms, correspondence regarding the negotiation of budget expenditures, budget amendments, methodology for awards, progress reports, annual reports, and final expenditure forms/reports.  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. Appendix “A, #10, Records”, presents additional information about records retention requirements.

# Debriefing Procedures

All unsuccessful applicants may request a debriefing within fifteen (15) calendar days of receiving notice from NYSED. Bidders may request a debriefing letter on the selection process regarding this RFP by submitting a written request to the Fiscal Contact person at:

NYS Education Department

Contract Administration Unit

89 Washington Avenue

Room 501W EB

Albany, NY 12234

The Fiscal Contact person will make arrangements with program staff to provide a written summary of the proposal’s strengths and weaknesses, as well as recommendations for improvement. Within ten (10) business days, the program staff will issue a written debriefing letter to the bidder.

# Contract Award Protest Procedures

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

* + 1. The protest must be in writing and must contain specific factual and/or legal allegations setting forth the basis on which the protesting party challenges the contract award by NYSED.
		2. The protest must be filed within ten (10) business days of receipt of a debriefing or disqualification letter. The protest letter must be filed with:

NYS Education Department

Contracts Administration Unit

Attn: GC #19-012

89 Washington Avenue

Room 501 W EB

Albany, NY 12234

* + 1. 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 bidder 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.
		2. 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.

# NYSED’s Reservation of Rights

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

# Contract Terms and Conditions

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

# Application Instructions

*Please adhere to the following instructions:*

**Required Signature(s)**

The original signature of the Chief School Administrator/Officer must appear on the Application Cover Page, the Memorandum of Understanding, and on the FS-10, in BLUE INK.

**Partnership Applicant(s)**

Applicant information for all partner agencies must be provided in the section provided on the Applicant Cover Page.

**Number of Copies**

Please submit one original and two (2) paper copies (both the narrative application and the budget/budget narrative, and M/WBE documents) as well as one electronic copy of the complete application on flash drive to the address provided on the Application Cover Page.

**Due Date**

Applications must be postmarked by the due date on the Application Cover Page.

**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 twenty-five (25) pages and the budget narratives to no more than three (3) pages each, and use the following standards:

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

**Proposed Budget (FS-10), Comprehensive Program Budget Plan & Overall Resources Plan Worksheets (Attachment IV), and Budget Narratives [All forms should be detailed and itemized.]**

Proposed Budget (FS-10):

To illustrate plans for the use of grant funds, applicants must complete an FS-10 Budget Form for the planning phase, from January 1, 2020 – August 31, 2020 and include a budget narrative for each category of expenditure that is required for the grant (Professional Salaries, Support Staff Salaries, Purchased Services, Supplies and Materials, Travel Expenses, Employee Benefits, Indirect Cost, BOCES Services, Minor Remodeling, and Equipment). It is recommended that applicants use the Excel version of the FS-10 located on the [NYSED website](http://www.oms.nysed.gov/cafe/forms/).

The FS-10 Budget Form should provide a projection of how the requested funds will be used in the planning phase period. Information about the categories of expenditures, general information on allowable costs and applicable federal costs principles and administrative regulations are available in the [Fiscal Guidelines for Federal and State Grants](http://www.oms.nysed.gov/cafe/guidance/guidelines.html). The funds for this grant program are provided through State sources. Budgeted costs must be in compliance with applicable State laws and regulations and NYSED’s Fiscal Guidelines. Additional specific requirements and information about the allowable and non-allowable activities for the program are provided at the end of this section of the RFP.

The Purchased Service (Code 40) and Purchase Services with BOCES (Code 49) sections of the FS-10 Budget Form should especially reflect a detailed, itemized, budget which clearly identifies the salaries and benefits of project staff employed by approved partnerships, should these deductions be included on the M/WBE Goal Calculation Worksheet.

The FS-10 budget should include the applicant name and the title of the grant, and bear the original signature of the Chief School/Administrative Officer.

*NOTE: The FS-10 form is to be used for the planning phase expenditures only. New budgets for subsequent project years will be requested on an annual basis.*

Comprehensive Program Budget Plan & Overall Resources Plan Worksheets (Attachment IV):

In addition, to illustrate comprehensive plans for resource use and expenditures in the SS-ECHS program for the full five-year grant period (January 1, 2020 – August 31, 2024), applicants must submit the Comprehensive Program Budget Plan and Overall Resource Plan Worksheets (Attachment IV). In addition to the amount of funding requested from the SS-ECHS grant program, the Comprehensive Program Budget Plan & Overall Resource Plan Worksheets will detail applicant partners’ local contributions of resources (both financial and in-kind) to the program for five years, beginning with the first project period. **Continued funding past project period one (January 1, 2020 through August 31, 2020) is contingent on satisfactory reporting.**

The FS-10 and the Comprehensive Program Budget Plan & Overall Resource Plan Worksheets will be reviewed (and scored) in conjunction in order to demonstrate the program’s long-term fiscal sustainability. The Comprehensive Program Budget Plan & Overall Resource Plan Worksheets are provided as Attachment IV.

Budget Narrative:

The Budget Narrative should include sufficient detail to allow reviewers to understand what the funds will be used for and the relationship between the proposed expenditures and project activities and goals. It should explain why the proposed expenditures are appropriate, reasonable, and necessary to support the project activities and goals. It should also include a description of how the expenditures and activities are supplemental to and do not supplant or duplicate services currently provided (Note: Currently funded Smart Scholars Early College High School (SS-ECHS) partnerships may not apply to expand their current projects. Additionally, these funds are not meant to replace any previously awarded Smart Scholars ECHS projects. The Budget Narrative of an existing SS-ECHS partnership should take special care to address issues of supplanting and duplicative services. The Budget Narrative should also demonstrate how the lead applicant/fiscal agent will provide no less than 50% of the direct program services. In addition, the narrative should clearly identify any subcontracting, ensuring that subcontracting is limited to twenty-five percent (25%) of the total annual budget. Subcontracting is defined as non-employee direct personal services and related incidental expenses, including travel; it does not include service contracts between members of the partnership. Note, however, the subcontracting limit does apply to business entity and CBO collaborators. This limit applies to subcontracting carried out by the lead applicant and members of the partnership. It is the responsibility of the lead applicant/fiscal agent to ensure that the aggregate total subcontracting carried out by the lead applicant/fiscal agent and the partners does not exceed the 25% subcontracting limit.

The budget narrative should not exceed three (3) pages.

Program office staff will review budgets and eliminate any items that are deemed non-allowable and/or unreasonable. If items are removed from the budget, points may be deducted from the budget evaluation score. Grantees will not be allowed to substitute new items for those that have been eliminated.

# Allowable Costs

Fundable activities in each phase of the grant program include:

1. *Pre-Opening Planning Phase* (Year 1: January 1, 2020 – August 31, 2020):
2. Hiring a SS-ECHS program director/leader/principal
3. Establishing a staffing plan and hiring staff
4. Developing a budget and business plan
5. Establishing a suitable site/facility for the school/program
6. Engaging the K-12 and IHE faculty and staff to design an aligned curriculum and standards and a sequence of courses (the four-year scope and sequence) that begin at the 9th grade level and allow students to earn at least 24 and up to 60 transferable college credits or an associate degree while completing high school and required Regents exams
7. Conducting annual outreach activities to and education of staff and families at middle schools
8. Conducting outreach activities to community-based organizations that support the target population, and in recruiting students who are traditionally underrepresented in postsecondary education and/or economically disadvantaged
9. Planning student recruitment and selection criteria and strategies, as well as community education and engagement, consistent with the goals of this initiative
10. Cultivating relationships with one or more business partners of the SS-ECHS by providing opportunities such as site visits, mentors, and/or internships
11. Coordinating high school and college faculty, support services, calendars, and transportation and establishing on-going governance structures
12. Developing assessment tools and instruments. This will include a plan for using results of the assessment process to evaluate student college-readiness, student outcomes and program success, as well as improvements needed, and to refine the assessment model throughout the progressive development of the SS-ECHS
13. *Implementation Phase:*

Successful partnerships only admit students at the 9th grade level, and add additional classes each year. Successful partnerships will:

1. Conduct a summer program or other orientation during the summer and guidance activities for the first cohort of 9th grade students and for other grade levels in subsequent implementation years.
2. Provide academic and support services (e.g., counseling staff, advisors), including guidance for seniors to matriculate at the partner IHE or to apply to colleges outside the SS-ECHS partnership to complete a postsecondary degree. Services may also be extended to students’ parents, such as providing college admissions and financial aid workshops.
3. Provide support for college-high school partnership liaisons who oversee joint planning with the school district and support the SS-ECHS director’s/leader’s/principal’s coordination with the IHE(s)
4. Ensure data collection, sharing, reporting, and evaluation, including data on students who matriculate at the partner IHE(s).
5. Conduct student recruitment for succeeding program years, and ongoing community education and engagement
6. Hire teachers/staff in succeeding years, as needed
7. Provide joint professional development for high school and college faculty
8. Engage in school design and planning team activities (e.g. curriculum development)
9. Support travel and fees for relevant professional development opportunities, including partnership representatives’ meetings in Albany. Out of state travel requires prior approval by NYSED.
10. Provide transportation of students to the partnering IHE to attend college level courses and activities.
11. Pay for college tuition, books, and fees for the SS-ECHS students. Tuition is only allowable for non-remedial, credit-bearing college courses. The higher education partners are authorized and encouraged to waive or reduce tuition costs per credit to no more than existing “college in the high school” rates.

**Indirect Costs**

Applicants may include indirect costs in the budget. 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.

* College tuition cannot be included in the calculation of indirect costs.
* School districts must use the restricted indirect cost rates calculated by the State Education Department.
* For existing Smart Scholars ECHS partnerships that apply for this program, and the IHE continues as the lead fiscal agent, these agencies may continue to use a maximum 8% rate.

For more information on indirect costs, visit the [NYSED website](http://www.oms.nysed.gov/cafe/guidance/faqs.html#indirect).

# Non-Allowable Activities and Costs

Funds provided under this grant may not be used for the following purposes:

* Supplanting of existing funding and efforts, including costs otherwise necessary to operate a school without this grant;
* Sub-grants to members of the partnership or other agencies. This includes mini-grants, which are different than purchase service contracts;
* Acquisition of equipment for administrative, personal or non-student use;
* Acquisition of furniture (e.g., bookcases, chairs, desks, file cabinets, tables) unless an integral part of an equipment workstation or to provide reasonable accommodations to students with disabilities;
* Food services/refreshments/banquets/meals;
* Purchase or rental of space;
* Payment for memberships in professional organizations;
* Subscriptions to journals or magazines;
* Travel outside United States;
* Any expenditure for students not enrolled in NYS SS-ECHS programs;
* Tuition for college-level remedial courses; and
* The indirect costs of partner organizations.

Expenditures financed with grant funds awarded under this request for proposals (RFP) are not eligible to (i) receive reimbursement under BOCES Aid, Transportation Aid or Building Aid or (ii) otherwise generate additional BOCES Aid, Transportation Aid or Building Aid.

# Applications from school districts that have received School Improvement Grants (SIG) or School Innovation Funds (SIF)

School districts that have received SIG or SIF should describe in the Curriculum and Academic Rigor section of their application how NYS SS-ECHS grant funds will work with other federal and state grant funds to meet their individual turnaround strategy. If the school which will host the program is currently implementing an approved SIF grant or SIG, the program proposed under this application must be consistent with the whole school re-design model approved and implemented and the district and schools defined theory of action/approach to school turnaround/redesign; such plans may be amended as needed to ensure alignment.

# ATTACHMENT I – Application Cover Page

**NEW YORK STATE SS-ECHS PROGRAM**

 Please refer to the Application Instructions for detailed information about completing this page and the other required components of this application.

 Agency Code

|  |  |  |  |  |  |  |  |  |  |  |  |
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|  |  |
| --- | --- |
| Name of Applicant Agency:  | Name and Title of Contact Person: |
| List other agencies involved in this partnership:  |
| Address:City:Zip Code:  | Telephone: |
| Fax: |
| E-Mail:  |
| School District County: | Funding Requested for 2020-2024: |
| I hereby certify that I am the applicant’s chief school/administrative officer and that the information contained in this application is, to the best of my knowledge, complete and accurate. I further certify, to the best of my knowledge, that any ensuing program and activity will be conducted in accordance with all applicable Federal and State laws and regulations, application guidelines and instructions, Assurances, Certifications, Appendix A, Appendix A-1G, and that the requested budget amounts are necessary for the implementation of this project.  It is understood by the applicant that this application constitutes an offer and, if accepted by the NYS Education Department or renegotiated to acceptance, will form a binding agreement. It is also understood by the applicant that immediate written notice will be provided to the grant program office if at any time the applicant learns that its certification was erroneous when submitted or has become erroneous because of changed circumstances. |
| Authorized Signature:  | Title: Chief School/Administrative Officer |
| Typed Name: | Date: |

Submit one original and two (2) paper copies (both the narrative application and the budget/budget narrative, and M/WBE documents) as well as one electronic copy of the complete application on flash drive to:

New York State Education Department

Attention: NYS SS-ECHS GRANT

Office of Postsecondary Access, Support and Success

89 Washington Ave., Rm. EBA 971

Albany, NY 12234

**Applications must be postmarked by September 4, 2019.**

# ATTACHMENT II – Application Checklist

**Applicant Name:**

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

|  |  |  |
| --- | --- | --- |
| Required Documents | *Checked – Applicant* | ***Checked – SED***  |
| **Application Cover Pages (with original signatures)** | [ ]  | [ ]  |
| Completed Grant Application Checklist | [ ]  | [ ]  |
| Part One – Proposal Summary and Narrative | [ ]  | [ ]  |
| Part Two - Budget Form (FS-10 – with original signature), Budget Narrative, and Overall Program Budget (Attachment IV) | [ ]  | [ ]  |
| **Part Three – other submission documents-*****as outlined below*** |  |  |
| * **Memorandum of Understanding (Attachment V)**

**(If an MOU with required signatures is not submitted with the application, the application will not be reviewed)** * **MOU for business partner and/or CBO, if applicable**
 | [ ] [ ]  | [ ] [ ]  |
| * **Resumes of key staff (if available)**
 | [ ]  | [ ]  |
| * **Organizational Chart**
 | [ ]  | [ ]  |
| * **Proposed Enrollment Table (Attachment VI)**
 | [ ]  | [ ]  |
| * **Proposed College Credit Accumulation Plan (Attachment VII)**
 | [ ]  | [ ]  |
| * **Certification for meeting criteria for bonus points (Attachment VIII) (if applicable)**
 | [ ]  | [ ]  |
| **M/WBE Documents Package (original signatures required)**[ ]  Full Participation [ ]  Request Partial Waiver [ ]  Request Total Waiver |
| Type of Form | Full Participation | Request Partial Waiver | Request Total Waiver |
| Calculation of M/WBE Goal Amount | [ ]  | [ ]  | [ ]  |
| M/WBE Cover Letter | [ ]  | [ ]  | [ ]  |
| M/WBE 100 Utilization Plan | [ ]  | [ ]  | N/A |
| M/WBE 102 Notice of Intent to Participate | [ ]  | [ ]  | N/A |
| M/WBE 105 Contractor’s Good Faith Efforts | N/A | [ ]  | [ ]  |
| M/WBE 101 Request for Waiver Form and Instructions | N/A | [ ]  | [ ]  |
| EEO 100 Staffing Plan and Instructions | [ ]  | [ ]  | [ ]  |
| **SED Comments:****Has the applicant complied with the application instructions?** **[ ]  Yes [ ]  No****Reviewer: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_** |

# ATTACHMENT III – Proposal Guidelines

**NEW YORK STATE SMART SCHOLARS EARLY COLLEGE HIGH SCHOOL PROGRAM**

PART ONE

PROPOSAL NARRATIVE

The narrative is the applicant's opportunity to provide a comprehensive description of the proposed project. Be clear, precise and adhere to the following required structure.

(A total of 80 points are available in the Narrative section, with an additional 6 possible bonus points)

**Elements of Proposal Narrative**

The proposal narrative includes three separate pieces as indicated in A, B and C below:

**A. Proposal Summary (not included in the 25-page total):** This summary must be limited to a single page. Please note formats and additional information located in the “Application Instructions” section.

**B. Documentation for Bonus Points (not included in the 25-page total)**

To qualify for bonus points, the applicant will complete the Certification of Bonus Points form (Attachment VIII) to certify that a) the majority (i.e., 51% or more) of students will be enrolled from a Target District(s) and/or Comprehensive Support and Improvement or Targeted Support and Improvement school(s) – which include those schools defined in Education Law 211-f and identified as Struggling Schools and Persistently Struggling Schools (**3 bonus points**), and/or b) the applicant is an existing SS-ECHS whose students achieve a grade-to-grade promotion rate of 95% annually and whose graduates have earned an average of 24 or more college credits for the past two school years (**3 bonus points**).

**C. Proposal Narrative:** **The narrative must not exceed 25 pages.**

**Please address these components in the following order:**

1. **Target Population (10 points max)**

a. Describe the recruitment plan for the SS-ECHS. Discuss how the SS-ECHS will identify and recruit mainly students who are historically underrepresented, and/or students who are economically disadvantaged. (See **Definitions of Frequently Used Terms**) **(5 points max)**

b. Provide the enrollment targets for the SS-ECHS, serving a minimum of 25 and a maximum of 100 students per grade level with these grant funds. If the SS-ECHS is an existing SS-ECHS, the applicant may provide justification for a larger student enrollment. Describe how the project is expected to successfully serve the targeted population. Include a completed Proposed Enrollment Table (Attachment VI) with the application. **(5 points max)**

**NOTE:** Students must enter a NYS SS-ECHS no later than the 9th grade level. In addition, the SS-ECHS program does not extend the senior year of high school into a 5th year or longer. This applies to applicants with both new and existing SS-ECHSs. All SS-ECHSs funded with this grant program will not include any grade levels higher than the 9th grade in their first year of operation, and will add a grade level each year for three succeeding years up to the 12th grade. A NYS SS-ECHS is considered fully operational if it has enrolled and graduated at least one class of students. Fully operational NYS SS-ECHSs will include four grades: grades 9 through 12.

**2. P-16 Partnership and Governance (15 points max)**

a.Provide evidence that the SS-ECHS is supported by an active partnership between the school district and IHE partner(s) and other collaborators, if applicable. If the applicant is an existing SS-ECHS partnership proposing to maintain the existing partners, provide a brief history of the partnership. All applicants must describe the roles and responsibilities of each party, including a steering committee and joint decision-making procedures that allow for the planning and implementation of a coherent program across institutions. A description of the committee membership and frequency of meetings should be included. A fully executed MOU that defines the roles of each SS-ECHS partner, including the fiscal agent and implementation lead, must be submitted with the application. **(5 points max)**

b. Articulate the IHE’s commitment to apply the college credits earned by SS-ECHS graduates who matriculate at their institution toward a postsecondary degree and support their completion of the degree in a timely and efficient manner. (3 points) In addition, provide the plans for articulation agreements with other IHEs beyond the SS-ECHS partnership. The plan should include recognition of the goal of the SS-ECHS program to strengthen articulation between 2- and 4-year institutions so that SS-ECHS graduates will have the ability to transfer their college credits to any New York State 4-year institutions to complete baccalaureate degrees in 4 years or less. (2 points)

**(5 points max)**

c. Describe how the responsibility for performance reporting will be allocated among the partners. Describe the partnership’s process for collecting, sharing, and reviewing student data to assess the progress of the SS-ECHS. This includes data on graduates who matriculate at the partner IHE. Describe each IHE partner’s commitment to tracking the progress of SS-ECHS graduates who matriculate at their institution, to support their timely completion of a postsecondary degree based on the students’ advanced standing due to credit accumulation from the SS-ECHS.

**(5 points max)**

**3. Program Location (10 points max)**

a. Explain which of the following program designs the proposed SS-ECHS will follow:

* The SS-ECHS is a school or small learning community located on the partner IHE’s campus
* The SS-ECHS is a stand-alone high school located near the partner IHE’s campus
* The SS-ECHS is a small autonomous learning community or academy within a larger high school that is located near the partner IHE’s campus where SS-ECHS students are a separate cohort with their own teachers, leader, schedule, and curriculum plan.

In the case of a SS-ECHS not located on a college campus, the SS-ECHS must provide all students with at least three of the college courses on the partner IHE’s campus, to help instill in the SS-ECHS students the value and impact of a college going culture. For SS-ECHS programs in which students earn an associate degree, students must take at least six of their college courses on the partner IHE campus.

A SS-ECHS will be considered located “near the IHE partner’s campus” if their students can be transported to the campus within 45 minutes or less. Such proximity would facilitate the students’ taking college courses on campus and visiting the campus to utilize the IHE resources or participate in special events.

**(10 points max)**

**4. Curriculum and Academic Rigor (18 points max)**

* + 1. Describe the capacity and plans of the SS-ECHS partnership to use authentic and comprehensive measures of assessment to plan instruction, coordinate support services, and assess students’ readiness for enrollment in college level courses. **(3 points max)**
		2. Describe how the full-day curriculum will provide rigorous, engaging, high quality instruction and extra academic support for grades 9 through 12 to prepare students from the target population for entry level college courses no later than at the 10th grade level. Describe how innovative teaching and learning strategies will be integrated into the curriculum to support college readiness (e.g., project-based learning, technology enabled learning, cross-curricular instruction, etc.). Include a description of extended learning time in this section. If the school that will host the SS-ECHS program is currently implementing an approved SIF grant or SIG, this section of the proposal narrative should describe how NYS SS-ECHS grant funds will work with other federal or state grant funds to meet their individual turnaround strategy. A target of at least 90 hours of additional instruction is provided each implementation year. **(4 points max)**
		3. Explain the plan for how the core high school level courses will be aligned with college level courses at the partner IHE(s) and prepare the students to earn at least 24 and up to 60 transferable college credits or an associate degree within four years of high school. **(3 points max)**
		4. Explain how students will be provided a program of career awareness, exploration and preparation for careers, that is coordinated with the academic curriculum. Describe how innovative teaching and learning strategies will be integrated into the curriculum to support the career focus (e.g., project-based learning, technology enabled learning, work-based learning, etc.). Local business partner(s) may collaborate with the SS-ECHS partnership to provide activities that support the career focus. **(4 points max)**
		5. Explain how students will receive a Regents diploma and at least 24 and up to 60 transferrable credits or an associate degree. Applicants should submit a College Credit Accumulation Plan (Attachment VII) that outlines the target number of college credits students will earn at each grade level, and the number of college credits a student will have earned cumulatively at the end of each grade level. Applicants should also identify approximately how many college courses will be offered by college faculty on the partner IHE campus. SS-ECHSs that are not located on the partner IHE campus must require students to take at least three courses on the partner IHE campus. For SS-ECHS programs in which students earn an associate degree, students must take at least six of their college courses on the partner IHE campus.

**(4 points max)**

**NOTE:** **NYSED’s goal is for 100% of SS-ECHS graduates to earn at least 24 transferable college credits by the completion of their four-year high school career. Grantees that do not meet minimum annual requirements for college credit attainment by enrolled students based on approved College Credit Accumulation Plans will face a financial penalty. Penalties will take effect after the first implementation period if less than 75% of their SS-ECHS students meet the target college credit attainment for their respective grade levels.**

**5. Support Structures (15 points max)**

a. Provide plans for creating and implementing strategies and activities that foster a distinct college-going culture at the SS-ECHS, such as bridge programs, participation in college activities, or college visits. All students, regardless of program location, will attend a summer program on the partner IHE’s campus prior to taking college courses on the college campus during the school year. The summer program must be of at least three week’s duration. The summer program may be of longer duration and include one or more college courses. **(3 points max)**

b. Provide plans for creating a personalized learning environment and student academic support services to maximize student success, such as tutoring or mentoring. Explain how students will be provided guidance in planning a degree path(s) that supports various careers. Explain how SS-ECHS graduates who matriculate at the partner IHE will be supported to complete a postsecondary degree in a timely manner, considering the number of college credits they had accumulated when they matriculated. **(3 points max)**

c. Provide plans for social and emotional support services for the SS-ECHS students, such as advisory structures, personalized learning communities, individual graduation plans, or guidance and counseling. A local 501(c) 3 CBO may participate in this endeavor. **(3 points max)**

d. Provide the plans for giving SS-ECHS students access to the partner IHE’s facilities, resources, and services, such as university faculty; libraries; science labs; technology and writing centers; artistic, cultural, and sports facilities and activities; and extracurricular activities as appropriate. **(3 points max)**

e. Provide evidence of the commitment to substantial parental and community involvement in strategies and activities designed to encourage high school and postsecondary degree completion, and successful transfer to a postsecondary institution and/or pursuit of a career. **(3 points max)**

**6. Staffing and Management (12 points)**

a. Provide job descriptions and resumes of key professional staff (e.g., the principal/school leader/program director) who are dedicated to the SS-ECHS. Explain how the school leaders possess the ability to drive exceptional student outcomes, are dedicated to working with traditionally underrepresented and/or economically disadvantaged students and their families and can provide the leadership skills essential for program success. For any key professional staff not yet identified, provide job descriptions and describe plans for recruitment of new professional staff that will be dedicated to the SS-ECHS, and that possess the leadership qualities described above. **(3 points max)**

b. Demonstrate that the P-12 teachers and faculty selected to participate in the SS-ECHS have the appropriate background to deliver college-level courses and the ability to provide accelerated instruction to students traditionally underrepresented in postsecondary education or provide the plan to hire teachers and faculty with these qualities. **(3 points max)**

1. Describe plans for supporting the staff and teachers to deliver the SS-ECHS model. Provide plans for common planning time for SS-ECHS instructional faculty and other appropriate staff, including school leaders and, when possible, higher-education faculty. Describe plans for providing SS-ECHS teachers with support and guidance through teacher mentoring, professional development, and induction programs. Over the five grant periods, a minimum of 5 additional professional development days should be planned for high school staff over and above that provided to all staff in the K-12 system. This professional development should focus on curriculum alignment and developing a college-going culture. Explain how collaboration with higher education faculty will be included in these plans. **(3 points max)**
2. Describe a management plan that will assure the effective completion of project activities and requirements given the fiscal and other resources available.Demonstrate collaboration in order to establish best practices among all partners; describe coordination and maintenance of all reports, student records, and fiscal transactions. Provide an organization chartthat indicates the management structure of the program within the institution. **Consortium applicants only:** Demonstrate collaboration in order to establish best practices among consortium partners; describe coordination and maintenance of all reports, student records, and fiscal transactions; describe how the consortium will provide leadership and programmatic oversight of the project. The consortium management plan should also include the organizational relationships between the lead institution and each member institution and identify who will serve as the project point person among all partners. Provide an organization chart of the consortium arrangement. **(3 points max)**

**PART TWO**

 **PROPOSED BUDGET FOR A STATE PROJECT (FS-10), COMPREHENSIVE PROGRAM BUDGET PLAN & OVERALL RESOURCE PLAN WORKSHEETS, AND**

**BUDGET NARRATIVE**

**(20 points)**

The budget section of the proposal represents 20 points of the overall score. Applicants will submit an FS-10 and corresponding budget narrative. The budget narrative may not be more than three (3) pages in length. The budget section will be awarded points based on the following criteria:

* The grant funds budget (FS-10), the comprehensive program budget plan and overall resource plan (Attachment IV), and the budget narrative demonstrate sustainability. Provide evidence that demonstrates that the school district and IHE partners have agreed to coordinate funds and resources to support the long-term financial stability of their SS-ECHS. In addition to providing the spending plan for the State SS-ECHS award, the comprehensive program budget and overall resource plan, and the budget narrative should outline the in-kind contributions from the K-12 and the IHE partner(s) as well as other funding sources. The budget narrative may also include a description of other potential funding sources. **(6 points max)**
* The grant funds budget, the comprehensive program budget plan and overall resource plan, and budget narrative describe how costs are reasonable and necessary to support the project activities and goals. **(5 points max)**
* The grant funds budget, the comprehensive program budget plan and overall resource plan, and budget narrative reflect an understanding of the actual costs of operation of the program when fully implemented. **Note:** For SS-ECHS programs not located on a college campus, the budget should include sufficient funding to support the transportation of students to the partnering IHE(s) for the promotion of a college going culture among the students and the participation of all students in at least three college courses on the partner IHE’s campus. Consortia budgets must also include sufficient funding to support the roundtrip transportation of students from all partner school districts to the partnering IHE(s), as well as to the SS-ECHS site, if different. For SS-ECHS programs in which students earn an associate degree, students must take at least six of their college courses on the partner IHE campus. Include these figures under “Purchased Services” in the Fiscal Form as well as the accompanying comprehensive program budget form and budget narrative. **(5 points max)**
* The grant funds budgets, the comprehensive program budget plan and overall resource plan, and budget narrative describe how the expenditures and activities are supplemental to and do not supplant or duplicate services currently provided. NOTE: Applicants that are existing ECHS partnerships should provide a clear explanation of how their SS-ECHS funds and activities will not supplant or duplicate services currently provided. **(4 points max)**

**Budget Form (FS-10)**

Applicants must submit an FS-10 budget with this application for the initial planning phase of January 1, 2020 – August 31, 2020. The budget will be reviewed and scored.

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 on the [NYSED website](http://www.oms.nysed.gov/cafe). Each FS-10 must bear the original signature of the Chief School/Administrative Officer.

The Purchased Services (Code 40) and Purchase Services with BOCES (Code 49) sections of the FS-10 Budget Form should especially reflect a detailed, itemized, budget which clearly identifies the salaries and benefits of project staff employed by approved partnerships should these deductions be included on the M/WBE Goal Calculation Worksheet.

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](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 [NYSED website](http://www.oms.nysed.gov/cafe/guidance/faqs.html).

# ATTACHMENT IV – Comprehensive Program Budget Plan

*These plans will be scored as part of the Budget Section*

The two worksheets below are intended to provide reviewers with an overview of the overall level of resources and expenditures planned for the partnership’s NYS SS-ECHS program, including resources that may be provided by members as supplements to the grant award.

**Comprehensive Program Budget Plan**

**5-Project Period Budget Summary Chart (5 Grant Periods)**

|  |
| --- |
| **Year 1 (Planning Phase) – January 1, 2020 – August 31, 2020** |
| Categories | Code | NYS SS-ECHS Grant Funds | District Funds  | IHE Funds | Other Funds |
| Professional Salaries | 15 |  |  |  |  |
| Support Staff Salaries | 16 |  |  |  |  |
| Purchased Services | 40 |  |  |  |  |
| Supplies and Materials | 45 |  |  |  |  |
| Travel Expenses | 46 |  |  |  |  |
| Employee Benefits | 80 |  |  |  |  |
| Indirect Cost (IC)\* | 90 |  |  |  |  |
| BOCES Service | 49 |  |  |  |  |
| Minor Remodeling | 30 |  |  |  |  |
| Equipment | 20 |  |  |  |  |
|  | **Year 1 Total** |  |  |  |  |
| Student Enrollment: \_\_\_\_\_ | **Year 1 Grand Total** |  |  |  |  |

**Comprehensive Program Budget Plan *continued***

|  |
| --- |
| **Year 2 – September 1, 2020 – August 31, 2021** |
| Categories | Code | NYS SS-ECHS Grant Funds | District Funds  | IHE Funds | Other Funds |
| Professional Salaries | 15 |  |  |  |  |
| Support Staff Salaries | 16 |  |  |  |  |
| Purchased Services | 40 |  |  |  |  |
| Supplies and Materials | 45 |  |  |  |  |
| Travel Expenses | 46 |  |  |  |  |
| Employee Benefits | 80 |  |  |  |  |
| Indirect Cost (IC)\* | 90 |  |  |  |  |
| BOCES Service | 49 |  |  |  |  |
| Minor Remodeling | 30 |  |  |  |  |
| Equipment | 20 |  |  |  |  |
|  | **Year 2 Total** |  |  |  |  |
| Student Enrollment: \_\_\_\_\_ | **Year 2 Grand Total** |  |  |  |  |

**Comprehensive Program Budget Plan *continued***

|  |
| --- |
| **Year 3 – September 1, 2021 – August 31, 2022** |
| Categories | Code | NYS SS-ECHS Grant Funds | District Funds  | IHE Funds | Other Funds |
| Professional Salaries | 15 |  |  |  |  |
| Support Staff Salaries | 16 |  |  |  |  |
| Purchased Services | 40 |  |  |  |  |
| Supplies and Materials | 45 |  |  |  |  |
| Travel Expenses | 46 |  |  |  |  |
| Employee Benefits | 80 |  |  |  |  |
| Indirect Cost (IC)\* | 90 |  |  |  |  |
| BOCES Service | 49 |  |  |  |  |
| Minor Remodeling | 30 |  |  |  |  |
| Equipment | 20 |  |  |  |  |
|  | **Year 3 Total** |  |  |  |  |
| Student Enrollment: \_\_\_\_\_ | **Year 3 Grand Total** |  |  |  |  |

**Comprehensive Program Budget Plan *continued***

|  |
| --- |
| **Year 4 – September 1, 2022 – August 31, 2023** |
| Categories | Code | NYS SS-ECHS Grant Funds | District Funds  | IHE Funds | Other Funds |
| Professional Salaries | 15 |  |  |  |  |
| Support Staff Salaries | 16 |  |  |  |  |
| Purchased Services | 40 |  |  |  |  |
| Supplies and Materials | 45 |  |  |  |  |
| Travel Expenses | 46 |  |  |  |  |
| Employee Benefits | 80 |  |  |  |  |
| Indirect Cost (IC)\* | 90 |  |  |  |  |
| BOCES Service | 49 |  |  |  |  |
| Minor Remodeling | 30 |  |  |  |  |
| Equipment | 20 |  |  |  |  |
|  | **Year 4 Total** |  |  |  |  |
| Student Enrollment: \_\_\_\_\_ | **Year 4 Grand Total** |  |  |  |  |

**Comprehensive Program Budget Plan *continued***

|  |
| --- |
| **Year 5 – September 1, 2023 – August 31, 2024** |
| Categories | Code | NYS SS-ECHS Grant Funds | District Funds  | IHE Funds | Other Funds |
| Professional Salaries | 15 |  |  |  |  |
| Support Staff Salaries | 16 |  |  |  |  |
| Purchased Services | 40 |  |   |  |  |
| Supplies and Materials | 45 |  |  |  |  |
| Travel Expenses | 46 |  |  |  |  |
| Employee Benefits | 80 |  |  |  |  |
| Indirect Cost (IC)\* | 90 |  |  |  |  |
| BOCES Service | 49 |  |  |  |  |
| Minor Remodeling | 30 |  |  |  |  |
| Equipment | 20 |  |  |  |  |
|  | **Year 5 Total** |  |  |  |  |
| Student Enrollment: \_\_\_\_\_ | **Year 5 Grand Total** |  |  |  |  |

|  |
| --- |
| **Total for Multi-Year Period –January 1, 2020 – August 31, 2024** |
| Categories | Code | NYS SS-ECHS Grant Funds | District Funds  | IHE Funds | Other Funds |
| Professional Salaries | 15 |  |  |  |  |
| Support Staff Salaries | 16 |  |  |  |  |
| Purchased Services | 40 |  |  |  |  |
| Supplies and Materials | 45 |  |  |  |  |
| Travel Expenses | 46 |  |  |  |  |
| Employee Benefits | 80 |  |  |  |  |
| Indirect Cost (IC)\* | 90 |  |  |  |  |
| BOCES Service | 49 |  |  |  |  |
| Minor Remodeling | 30 |  |  |  |  |
| Equipment | 20 |  |  |  |  |
|  | **Multi--Year Total** |  |  |  |  |
|  | **Multi-Year Grand Total** |  |  |  |  |

**Resource Plan:** NYSED has no expectation that each partner will contribute in the same manner, or even do so in the same manner in each year. The goal of this worksheet is to provide a general idea of the level of resources available in each year of the planned program. In-kind contributions may simply be listed. It is not necessary to estimate a dollar value for these resources.

| **Overall Resource Plan for the Proposed NYS SS-ECHS Program** |
| --- |
| **Total Funds Revenue /In Kind Support** **(by Source)** | **January 1, 2020 – August****2020** | **September 2020 – August 2021** | **September 2021 –****August 2022** | **September 2022 –****August 2023** | **September 2023 –****August 2024** | **Total** |
|  **SS-ECHS Grant Funds (use totals from Comprehensive Program Budget Plan)** |    |   |   |   |  |  |
|  |  |  |  |  |  |  |
| **School District Partner(s) Total** |    |   |   |   |  |  |
| **- Other district grant funds** |    |   |   |   |  |  |
| **- District financial support** |    |   |   |   |  |  |
| **- District In-Kind Support (Please specify)** |    |   |   |   |  |  |
|  |  |  |  |  |  |  |
| **Higher Education Partner(s) Total** |    |   |   |   |  |  |
| **- Higher Education Financial support** |    |   |   |   |  |  |
| **- Higher Education –other grant funds** |    |   |   |   |  |  |
| **- Higher Education In-Kind Support (Please specify)** |    |   |   |   |  |  |
| **- Other Financial support**  |    |   |   |   |  |  |
| **- Other In-Kind Support (Please specify)** |    |   |   |   |  |  |
|  |   |   |   |   |  |  |
| **Financial Support (Total, All Sources)** |    |   |   |   |  |  |
| **In-Kind Support (Total, All Partners)** |    |   |   |   |  |  |
| **Total Resources** |    |   |   |   |  |  |

# ATTACHMENT V – Sample Memorandum of Understanding

(MOU)

**Applications that do not include a MOU signed by all required partners will not be reviewed for consideration. Letters of support will not be accepted in lieu of a required partner’s signature on the MOU.**

This cooperative agreement reflects the overall commitment as well as the specific responsibilities and the roles of the (*Insert K-12 Partner Names*) and (*Insert Higher Education Partner Names)* in implementing a New York State Smart Scholars Early College High School (NYS SS-ECHS) Program. This Memorandum of Understanding is entered into as of **January 1, 2020.** The \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (School District *or IHE, if a pre-existing partnership*) shall act as the **FISCAL AGENT** for this grant and be responsible for the receipt and expenditure of all grant funds, as well as the submission of all program and expenditure reports to NYSED. The \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_(School District, BOCES or IHE) shall act as the Implementation Lead for this grant and be responsible for coordinating and overseeing the planning and implementation of the program.

The term of this Agreement is from January 1, 2020 through August 31, 2024.

Per the NYSED Consortium Policy for State and Federal Discretionary Grant Program, (*Insert Lead Applicant Name*) will not act solely as a flow-through for grant funds to pass to other recipients and will be responsible for the performance of any services provided by the partner/consortium members, any partners, consultants, or other organizations, and coordinate participation. The (*Insert Lead Applicant Name*) agrees to facilitate communication with (*Insert all other partner(s) names)* to ensure that the partners fully know all aspects/activities that will be conducted through this grant program.

All Partners should review their respective roles and responsibilities outlined below and sign the MOU to indicate their commitment to fulfilling these and any additional responsibilities they may indicate.

Responsibilities of Partners

Essential responsibilities of the implementation lead:

* Identify key existing staff to coordinate planning and operations
* Convene all partners, coordinate the planning process, and oversee student and staff recruitment and program implementation
* Coordinates management of the partnership, with particular attention to such issues as transportation, tuition, and data collection and submission.

**K-12:** Essential responsibilities of the K-12 partners include:

* Committing to fully implement the NYS model, serving all students for the full-day, beginning in 9th grade to assure that all students have a consistent, innovative program and college-going culture and all core faculty have the opportunity to collaborate and focus on SS-ECHS instructional and support services;
* Forming a strong partnership, documented in this formal agreement (MOU), with the higher education partner(s) and any business/community collaborators;
* Recruiting historically under-represented and/or economically disadvantaged students for enrollment;
* Identifying/employing school leaders who have demonstrated the ability to drive exceptional student outcomes; are dedicated to working with under-served students and their families; and can provide the leadership skills essential for program success;
* Working with higher education partner(s) to develop a seamless scope and sequence of courses that enable all students to earn at least 24 and up to 60 transferable college credits or an associate degree in degree paths that articulate with degree programs at the partner IHE(s);
* Establishing a college-going culture for all students that begins on the first day of 9th grade and continues throughout all four years of the SS-ECHS program, engaging students in instruction on key “college knowledge”, academic and personal behaviors such as time management; collaboration; problem-solving; leadership; study skills; communication; and tenacity. Credit-bearing college course work and tutoring should be introduced as early as the summer prior to 9th grade, and no later than the 10th grade.
* Preparing students for college-level coursework from the 9th grade level, including college entry-level English and mathematics, so remedial coursework at the post-secondary level is not necessary;
* Preparing students for careers in fields through a program of career awareness, exploration and preparation that is coordinated with the 9th – 12th grade curriculum in collaboration with the IHE partner(s) and any business partners.
* Collaborating with the IHE partner(s) to provide students with guidance as to how the 24 or more college credits or associate degree they earn will transfer to the partner IHE(s) or other IHEs in the State to complete a postsecondary degree.
* Providing relevant and ongoing professional development for the principal/school leader and all participating teachers, including support and frequent exchanges with one another as well as with faculty and administrators from the partner IHE(s) during the school year; and
* Maximizing available funding streams (in addition to the State appropriation), such as federal School Improvement Grants, to support the needs of participating students.

**Higher Education:** Essential responsibilities of higher education partners include:

* Forming partnerships, as documented in this formal agreement (MOU), with the K-12 partners, any other IHE partners, and any business/community collaborators;
* Identifying appropriate coursework and experiences to introduce students to college course work beginning as early as the summer prior to 9th grade, and no later than the 10th grade;
* Identifying appropriate college courses to include in the program’s scope and sequence, ensuring that students can earn a minimum of 24 and up to 60 college credits or an associate degree that will enable students upon graduation to matriculate at the partner IHE or another IHE with advanced standing and complete a postsecondary degree;
* Working with the K-12 partners to determine which courses will be taught by college faculty, which by high school teachers with adjunct status, and which by a combination of the two (and ensuring the appropriate college-level rigor of courses taught by adjunct faculty);
* Collaborating with high school faculty, any other IHE partners, and any business partners to ensure that high school course content will prepare students for college work and careers;
* Collaborating with high school faculty and any other IHE partners to develop innovative approaches for early diagnosis and interventions for students who require additional academic assistance (Please note: Funds for this program cannot be spent on college remedial coursework; therefore, all high school coursework should prepare students to seamlessly enter college level courses.);
* Maintaining student advisory resources and credit transfer policies that protect the pathway to degree completion for participating students;
* Committing to maximize available funding streams (in addition to the State appropriation) and waive or reduce tuition costs per credit for all SS-ECHS college courses to no more than existing “college in the high school” rates;
* Providing dedicated staff to work on the initiative, including a College Liaison who has the authority to coordinate with the school on the college/university partner’s behalf;
* Committing to accept all credits earned at their institution by SS-ECHS graduates, to enable graduates to complete a postsecondary degree in a timely manner; and
* Committing to collect data to monitor the progress of SS-ECHS graduates who matriculate at the partner IHE, and to share these data with NYSED.

**Business Partner (if applicable):** Essential responsibilities of the Business Partner include:

* Providing direct career support, as documented in this formal agreement (MOU), to SS-ECHS participants that can lead to being first in line for a job with the participating business/employer partner following completion of the program, graduation from high school, and satisfactorily meeting any employment evaluations. Additionally, this employment would provide a middle-class salary tied to a “very favorable” job outlook;
* Providing variety of services for SS-ECHS participants, such as site visits, mentorship of students, job shadowing opportunities, project-based learning opportunities, skills development, and paid internships for all student participants.
* Identify the specific in-demand career pathway:
	+ Web Developers
	+ Civil Engineering Technicians
	+ Environmental Science and Protection Technicians
* NOTE: These requirements need to be explicitly described in the signed MOU.

In addition, all partners must commit to participate in a statewide network of NYS SS-ECHS schools and to working with colleagues to share expertise and experience on the development of the NYS SS-ECHS model, as well as pertinent resources, tools and strategies.

Additional Responsibilities of each Partner (please list all partners’ responsibilities):

**Name of Lead Applicant** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Signature** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ **Printed Name:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Title:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ **Date:**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Name of K-12 Partner (if applicable)** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Signature** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ **Printed Name:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Title:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ **Date:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Name of Higher Education Partner:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Signature** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ **Printed Name:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Title:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  **Date:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Name of Higher Education Partner:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Signature** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ **Printed Name:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Title:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  **Date:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Name of Business / Industry Partner (required for additional funding):** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Signature** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ **Printed Name:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Title:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  **Date:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

THE AGREEMENT FOR YOUR PROGRAM SHOULD REFLECT THE SPECIFICS OF YOUR PROGRAM AND YOUR PARTNER/CONSORTIUM MEMBERS. ALL ACTIVITIES/SERVICES, ETC. THAT ARE PERTINENT TO YOUR PROJECT SHOULD BE INCLUDED. PLEASE ADD ADDITIONAL FIELDS FOR MULTIPLE PARTNERS, AS NEEDED. ALL PARTNER RESPONSIBILITIES INCLUDED IN THIS SAMPLE MOU, AS WELL AS ANY ADDITIONAL RESPONSIBILTIIES ESTABLISHED BY THE PARTNERSHIP, SHOULD BE INCLUDED IN THE EXECUTED MOU YOU SUBMIT.

# ATTACHMENT VI – Proposed Enrollment Table

Please complete this table and include it with your application for the NYS SS-ECHS Program. This plan will be scored as part of the Target Population section.

**Proposed Enrollment Plan for Proposed NYS SS-ECHS**

**Name of SS-ECHS: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Students Served at Grade Level** | **2020-21** | **2021-22** | **2022-23** | **2023-24** |
| **9th Grade** |   |   |   |  |
| **10th Grade** |   |   |   |  |
| **11th Grade** |   |   |   |  |
| **12th Grade** |   |   |   |  |
| **Total Enrollment** |  |  |  |  |
|  |  |  |  |  |

# ATTACHMENT VII – Proposed College Credit Accumulation Plan

Please complete this table and include it with your application for the NYS SS-ECHS Program. This plan will be scored as part of the Curriculum and Academic Rigor section of the proposal narrative.

**Name of SS-ECHS: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

|  |  |
| --- | --- |
|  | **Grade Level** |
|  | **9** | **10** | **11** | **12**  |
| **Target average number of transferable college credits earned by a student at each grade level**  |   |   |   |  |
| **Average cumulative number of transferable college credits earned by a student by the end of each grade level** |  |  |  |  |

# ATTACHMENT VIII – Bonus Points and/or Industry Partner Certification

**Certification of Meeting Criteria for Bonus Points and/or Industry Partnership**

**By completing and signing this form, the undersigned certifies the applicant has met one or both of the following criteria to receive bonus points on the New York State Smart Scholars Early College High School Proposal Evaluation Rubric.**

**Check one or both, as applicable:**

* The majority (at least 51%) of the target students will be enrolled from a Target District(s). Name of school district(s): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ **3 bonus points**
* The applicant is an existing SS-ECHS partnership for which, for the two years prior to the school year beginning September 2018, graduates earned an average of 24 or more college credits. The actual student outcomes were:
	+ an average of \_\_\_\_\_\_\_ college credits earned per student in the 2016-17 school year, and
	+ an average of \_\_\_\_\_\_\_ college credits earned per student in the 2017-18 school year

**3 bonus points**

**Total Bonus Points \_\_\_\_\_\_\_**

* The applicant has identified an industry partner that commits to provide direct career support to participants which can lead to jobs with a middle-class salary that are tied to a “very favorable” job outlook. An in-demand industry partner is defined by the New York State Department of Labor. Select one of the following specific industries for an in-demand partner ($100,000 of increased funding available for this partnership):
	+ Web Developers [ ]
	+ Civil Engineering Technicians [ ]
	+ Environmental Science and Protection Technicians [ ]

|  |  |  |
| --- | --- | --- |
| **Chief Administrator’s Signature** |  | **Date:** |
| **Printed Name** |  |
| **Title** |  |
| **Name and Address of Lead Agency** |  |

# ATTACHMENT IX – Proposal Evaluation Rubric Score Sheet

**New York State Education Department GC #19-012**

New York State Smart Scholars Early College High School Program

**SED Use Only**

|  |  |
| --- | --- |
| Applicant:  |  |
| ReviewerInitials | ReviewCompleted: | FundingRequested: | Score: |
|  |  |  |  |  |

**Directions for Raters**: Each proposal will be evaluated by two reviewers. Raters are asked to evaluate each technical and budget component as listed in the RFP, using the scales provided below. Raters should independently read and score each proposal. The scores of the two reviewers will be averaged to obtain the final average score. A third review will be performed if there is a difference of fifteen points or more between the two scores. In cases where a third review is necessary, the two closest scores will be averaged to obtain the final average score.

**Rating Guidelines:**

Very Good - 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 - Unclear and non-specific. Limited information is provided about approach and strategies. Lacks focus and detail.

Poor - Does not meet the criteria, fails to provide information, provides inaccurate information, or provides information that requires substantial clarification as to how the criteria are met.

Not Found - Does not address the criteria or simply re-states the criteria.

**Total of 100 to 106 points available with the inclusion of bonus points.**

**All applicants must receive a minimum score of 60 points (not including Bonus Points) to be considered for funding. Any awarded bonus points will be added to the final score for purposes of ranking proposals (Note: bonus points cannot be used to make an unsuccessful proposal become successful).**

|  |  |  |
| --- | --- | --- |
| **Bonus Points**  | **Yes** | **No** |
| The applicant has met the following criteria for earning assigned bonus points: |  |  |
| 🞎 At least 51% of the students will be enrolled from a Target District.  |  |  |
| 🞎 The applicant is an existing SS-ECHS whose graduates earned an average of at least 24 transferable college credits for the past two school years (2016 – 2017 and 2017 – 2018) |  |  |
| **Total Bonus Points** |  |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **1.** **Target Population [10 points]**The target population is students who have been identified as historically underrepresented in postsecondary education and/or economically disadvantaged. | VeryGood | Good | Fair | Poor | NF |
| a. The applicant discusses how the SS-ECHS will identify and recruit mainly students who are historically underrepresented, and/or economically disadvantaged. | 5 | 3.75 | 2.5 | 1.25 | 0 |
| b. The recruitment plan provides the enrollment targets for the SS-ECHS, serving a minimum of 25 and a maximum of 100 students per grade level with these grant funds. If the SS-ECHS is an existing SS-ECHS, the applicant may provide justification for a larger student enrollment. Describe how the project is expected to successfully serve the targeted population. A completed Proposed Enrollment Table (Attachment VI) is included with the application.NOTE: Students must enter a NYS SS-ECHS no later than the 9th grade level. In addition, the SS-ECHS program does not extend the senior year of high school into a 5th year or longer. This applies to applicants with both new and existing SS-ECHSs. All SS-ECHSs funded with this grant program will not include any grade levels higher than the 9th grade in their first year of operation, and will add a grade level each year for three succeeding years up to the 12th grade. A NYS SS-ECHS is considered fully operational if it has enrolled and graduated at least one class of students. Fully operational NYS SS-ECHSs will include four grades: grades 9 through 12. | 5 | 3.75 | 2.5 | 1.25 | 0 |
| Comments: Score ( ) out of 10 |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **2.** **P-16 Partnership and Governance** **[15 points]**The applicant describes an active partnership that works closely together to administer the SS-ECHS. (If applicable, score the applicant’s rationale for the bonus $100,000 to work with a Business/Industry Partner with a very favorable job outlook in the entire “P-16 Partnership and Governance” section.) | VeryGood | Good | Fair | Poor | NF |
| a. The application provides evidence that the SS-ECHS is supported by an active partnership between the school district and IHE partner(s) and other collaborators, if applicable. If the applicant is an existing SS-ECHS partnership proposing to maintain the existing partners, provide a brief history of the partnership. All applicants must describe the roles and responsibilities of each party, including a steering committee and joint decision-making procedures that allow for the planning and implementation of a coherent program across institutions. A description of the committee membership and frequency of meetings is included. The fully executed MOU clearly defines the roles of each NYS SS-ECHS partner, including the fiscal agent and implementation lead.  | 5 | 3.75 | 2.5 | 1.25 | 0 |
| b. The narrative articulates the commitment of the IHE partner(s) to apply the college credits earned by SS-ECHS graduates who matriculate at their institution toward a postsecondary degree and support their completion of the degree in a timely and efficient manner. (3 points). The narrative also provides plans for articulation agreements with other IHEs beyond the SS-ECHS partnership. The plan should include recognition of the goal of the SS-ECHS program to strengthen articulation between 2- and 4-year institutions so that SS-ECHS graduates will have the ability to transfer their college credits to any New York State 4-year institutions to complete baccalaureate degrees in 4 years or less. (2 points)  | 5 | 3.75 | 2.5 | 1.25 | 0 |
| c. The narrative describes how the responsibility for performance reporting will be allocated among the partners. The partnership’s process for collecting, sharing, and reviewing student data to assess the progress of the SS-ECHS is described. This includes data on graduates who matriculate at the partner IHE. The narrative describes each partner IHE’s commitment to track the progress of SS-ECHS graduates who matriculate at their institution, to support their timely completion of a postsecondary degree based on the student’s advanced standing due to credit accumulation from the SS-ECHS. | 5 | 3.75 | 2.5 | 1.25 | 0 |
| Score ( ) out of 15**2. P-16 Partnership and Governance *(continued*)** Comments:  |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **3.** **Program Location** **[10 points]**  | VeryGood | Good | Fair | Poor | NF |
| a. The narrative explains whether the SS-ECHS is* a school or small learning community located on the IHE partner’s campus
* a stand-alone school located near the IHE partner’s campus
* an autonomous small learning community or academy within a larger high school that is located near the IHE partner’s campus where SS-ECHS students are a separate cohort with their own teachers, leader, schedule, and curriculum plan.

Applicants whose SS-ECHS is not located on the partner IHE campus must provide at least three college courses for all students on the partner IHE campus, to help instill in the SS-ECHS students the value and impact of a college going culture. For SS-ECHS programs in which students earn an associate degree, students must take at least six of their college courses on the partner IHE campus.SS-ECHSs will be considered located “near the IHE partner’s campus” if their students can be transported to the campus within 45 minutes or less. Such proximity would facilitate the students’ taking college courses on campus and visiting the campus to utilize the IHE resources or participate in special events. | 10 | 7.5 | 5 | 2.5 | 0 |
| Comments: Score ( ) out of 10 |
| **4. Curriculum and Academic Rigor [18 points]** | Very Good | Good | Fair | Poor | NF |
| a. The narrative describes the partnership’s capacity and  plans to use authentic and comprehensive measures of  assessment to plan instruction, coordinate support  services, and assess students’ readiness for enrollment in  college level courses. | 3 | 2.25 | 1.5 | 0.75 | 0 |
| b. The narrative describes a full-day curriculum plan that  provides rigorous, high quality instruction and extra academic support for grades 9 through 12, to prepare students from the target population for entry level college courses no later than 10th grade. The narrative also  describes how innovative teaching and learning strategies (e.g., project-based learning, technology enabled learning, cross-curricular instruction, etc.) will be integrated into the curriculum. A description of extended learning time is included in this section. If the school which will host the ECHS program is currently implementing an approved SIF grant or SIG, this section of the proposal narrative should describe how NYS SS-ECHS grant funds will work with other federal or state grant funds to meet their individual turnaround strategy. A target of at least 90 hours of additional instruction is provided each implementation year. | 4 | 3 | 2 | 1 | 0 |
| c. The narrative explains the plan for how the core high  school level courses will be aligned with college level  courses at the partner IHE(s) and prepare the students to  earn at least 24 and up to 60 transferrable college credits  or an associate degree within four years of high school.  | 3 | 2.25 | 1.5 | 0.75 | 0 |
| d. The narrative explains how students will be provided a program of career awareness, exploration and preparation for careers in fields that is coordinated with the academic curriculum. The narrative describes how innovative teaching and learning strategies will be integrated into the curriculum to support the career focus (e.g., project-based learning, technology enabled learning, work-based learning, etc.). Local business partner(s) may collaborate with the SS-ECHS partnership to provide activities that support the career focus. | 4 | 3 | 2 | 1 | 0 |
| e. The narrative explains how students will receive a Regents diploma and at least 24 and up to 60 transferrable college credits or an associate degree. The applicant has submitted a College Credit Accumulation Plan (Attachment VII) that outlines the target number of college credits students will earn at each grade level, and the number of college credits students will have earned cumulatively at the end of each grade level. The applicant also identifies approximately how many college courses will be offered by college faculty on the partner IHE campus. SS-ECHSs that are not located on the partner IHE campus must require students to take at least three courses on the partner IHE campus. For SS-ECHS programs in which students earn an associate degree, students must take at least six of their college courses on the partner IHE campus.  | 4 | 3 | 2 | 1 | 0 |
| Score ( ) out of 18**4. Curriculum and Academic Rigor**Comments:  |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **5. Support Structures [15 points]**The applicant describes how the partners collaborate to provide support structures to build college readiness and a college-going culture.  | VeryGood | Good | Fair | Poor | NF |
| a. The applicant provides plans for creating and implementing strategies and activities that foster a distinct college-going culture at the SS-ECHS, such as bridge programs, participation in college activities, or college visits.All students, regardless of program location, will attend a summer program on the partner IHE’s campus prior to taking college courses on the college campus during the school year. The summer program must be of at least three weeks duration. The summer program may be of longer duration and include one or more college courses. | 3 | 2.25 | 1.5 | 0.75 | 0 |
| b. The applicant provides plans for creating a personalized learning environment and student academic support services to maximize student success, such as tutoring or mentoring. The applicant explains how students will be provided guidance in planning career paths and a postsecondary degree path(s) that supports that career. The applicant also explains how SS-ECHS graduates who matriculate at the partner IHE will be supported to complete a postsecondary degree in a timely manner, considering the number of college credits they had accumulated when they matriculated. | 3 | 2.25 | 1.5 | 0.75 | 0 |
| c. The applicant describes plans for social and emotional support services for the SS-ECHS students, such as advisory structures, personalized learning communities, individual graduation plans, or guidance and counseling. A local 501(c)3 CBO may participate in this endeavor. | 3 | 2.25 | 1.5 | 0.75 | 0 |
| d. The applicant describes plans for giving SS-ECHS students access to the partner IHE’s facilities, resources, and services, such as university faculty; libraries; science labs; technology and writing centers; artistic, cultural, and sports facilities and activities; and extracurricular activities as appropriate. | 3 | 2.25 | 1.5 | 0.75 | 0 |
| e. The applicant provides evidence of the commitment to substantial parental and community involvement in strategies and activities designed to encourage high school and postsecondary degree completion, and successful transfer to a postsecondary institution and/or pursuit of a career  | 3 | 2.25 | 1.5 | 0.75 | 0 |
| Score ( ) out of 15Comments: **5. Support Structures [15 points]** *continued*Comments:  |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **6. Staffing and Management [12 points]** | VeryGood | Good | Fair | Poor | NF |
| * 1. Applicants provide job descriptions and resumes for key professional staff (e.g., the principal/school leader/program director) who are dedicated to the SS-ECHS. The applicant explains how the school leaders possess the ability to drive exceptional student outcomes, are dedicated to working with traditionally underrepresented and/or economically disadvantaged students and their families and can provide the leadership skills essential for program success. For any key professional staff not yet identified, applicants provide job descriptions and describe plans for recruitment of new professional staff that will be dedicated to the SS-ECHS, and that possess these leadership qualities.
 | 3 | 2.25 | 1.50 | 0.75 | 0 |
| b. The applicant demonstrates that P-12 teachers and faculty selected to participate in the SS-ECHS have the appropriate background to deliver college-level courses and the ability to provide accelerated instruction to students traditionally underrepresented in postsecondary education or provides the plan to hire teachers and faculty with these qualities. | 3 | 2.25 | 1.50 | 0.75 | 0 |
| c. The applicant describes plans for supporting the staff and teachers to deliver the SS-ECHS model. Plans for common planning time for SS-ECHS instructional faculty and other appropriate staff, including school leaders and, when possible, higher-education faculty are provided. Plans for providing SS-ECHS teachers with support and guidance through teacher mentoring, professional development, and induction programs are described. Over the five grant periods, a minimum of 5 additional professional development days should be planned for high school staff over and above that provided to all staff in the K-12 system. This professional development should focus on curriculum alignment and developing a college-going culture. The applicant explains how collaboration with higher education faculty will be included in these plans. | 3 | 2.25 | 1.50 | 0.75 | 0 |
| * 1. The applicant describes a management plan that will assure the effective completion of project activities and requirements given the fiscal and other resources available. Demonstrate collaboration in order to establish best practices among all partners; describe coordination and maintenance of all reports, student records, and fiscal transactions. Provide an organization chart that indicates the management structure of the program within the institution. **Consortium applicants** **only:** Demonstrate collaboration in order to establish best practices among consortium partners; describe coordination and maintenance of all reports, student records, and fiscal transactions; describe how the consortium will provide leadership and programmatic oversight of the project. The consortium management plan should also include the organizational relationships between the lead institution and each member institution and identify who will serve as the project point person among all partners. Provide an organizational chart of the consortium arrangement.
 | 3 | 2.25 | 1.50 | 0.75 | 0 |
| Comments: Score ( ) out of 12 |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **7****.** Budget **[20 points]** Program budgets will be evaluated based on the number of students to be served, the quality of the program design, and efficient use of funds and other resources.  | VeryGood | Good | Fair | Poor | NF |
| a. Evidence the grant funds budget (FS-10), the comprehensive program budget plan & overall resource plan (Attachment IV), and the budget narrative demonstrate sustainability. The documents demonstrate that the school district and IHE partners have agreed to coordinate funds and resources to support the long-term financial stability of their SS-ECHS. In addition to providing the spending plan for the SS-ECHS award, the comprehensive program budget & overall resource plan, and the budget narratives outline the in-kind contributions from the School District and the IHE partner(s) as well as other funding sources. The budget narrative may also include a description of other potential funding sources.  | 6 | 4.5 | 3 | 1.5 | 0 |
| b. Evidence the grant funds budget, the comprehensive program budget plan & overall resource plan, and budget narrative describe how costs are reasonable and necessary to support the project activities and goals. | 5 | 3.75 | 2.5 | 1.25 | 0 |
| c. Evidence the grant funds budget, the comprehensive program budget plan & overall resource plan, and budget narrative reflect an understanding of the actual costs of operation of the program when fully implemented. **Note:** For SS-ECHS programs not located on a college campus, the budget should include sufficient funding to support the transportation of students to the partnering IHE(s) for the promotion of a college going culture among the students and the participation of all students in at least three college courses on the partner IHE’s campus. Consortia budgets must also include sufficient funding to support the roundtrip transportation of students from all partner school districts to the partnering IHE(s), as well as to the SS-ECHS site, if different. For SS-ECHS programs in which students earn an associate degree, students must take at least six of their college courses on the partner IHE campus. These figures are included under “Purchased Services” in the Fiscal Form as well as the accompanying comprehensive program budget form and budget narrative.  | 5 | 3.75 | 2.5 | 1.25 | 0 |
| d. Evidence the grant funds budget, the comprehensive program budget plan & overall resource plan worksheets, and budget narrative describe how the expenditures and activities are supplemental to and do not supplant or duplicate services currently provided. The Budget Narratives of existing SS-ECHS partnerships provide a clear explanation of how their SS-ECHS funds and activities will not supplant or duplicate funds and services currently provided. | 4 | 3 | 2 | 1 | 0 |
| Comments: Score ( ) out of 20 |

**Scoring By Section**

1. Target Population ( ) out of 10 points
2. P-16 Partnership and Governance ( ) out of 15 points
3. Program Location ( ) out of 10 points
4. Curriculum and Academic Rigor ( ) out of 18 points
5. Support Structures ( ) out of 15 points
6. Staffing and Management ( ) out of 12 points
7. Budget ( ) out of 20 points

**SUBTOTAL ( ) out of 100 points**

**Bonus Points**

1. Applicant meets one or all bonus criteria ( ) out of 6 bonus points

**TOTAL SCORE: \_\_\_\_\_\_\_\_\_\_\_\_\_**

# ATTACHMENT X – M/WBE GOALS

**M/WBE Goal Calculation Worksheet**

**Project Name: Early College High School**

**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.

**For the purposes of the grant, the salary and fringe benefit exclusion applies to the expenses of the lead applicant as well as any approved partner organization.** For example, the salaries of project staff employed by any approved partner should be excluded from the total budget, along with the lead applicant’s project staff salaries, when calculating the discretionary non-personal service budget. Therefore, **lines 2-5 below will include any project salaries and fringe benefits of the lead applicant AND members of the partnership.** (Please note that the indirect costs of partner organizations are not allowable expenses under this grant program.)

**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****(2019-20 Project Total)**  |
|  | **Total Budget** |  |  |
|  | **Professional Salaries** |  |  |
|  | **Support Staff Salaries** |  |  |
|  | **Fringe Benefits** |  |  |
|  | **Portion of Purchased Services identified as Partnership Salaries and Benefits (Codes 40 &49)** |  |  |
|  | **Portion of Purchased Services identified as Student Tuition (Code 40)**  |  |  |
|  | **Indirect Costs** **(lead applicant only)**  |  |  |
|  | **Sum of lines 2, 3, 4, 5, 6, and 7** |  |  |
|  | **Line 1 minus Line 8** |  |  |
|  | **M/WBE goal percentage (30%)** |  | **0.30** |
|  | **Line 9 multiplied by Line 10 =MWBE goal amount** |  |  |

**This form is only for use with the 2020-2024 SS-ECHS Program. It may not be used with any other grant program.**

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

**ECHS 2019 - 2024**

**Applicant 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 ADDRESSCITY, ST, ZIPPHONE/E-MAILFEDERAL ID No. | NYS ESD CertifiedMBE \_\_\_\_\_\_WBE \_\_\_\_\_\_ |  | $ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| NAMEADDRESSCITY, ST, ZIPPHONE/E-MAILFEDERAL ID No. | NYS ESD CertifiedMBE \_\_\_\_\_\_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.**

|  |
| --- |
| REVIEWED BY \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ DATE \_\_\_\_\_\_\_\_\_\_UTILIZATION PLAN APPROVED YES/NO DATE \_\_\_\_\_\_\_\_\_\_NOTICE OF DEFICIENCY ISSUED YES/NO DATE \_\_\_\_\_\_\_\_\_\_NOTICE OF ACCEPTANCE ISSUED YES/NO DATE \_\_\_\_\_\_\_\_\_\_ |

NAME AND TITLE OF PREPARER:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

(*print or type)*

TELEPHONE/E-MAIL \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

DATE \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**M/WBE 100**

**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 RepresentativeDate: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| **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\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Printed or Typed Name and Title of Authorized Representative Date |

**M/WBE 102**

**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 105**

**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.

**DATE** **M/WBE NAME PHONE/EMAIL TYPE OF WORK ESTIMATED BUDGET REASON**

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:****EMAIL:** |
| **ADDRESS:** | **FEDERAL ID NO.:** |
| **CITY, STATE, ZIPCODE:** | **RFP#/PROJECT NO.:** |

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

|  |
| --- |
| **BIDDER/APPLICANT IS REQUESTING (check all that apply):** |
| * **MBE Waiver** - A waiver of the MBE goal for this procurement is requested.
* **Total 🞎 Partial \_\_\_\_\_\_\_%**
 | * **WBE Waiver** - A waiver of the WBE goal for this procurement is requested.
* **Total 🞎 Partial \_\_\_\_\_\_\_%**
 |
| * **Waiver Pending ESD Certification**

(check here if subcontractor or supplier is not certified M/WBE, but an application for certification has been filed with Empire State Development)Subcontractor/Supplier Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date of application filing: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |

PREPARED BY (*Signature*): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ DATE: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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

|  |  |
| --- | --- |
| NAME OF PREPARER: | **FOR AUTHORIZED USE ONLY** |
| TITLE OF PREPARER:TELEPHONE:EMAIL: | REVIEWED BY: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_DATE:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**WAIVER GRANTED 🞎 YES 🞎 NO**🞎 TOTAL WAIVER 🞎 PARTIAL WAIVER 🞎 ESD CERTIFICATION WAIVER 🞎 NOTICE OF DEFICIENCY🞎 CONDITIONAL WAIVERCOMMENTS: |

**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.**

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| **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: |   |

**EEO 100**

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| **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, mwbegrants@nysed.gov, if you have any questions. |
| 6. | Enter the name, title, phone number and email address for the person completing the form. Sign and date the form in designated areas. |
|   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |
| **RACE/ETHNIC IDENTIFICATION** |
| For purposes of this form NYSED will accept the definitions of race/ethnic designations used by the federal Equal Employment Opportunity Commission (EEOC), as those definitions are described below or amended hereafter. (Be advised these terms may be defined differently for other purposes under NYS statutory, regulatory, or case law). Race/ethnic designations as used by the EEOC do not denote scientific definitions of anthropological origins. For the purposes of this report, an employee may be included in the group to which he or she appears to belong, identifies with, or is regarded in the community as belonging. The race/ethnic categories for this survey are:  |
|   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |
| • | **Hispanic or Latino** - A person of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture or origin regardless of race. |
| • | **White (Not Hispanic or Latino)** - A person having origins in any of the original peoples of Europe, the Middle East, or North Africa. |
| • | **Black or African American (Not Hispanic or Latino)** - A person having origins in any of the black racial groups of Africa. |
| • | **Native Hawaiian or Other Pacific Islander (Not Hispanic or Latino)** - A person having origins in any of the peoples of Hawaii, Guam, Samoa, or other Pacific Islands. |
| • | **Asian (Not Hispanic or Latino)** - A person having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian Subcontinent, including, for example, Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam. |
| • | **American Indian or Alaska Native (Not Hispanic or Latino)** - A person having origins in any of the original peoples of North and South America (including Central America), and who maintain tribal affiliation or community attachment. |
| • | **Two or More Races (Not Hispanic or Latino)** - All persons who identify with more than one of the above five races. |
| • | **Disabled** -Any person who has a physical or mental impairment that substantially limits one or more major life activity; has a record of such an impairment; or is regarded as having such an impairment  |
| • | **Vietnam Era Veteran** - a veteran who served at any time between and including January 1, 1963 and May 7, 1975. |

EEO 100

#### Sexual Harassment Prevention Certification

By submission of this bid, each bidder and each person signing on behalf of any bidder certifies, and in the case of a joint bid each party thereto certifies its own organization, under penalty of perjury, that the bidder has and has implemented a written policy addressing sexual harassment prevention in the workplace and provides annual sexual harassment prevention training to all of its employees. Such policy shall, at a minimum, meet the requirements of section two hundred one-g of the labor law.

# 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, licenser, 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

[NYS M/WBE Directory](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/Offerers pursuant to the New York State Iran Divestment Act of 2012” (“[Prohibited Entities List](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)

# APPENDIX A-1 G – General Assurances

1. 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.
2. 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/.
3. 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.
4. 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:
	1. 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
	2. 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.
5. Funds provided by this contract may not be used to pay any expenses of the State Education Department or any of its employees.

Terminations

1. 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

1. 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.

Rev. 5/12/14

# APPENDIX R – DATA SECURITY AND PRIVACY PLAN

If individually identifiable data is provided to or stored by the Contractor pursuant to this agreement (the “Data”), the Contractor agrees that the data are sensitive requiring appropriate levels of security to prevent unauthorized disclosure or modification. Therefore, the Contractor

shall be subject to the following requirements:

1. The Contractor shall take all reasonable measures to protect the confidentiality of the Data as required by federal and state laws and regulations applicable to the Contractor. These may include but are not limited to the New York State Social Services Law, Personal Privacy Protection Law and Education Law §2-d; the federal Social Security Act and Family Educational Rights and Privacy Act; internet security laws; and any regulations promulgated thereunder.

1. The Contractor has full and final responsibility for the security of the Data. The Contractor agrees to implement reasonable technical and physical security measures to ensure the confidentiality, integrity and availability of the Data. Such security measures may be reviewed by the State, both through an informal audit of policies and procedures and/or through inspection of security methods used within the Contractor's infrastructure, storage, and other physical security. The Contractor should review its implementation and maintenance of its security review periodically to protect the data in strict compliance with statutory and regulatory requirements.
2. The Contractor's security measures must also include:

a. Provision that access to the Data is restricted solely to staff who need such access to carry out the responsibilities of the Contractor under this agreement, and that such staff will not release such Data to any unauthorized party;

b. All confidential Data are stored on computer and storage facilities maintained within Contractor's computer networks, behind appropriate firewalls;

c. Access to computer applications and Data are managed through appropriate userID/password procedures;

d. Contractor's computer network storing the Data is scanned for inappropriate access through an intrusion detection system. NYSED has the right to perform a site visit to review the vendor’s security practices if NYSED feels it is necessary;

e. That Contractor have a disaster recovery plan that is acceptable to the State;

f. Satisfactory redundant and uninterruptible power and fiber infrastructure provisions; and

g. A copy of the Contractor's security review evidencing compliance with these requirements must be submitted to NYSED for review and approval within 6 months of the signing of the contract or before the first certification test is performed, whichever occurs first.

1. The Data must be returned to NYSED upon termination or expiration of this Agreement, or at such point that the Data are no longer needed for the purpose referenced in this Agreement, or, at the sole discretion of NYSED, securely destroyed. All hard copies of personally identifiable Data in the possession of the Contractor must be securely destroyed, and all electronic Data must be purged from the network in a manner that does not permit retrieval of the data. The contractor is specifically prohibited from commingling any data from outside sources into the Data received from NYSED, except as specifically authorized by NYSED.
2. If personally identifiable data of students, teachers or building principals will be disclosed to the Contractor by NYSED for purposes of the Contractor providing services to NYSED, the Contractor must comply with the following requirements of Education Law §2-d (Chapter 56, Subpart L of the Laws of 2014) and any implementing regulations:
3. Any officers or employees of the third-party contractor and its assignees who have access to student data or teacher or principal data have received or will receive training on the federal and state law governing confidentiality of such data prior to receiving access;
4. limit internal access to education records to those individuals that are determined to have legitimate educational interests;
5. not use the education records for any other purposes than those explicitly authorized in its contract;
6. except for authorized representatives of the third party contractor to the extent they are carrying out the contract, not disclose any personally identifiable information to any other party:

(i) without the prior written consent of the parent or eligible student; or

(ii) unless required by statute or court order and the party provides a notice of the disclosure to the department, district board of education, or institution that provided the information no later than the time the information is disclosed, unless providing notice of the disclosure is expressly prohibited by the statute or court order;

1. maintain reasonable administrative, technical and physical safeguards to protect the security, confidentiality and integrity of personally identifiable student information in its custody; and
2. use encryption technology consistent with Education Law §2-d and any implementing regulations.
3. If requested by NYSED to make any disclosure of aggregated data using the Data provided to or stored by the Contractor, Contractor must ensure that the disclosed aggregated data cannot reasonably be used to identify a particular individual. Aggregated data will be considered identifiable if the disclosure has less than five (5) data elements per cell or the data elements per cell comprise 100% of the subject population.
4. Contractor agrees that all Data shall remain at all times the property of the State, and may not be used for any purpose other than the purpose outlined in this Agreement without the express written permission of NYSED. The Contractor has no ownership of or licensing rights to the Data except as provided in this Agreement, and Contractor specifically agrees that it will not sell, give or otherwise transfer the Data to any third party without NYSED’s express prior approval.
5. The Contractor must ensure that these confidentiality and security provisions apply to any subcontractor engaged by the Contractor for the work under this agreement. The Contractor shall take full responsibility for the acts and omissions of its subcontractors, and the use of subcontractors shall not impair the rights of NYSED against the Contractor in accordance with this Agreement.
6. Hardware, software and services acquired by the Contractor under this Agreement may not be used for other activities beyond those described in the scope of the contract unless authorized in advance by NYSED.
7. Security of Location - Server room will remain a restricted access, locked room with access via security cards. The list of staff with access to the server room will continue to be reviewed quarterly against the number of times each staff actually gained access to the server room.
8. Breach Notification.
9. Contractor that receives student data or teacher or principal data pursuant to a contract or other written agreement with an educational agency shall be required to notify such educational agency of any breach of security resulting in an unauthorized release of such data in accordance with Education Law §2-d and any implementing regulations. Upon such notification, the educational agency shall take appropriate action in accordance with Education Law §2-d and any implementing regulations.
10. In the event that the State is required, pursuant to Education Law §2-d(6)(b), to notify one or more parent, eligible student, teacher or principal of an unauthorized release of student data by the Contractor or its assignee, the Contractor shall promptly reimburse the State for the full cost of such notification.
11. Contractor acknowledges that it may be subject to penalties under Education Law §§2-d(6)and 2-d(7) for unauthorized disclosure of personally identifiable student, teacher or principal data.
12. Contractor agrees that it will cooperate and promptly comply with any inquiries from the State based upon the State’s receipt of a complaint or other information indicating that an improper or unauthorized disclosure of personally identifiable information may have occurred. Contractor will permit on-site examination and inspection, and will provide at its own cost necessary documentation or testimony of any employee, representative or assignee of Contractor relating to the alleged improper disclosure of data.

# APPENDIX S – LIST OF PRIORITY SCHOOLS

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **DISTRICT** | **BLDG BEDS CODE** | **SCHOOL BUILDING NAME** |  | **DISTRICT** | **BLDG BEDS CODE** | **SCHOOL BUILDING** |
| AFTON | 080101040003 | AFTON JUNIOR/SENIOR HIGH SCHOOL |  | DUNDEE | 680801040001 | DUNDEE JUNIOR-SENIOR HIGH SCHOOL |
| AKRON | 142101040002 | AKRON HIGH SCHOOL |  | DUNKIRK | 060800010009 | DUNKIRK SENIOR HIGH SCHOOL |
| ALBANY | 010100010034 | ALBANY HIGH SCHOOL |  | EAST RAMAPO | 500402060018 | RAMAPO HIGH SCHOOL |
| ALTMAR-PARISH | 460102040006 | ALTMAR-PARISH-WILLIAMSTOWN JR/SR HS |  | EAST RAMAPO | 500402060014 | SPRING VALLEY HIGH SCHOOL |
| AMITYVILLE | 580106030005 | AMITYVILLE MEMORIAL HIGH SCHOOL |  | EDMESTON | 470501040001 | EDMESTON CENTRAL SCHOOL |
| AMSTERDAM | 270100010010 | AMSTERDAM HIGH SCHOOL |  | ELLENVILLE | 622002060004 | ELLENVILLE HIGH SCHOOL |
| ANDES | 120102040001 | ANDES CENTRAL SCHOOL |  | ELMIRA | 070600010020 | ELMIRA HIGH SCHOOL |
| AUBURN | 050100010013 | AUBURN HIGH SCHOOL |  | ELMIRA HEIGHTS | 070902060002 | THOMAS A EDISON HIGH SCHOOL |
| BALDWINSVILLE | 420901060006 | THEODORE R DURGEE JUNIOR HIGH SCH |  | FAIRPORT | 261301060007 | MINERVA DELAND SCHOOL |
| BERKSHIRE | 100308020001 | BERKSHIRE JUNIOR-SENIOR HIGH SCHOOL |  | FALLSBURG | 590501060002 | FALLSBURG JUNIOR-SENIOR HIGH SCHOOL |
| BERLIN | 490101040006 | BERLIN MIDDLE SCHOOL/HIGH SCHOOL |  | FORT ANN | 640502040001 | FORT ANN MIDDLE/HIGH SCHOOL |
| BINGHAMTON | 030200010021 | BINGHAMTON HIGH SCHOOL |  | FORT EDWARD | 640601020001 | FORT EDWARD SCHOOL |
| BRENTWOOD | 580512030018 | BRENTWOOD HIGH SCHOOL |  | FREEPORT | 280209030007 | FREEPORT HIGH SCHOOL |
| BRENTWOOD | 580512030026 | FRESHMAN CENTER |  | FULTON | 460500010005 | G RAY BODLEY HIGH SCHOOL |
| BRIDGEHAMPTON | 580909020001 | BRIDGEHAMPTON SCHOOL |  | GATES CHILI | 260401060001 | GATES-CHILI HIGH SCHOOL |
| BUFFALO | 140600010133 | ALTERNATIVE HIGH SCHOOL AT 4 |  | GEORGE JR REPUBLIC | 610327020002 | GEORGE JUNIOR REPUBLIC SCHOOL |
| BUFFALO | 140600010101 | BURGARD HIGH SCHOOL |  | GLEN COVE | 280100010007 | GLEN COVE HIGH SCHOOL |
| BUFFALO | 140600010140 | EAST COMMUNITY HIGH SCHOOL |  | GLOVERSVILLE | 170500010009 | GLOVERSVILLE HIGH SCHOOL |
| BUFFALO | 140600010307 | EAST HIGH SCHOOL |  | GOUVERNEUR | 511101060005 | GOUVERNEUR JUNIOR-SENIOR HIGH SCHOOL |
| BUFFALO | 140600010104 | EMERSON SCHOOL OF HOSPITALITY |  | GREAT NECK | 280407030016 | VILLAGE SCHOOL |
| BUFFALO | 140600010308 | INTER PREP SCHOOL (THE) |  | GREEN ISLAND | 010701030001 | HEATLY SCHOOL |
| BUFFALO | 140600010132 | MATH SCIENCE TECH PREP SCHOOL-SENECA |  | GREENBRG-NO CASTLE | 660412020004 | KAPLAN CAREER ACADEMY |
| BUFFALO | 140600010098 | MCKINLEY VOC HIGH SCHOOL |  | GREENBURGH 11 | 660411020004 | GREENBURGH ELEVEN HIGH SCHOOL |
| BUFFALO | 140600010309 | NEWCOMER ACADEMY AT LAFAYETTE |  | GREENBURGH-GRAHAM | 660410020002 | MARTIN LUTHER KING JR HIGH SCHOOL |
| BUFFALO | 140600010042 | PS 42 OCCUPATIONAL TRAINING CTR |  | GREENBURGH-GRAHAM | 660410020003 | ZICCOLELLA MIDDLE SCHOOL |
| BUFFALO | 140600010084 | PS 84 |  | GREENPORT | 581010020001 | GREENPORT HIGH SCHOOL |
| BUFFALO | 140600010108 | RIVERSIDE INSTITUTE OF TECHNOLOGY |  | HARPURSVILLE | 030501040003 | HARPURSVILLE JUNIOR-SENIOR HIGH SCH |
| BUFFALO | 140600010110 | SOUTH PARK HIGH SCHOOL |  | HAWTHORNE KNOLLS | 660803020001 | HAWTHORNE CEDAR KNOLLS SR/JR HS |
| CANDOR | 600301040002 | CANDOR JUNIOR-SENIOR HIGH SCHOOL |  | HAWTHORNE KNOLLS | 660803020003 | LINDEN HILL SCHOOL |
| CENTRAL ISLIP | 580513030006 | CENTRAL ISLIP SENIOR HIGH SCHOOL |  | HEMPSTEAD | 280201030007 | HEMPSTEAD HIGH SCHOOL |
| CHEEKTOWAGA | 140701060008 | PINE HILL EDUCATION CENTER |  | HERMON-DEKALB | 511301040002 | HERMON-DEKALB CENTRAL SCHOOL |
| CLARKSTOWN | 500101060020 | BIRCHWOOD SCHOOL |  | HUDSON FALLS | 641301060001 | HUDSON FALLS HIGH SCHOOL |
| COHOES | 010500010007 | COHOES HIGH SCHOOL |  | INDIAN LAKE | 200401040001 | INDIAN LAKE CENTRAL SCHOOL |
| CORNING | 571000010019 | CORNING-PAINTED POST HS LRN CTR |  | ITHACA | 610600010019 | LEHMAN ALTERNATIVE COMM SCHOOL |
| C-V AT ILION-MOHAWK CSD | 212101040005 | CENTRAL VALLEY ACADEMY |  | JAMESTOWN | 061700010013 | JAMESTOWN HIGH SCHOOL |

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| **DISTRICT** | **BLDG BEDS CODE** | **SCHOOL BUILDING NAME** |  | **DISTRICT** | **BLDG BEDS CODE** | **SCHOOL BUILDING** |
| JOHNSTOWN | 170600010006 | JOHNSTOWN SENIOR HIGH SCHOOL |  | NYC GEOG DIST # 2 - MANHATTAN | 310200011400 | HS FOR ENVIRONMENTAL STUDIES |
| KINGSTON | 620600010022 | KINGSTON HIGH SCHOOL |  | NYC GEOG DIST # 2 - MANHATTAN | 310200011437 | HUDSON HS OF LEARNING TECHNOLOGIES |
| KIRYAS JOEL | 441202020001 | KIRYAS JOEL VILLAGE SCHOOL |  | NYC GEOG DIST # 2 - MANHATTAN | 310200011544 | INDEPENDENCE HIGH SCHOOL |
| LACKAWANNA | 141800010008 | LACKAWANNA HIGH SCHOOL |  | NYC GEOG DIST # 2 - MANHATTAN | 310200011438 | INTERNATIONAL HS AT UNION SQUARE |
| LANSINGBURGH | 490601060003 | LANSINGBURGH SENIOR HIGH SCHOOL |  | NYC GEOG DIST # 2 - MANHATTAN | 310200011529 | JACQUELINE KENNEDY-ONASSIS HIGH SCH |
| LAWRENCE | 280215030007 | LAWRENCE SENIOR HIGH SCHOOL |  | NYC GEOG DIST # 2 - MANHATTAN | 310200011313 | JAMES BALDWIN SCHOOL (THE) |
| LIBERTY | 590901060006 | LIBERTY MIDDLE/HIGH SCHOOL |  | NYC GEOG DIST # 2 - MANHATTAN | 310200011419 | LANDMARK HIGH SCHOOL |
| LITTLE FLOWER | 580603020001 | LITTLE FLOWER SCHOOL |  | NYC GEOG DIST # 2 - MANHATTAN | 310200011425 | LEADERSHIP & PUBLIC SERVICE HIGH SCH |
| LIVINGSTON MANOR | 591302040004 | LIVINGSTON MANOR HIGH SCHOOL |  | NYC GEOG DIST # 2 - MANHATTAN | 310200011550 | LIBERTY HIGH SCH ACAD-NEWCOMERS |
| LYONS | 650501040002 | LYONS SENIOR HIGH SCHOOL |  | NYC GEOG DIST # 2 - MANHATTAN | 310200011655 | LIFE SCIENCES SECONDARY SCHOOL |
| MARYVALE | 140702030006 | MARYVALE HIGH SCHOOL |  | NYC GEOG DIST # 2 - MANHATTAN | 310200011308 | LOWER MANHATTAN ARTS ACADEMY |
| MASSENA | 512001060008 | MASSENA SENIOR HIGH SCHOOL |  | NYC GEOG DIST # 2 - MANHATTAN | 310200011427 | MANHATTAN ACAD-ARTS AND LANGUAGE |
| MOUNT MORRIS | 240901040001 | MT MORRIS MIDDLE/SENIOR HIGH SCHOOL |  | NYC GEOG DIST # 2 - MANHATTAN | 310200011575 | MANHATTAN COMP NIGHT AND DAY HS |
| MOUNT VERNON | 660900010013 | MT VERNON HIGH SCHOOL |  | NYC GEOG DIST # 2 - MANHATTAN | 310200011459 | MANHATTAN INTERNATIONAL HIGH SCHOOL |
| MOUNT VERNON | 660900010026 | NELLIE THORNTON -PERFORMING ARTS |  | NYC GEOG DIST # 2 - MANHATTAN | 310200011432 | MURRAY HILL ACADEMY |
| MOUNT VERNON | 660900010025 | NELSON R MANDELA/DR HOSEA ZOLLICOFF |  | NYC GEOG DIST # 2 - MANHATTAN | 310200011520 | MURRY BERGTRAUM HS FOR BUS CAR |
| MT PLEASANT-COTTAG | 660804020003 | EDENWALD SCHOOL |  | NYC GEOG DIST # 2 - MANHATTAN | 310200011422 | QUEST TO LEARN |
| MT PLEASANT-COTTAG | 660804020002 | MT PLEASANT-COTTAGE SCHOOL |  | NYC GEOG DIST # 2 - MANHATTAN | 310200011580 | RICHARD R GREEN HS OF TEACHING |
| MT PLSNT-BLYTHEDLE | 660806020001 | BLYTHEDALE SCHOOL |  | NYC GEOG DIST # 2 - MANHATTAN | 310200011570 | SATELLITE ACADEMY HIGH SCHOOL |
| NEW ROCHELLE | 661100010016 | NEW ROCHELLE HIGH SCHOOL |  | NYC GEOG DIST # 2 - MANHATTAN | 310200011139 | STEPHEN T MATHER BLDG ARTS-CRAFTSMAN |
| NEWBURGH | 441600010017 | NEWBURGH FREE ACADEMY |  | NYC GEOG DIST # 2 - MANHATTAN | 310200011565 | URBAN ACAD LABORATORY HIGH SCHOOL |
| NIAGARA FALLS | 400800010034 | NIAGARA FALLS HIGH SCHOOL |  | NYC GEOG DIST # 2 - MANHATTAN | 310200011305 | URBAN ACADEMY-GOVERNMENT & LAW |
| NORTH SYRACUSE | 420303060010 | NORTH SYRACUSE JUNIOR HIGH SCHOOL |  | NYC GEOG DIST # 2 - MANHATTAN | 310200011551 | URBAN ASSEMBLY NY HARBOR SCHOOL |
| NORTH TONAWANDA | 400900010011 | NORTH TONAWANDA HIGH SCHOOL |  | NYC GEOG DIST # 2 - MANHATTAN | 310200011135 | URBAN ASSEMBLY-EMERGENCY MANAGEMENT |
| NORWOOD NORFOLK | 512201040001 | NORWOOD-NORFOLK SCHOOL |  | NYC GEOG DIST # 2 - MANHATTAN | 310200011300 | URBAN ASSMBLY SCH-DESIGN & CONST |
| NYC GEOG DIST # 1 - MANHATTAN | 310100011650 | CASCADES HIGH SCHOOL |  | NYC GEOG DIST # 2 - MANHATTAN | 310200011316 | URBAN SCH-BUSINESS-YNG WOMEN |
| NYC GEOG DIST # 1 - MANHATTAN | 310100011458 | FORSYTHE SATELLITE ACADEMY |  | NYC GEOG DIST # 2 - MANHATTAN | 310200011449 | VANGUARD HIGH SCHOOL |
| NYC GEOG DIST # 1 - MANHATTAN | 310100011515 | LOWER EAST SIDE PREP HIGH SCHOOL |  | NYC GEOG DIST # 3 - MANHATTAN | 310300011505 | EDWARD A REYNOLDS WEST SIDE HS |
| NYC GEOG DIST # 1 - MANHATTAN | 310100011509 | MARTA VALLE HIGH SCHOOL |  | NYC GEOG DIST # 3 - MANHATTAN | 310300011860 | FREDERICK DOUGLASS ACADEMY II |
| NYC GEOG DIST # 2 - MANHATTAN | 310200011393 | BUSINESS OF SPORTS SCHOOL |  | NYC GEOG DIST # 3 - MANHATTAN | 310300011403 | GLOBAL LEARNING COLLABORATIVE (THE) |
| NYC GEOG DIST # 2 - MANHATTAN | 310200011615 | CHELSEA CAREER AND TECH ED HS |  | NYC GEOG DIST # 3 - MANHATTAN | 310300011494 | HIGH SCHOOL OF ARTS AND TECHNOLOGY |
| NYC GEOG DIST # 2 - MANHATTAN | 310200011394 | EMMA LAZARUS HIGH SCHOOL |  | NYC GEOG DIST # 3 - MANHATTAN | 310300011492 | HS FOR LAW ADVCY & COMM JUST |
| NYC GEOG DIST # 2 - MANHATTAN | 310200011294 | ESSEX STREET ACADEMY |  | NYC GEOG DIST # 3 - MANHATTAN | 310300011404 | INNOVATION DIPLOMA PLUS |
| NYC GEOG DIST # 2 - MANHATTAN | 310200011303 | FACING HISTORY SCHOOL (THE) |  | NYC GEOG DIST # 3 - MANHATTAN | 310300011299 | MAXINE GREENE HS-IMAGINATIVE INQUIRY |
| NYC GEOG DIST # 2 - MANHATTAN | 310200011374 | GRAMERCY ARTS HIGH SCHOOL |  | NYC GEOG DIST # 3 - MANHATTAN | 310300011402 | URBAN ASSEMBLY FOR GREEN CAREERS |
| NYC GEOG DIST # 2 - MANHATTAN | 310200011586 | HARVEY MILK HIGH SCHOOL |  | NYC GEOG DIST # 3 - MANHATTAN | 310300011307 | URBAN ASSMBLY SCH-MEDIA STUDIES |
| NYC GEOG DIST # 2 - MANHATTAN | 310200011296 | HIGH SCHOOL OF HOSPITALITY MGMNT |  | NYC GEOG DIST # 4 - MANHATTAN | 310400011409 | COALITION SCHOOL FOR SOCIAL CHANGE |
| NYC GEOG DIST # 2 - MANHATTAN | 310200011399 | HIGH SCHOOL-LANGUAGE AND DIPLOMACY |  | NYC GEOG DIST # 4 - MANHATTAN | 310400010372 | ESPERANZA PREPARATORY ACADEMY |
| NYC GEOG DIST # 2 - MANHATTAN | 310200011560 | HS 560 CITY-AS-SCHOOL |  | NYC GEOG DIST # 4 - MANHATTAN | 310400011680 | HERITAGE SCHOOL (THE) |

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| **DISTRICT** | **BLDG BEDS CODE** | **SCHOOL BUILDING NAME** |  | **DISTRICT** | **BLDG BEDS CODE** | **SCHOOL BUILDING** |
| NYC GEOG DIST # 5 - MANHATTAN | 310500011367 | ACADEMY FOR SOCIAL ACTION |  | NYC GEOG DIST # 8 - BRONX | 320800011519 | F R DE GAUTIER INST-LAW & POLICY |
| NYC GEOG DIST # 5 - MANHATTAN | 310500011499 | FREDERICK DOUGLASS ACADEMY |  | NYC GEOG DIST # 8 - BRONX | 320800011452 | GOTHAM COLLABORATIVE HIGH SCHOOL |
| NYC GEOG DIST # 5 - MANHATTAN | 310500011285 | HARLEM RENAISSANCE HIGH SCHOOL |  | NYC GEOG DIST # 8 - BRONX | 320800011405 | HERBERT H LEHMAN HIGH SCHOOL |
| NYC GEOG DIST # 5 - MANHATTAN | 310500011304 | MOTT HALL HIGH SCHOOL |  | NYC GEOG DIST # 8 - BRONX | 320800011332 | HOLCOMBE L RUCKER SCHOOL OF COMMUNIT |
| NYC GEOG DIST # 5 - MANHATTAN | 310500011670 | THURGOOD MARSHALL ACAD FOR LEARNING |  | NYC GEOG DIST # 8 - BRONX | 320800011530 | LONGWOOD PREPARATORY ACADEMY |
| NYC GEOG DIST # 5 - MANHATTAN | 310500011369 | URBAN ASSEMBLY FOR THE PERFORM ARTS |  | NYC GEOG DIST # 8 - BRONX | 320800010312 | MILLENIUM ART ACADEMY |
| NYC GEOG DIST # 5 - MANHATTAN | 310500011157 | URBAN ASSEMBLY-GLOBAL COMMERCE |  | NYC GEOG DIST # 8 - BRONX | 320800011320 | PELHAM LAB HIGH SCHOOL |
| NYC GEOG DIST # 6 - MANHATTAN | 310600011540 | A PHILIP RANDOLPH CAMPUS HIGH SCHOOL |  | NYC GEOG DIST # 8 - BRONX | 320800011293 | RENAISSANCE HIGH SCHOOL-MTT |
| NYC GEOG DIST # 6 - MANHATTAN | 310600011462 | COLLEGE ACADEMY (THE) |  | NYC GEOG DIST # 8 - BRONX | 320800011559 | SCHOOL FOR TOURISM AND HOSPITALITY |
| NYC GEOG DIST # 6 - MANHATTAN | 310600011346 | COMMUNITY HEALTH ACAD OF THE HEIGHTS |  | NYC GEOG DIST # 8 - BRONX | 320800011348 | SCHUYLERVILLE PREPARATORY HIGH SCHOO |
| NYC GEOG DIST # 6 - MANHATTAN | 310600011552 | GREGORIO LUPERON HS-SCI & MATH |  | NYC GEOG DIST # 8 - BRONX | 320800011558 | WESTCHESTER SQUARE ACADEMY |
| NYC GEOG DIST # 6 - MANHATTAN | 310600011423 | HIGH SCH-EXCELLENCE AND INNOVATION |  | NYC GEOG DIST # 8 - BRONX | 320800011282 | WOMEN'S ACADEMY OF EXCELLENCE |
| NYC GEOG DIST # 6 - MANHATTAN | 310600011468 | HIGH SCHOOL-HEALTH CAREERS & SCIES |  | NYC GEOG DIST # 9 - BRONX | 320900011227 | BRONX COLLEGIATE ACADEMY |
| NYC GEOG DIST # 6 - MANHATTAN | 310600011467 | HIGH SCHOOL-LAW & PUBLIC SERVICE |  | NYC GEOG DIST # 9 - BRONX | 320900011413 | BRONX HIGH SCHOOL FOR MEDICAL SCIE |
| NYC GEOG DIST # 6 - MANHATTAN | 310600011463 | HIGH SCHOOL-MEDIA & COMMUNICATIONS |  | NYC GEOG DIST # 9 - BRONX | 320900011412 | BRONX HIGH SCHOOL OF BUSINESS |
| NYC GEOG DIST # 6 - MANHATTAN | 310600011348 | WASHINGTON HGTS EXPEDITIONARY LEARN |  | NYC GEOG DIST # 9 - BRONX | 320900011403 | BRONX INTERNATIONAL HIGH SCHOOL |
| NYC GEOG DIST # 7 - BRONX | 320700011600 | ALFRED E SMITH CAREER-TECH HIGH SCH |  | NYC GEOG DIST # 9 - BRONX | 320900011525 | BRONX LEADERSHIP ACAD HIGH SCHOOL |
| NYC GEOG DIST # 7 - BRONX | 320700011522 | BRONX DESIGN-CONSTRUCTION ACADEMY |  | NYC GEOG DIST # 9 - BRONX | 320900011329 | DREAMYARD PREPARATORY SCHOOL |
| NYC GEOG DIST # 7 - BRONX | 320700011381 | BRONX HAVEN HIGH SCHOOL |  | NYC GEOG DIST # 9 - BRONX | 320900011231 | EAGLE ACADEMY FOR YOUNG MEN |
| NYC GEOG DIST # 7 - BRONX | 320700011527 | BRONX LEADERSHIP ACAD II HIGH SCHOOL |  | NYC GEOG DIST # 9 - BRONX | 320900011250 | EXIMIUS COLLEGE PREP ACADEMY |
| NYC GEOG DIST # 7 - BRONX | 320700011548 | CAREERS IN SPORTS HS |  | NYC GEOG DIST # 9 - BRONX | 320900011517 | FREDERICK DOUGLASS ACAD III |
| NYC GEOG DIST # 7 - BRONX | 320700011427 | COMMUNITY SCHOOL-SOCIAL JUSTICE |  | NYC GEOG DIST # 9 - BRONX | 320900011543 | HIGH SCHOOL FOR VIOLIN AND DANCE |
| NYC GEOG DIST # 7 - BRONX | 320700011670 | HEALTH OPPORTUNITIES HIGH SCHOOL |  | NYC GEOG DIST # 9 - BRONX | 320900011297 | MORRIS ACADEMY FOR COLLA STUDIES |
| NYC GEOG DIST # 7 - BRONX | 320700011259 | HERO HIGH SCHOOL |  | NYC GEOG DIST # 9 - BRONX | 320900011252 | MOTT HALL BRONX HIGH SCHOOL |
| NYC GEOG DIST # 7 - BRONX | 320700011500 | HOSTOS-LINCOLN ACADEMY OF SCIENCE |  | NYC GEOG DIST # 9 - BRONX | 320900011350 | NEW DIRECTIONS SECONDARY SCHOOL |
| NYC GEOG DIST # 7 - BRONX | 320700011334 | INTERNATIONAL COMMUNITY HIGH SCHOOL |  | NYC GEOG DIST # 9 - BRONX | 320900011404 | SCHOOL FOR EXCELLENCE |
| NYC GEOG DIST # 7 - BRONX | 320700011379 | JILL CHAIFETZ TRANSFER HIGH SCHOOL |  | NYC GEOG DIST # 9 - BRONX | 320900011241 | URBAN ASSMBLY SCHOOL-APPL MATH |
| NYC GEOG DIST # 7 - BRONX | 320700011557 | MOTT HAVEN COMMUNITY HIGH SCHOOL |  | NYC GEOG DIST # 9 - BRONX | 320900011263 | VALIDUS PREP ACADEMY |
| NYC GEOG DIST # 7 - BRONX | 320700011473 | MOTT HAVEN VILLAGE PREP HIGH SCHOOL |  | NYC GEOG DIST #10 - BRONX | 321000011434 | BELMONT PREPARATORY HIGH SCHOOL |
| NYC GEOG DIST # 7 - BRONX | 320700011547 | NEW EXPLORERS HIGH SCHOOL |  | NYC GEOG DIST #10 - BRONX | 321000011264 | BRONX ACAD FOR SOFTWARE ENGINEERING |
| NYC GEOG DIST # 7 - BRONX | 320700011551 | URBAN ASSEMBLY BRONX OF LETTERS |  | NYC GEOG DIST #10 - BRONX | 321000011351 | BRONX COLLABORATIVE HIGH SCHOOL |
| NYC GEOG DIST # 8 - BRONX | 320800011376 | ANTONIA PANTOJA PREP ACADEMY |  | NYC GEOG DIST #10 - BRONX | 321000011213 | BRONX ENG & TECH ACADEMY |
| NYC GEOG DIST # 8 - BRONX | 320800011367 | ARCHIMEDES ACAD-MATH, SCI, TECH |  | NYC GEOG DIST #10 - BRONX | 321000011284 | BRONX SCHOOL OF LAW & FINANCE |
| NYC GEOG DIST # 8 - BRONX | 320800011537 | BRONX ARENA HIGH SCHOOL |  | NYC GEOG DIST #10 - BRONX | 321000011546 | BRONX THEATRE HIGH SCHOOL |
| NYC GEOG DIST # 8 - BRONX | 320800011432 | BRONX BRIDGES HIGH SCHOOL |  | NYC GEOG DIST #10 - BRONX | 321000011524 | CROTONA INTERNATIONAL HIGH SCHOOL |
| NYC GEOG DIST # 8 - BRONX | 320800011377 | BRONX COMMUNITY HIGH SCHOOL |  | NYC GEOG DIST #10 - BRONX | 321000011440 | DEWITT CLINTON HIGH SCHOOL |
| NYC GEOG DIST # 8 - BRONX | 320800011561 | BRONX COMPASS HIGH SCHOOL |  | NYC GEOG DIST #10 - BRONX | 321000011397 | ENGLISH LANGUAGE LEARNERS-INTER SUPP |
| NYC GEOG DIST # 8 - BRONX | 320800011349 | BRONX RIVER HIGH SCHOOL |  | NYC GEOG DIST #10 - BRONX | 321000011565 | HIGH SCHOOL FOR ENERGY AND TECHNOLOG |
| NYC GEOG DIST # 8 - BRONX | 320800011269 | BRONX STUDIO SCHOOL-WRITERS-ARTISTS |  | NYC GEOG DIST #10 - BRONX | 321000011433 | HS FOR TEACHING AND PROFESSIONS |

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| **DISTRICT** | **BLDG BEDS CODE** | **SCHOOL BUILDING NAME** |  | **DISTRICT** | **BLDG BEDS CODE** | **SCHOOL BUILDING** |
| NYC GEOG DIST #10 - BRONX | 321000010368 | IN-TECH ACADEMY (MS/HS 368) |  | NYC GEOG DIST #13 - BROOKLYN | 331300011439 | BROOKLYN INTNTL HIGH SCHOOL |
| NYC GEOG DIST #10 - BRONX | 321000011342 | INTERNATIONAL SCHOOL FOR LIBERAL ART |  | NYC GEOG DIST #13 - BROOKLYN | 331300011674 | CITY POLYTECHNIC HIGH SCHOOL |
| NYC GEOG DIST #10 - BRONX | 321000011268 | KINGSBRIDGE INTNL HIGH SCHOOL |  | NYC GEOG DIST #13 - BROOKLYN | 331300010265 | DR SUSAN S MCKINNEY SEC SCH-ARTS |
| NYC GEOG DIST #10 - BRONX | 321000011237 | MARIE CURIE HIGH SCHOOL-NURSING |  | NYC GEOG DIST #13 - BROOKLYN | 331300011605 | GEORGE WESTINGHOUSE CAREER/TECH HS |
| NYC GEOG DIST #10 - BRONX | 321000010095 | PS 95 SHEILA MENCHER |  | NYC GEOG DIST #13 - BROOKLYN | 331300011350 | URBAN ASSEMBLY SCHOOL OF MUSIC & ART |
| NYC GEOG DIST #10 - BRONX | 321000011319 | PULSE HIGH SCHOOL |  | NYC GEOG DIST #14 - BROOKLYN | 331400011610 | AUTOMOTIVE HIGH SCHOOL |
| NYC GEOG DIST #10 - BRONX | 321000010225 | THEATRE ARTS PROD COMPANY SCHOOL |  | NYC GEOG DIST #14 - BROOKLYN | 331400011477 | EAST WILLIAMSBURG SCHOLARS |
| NYC GEOG DIST #10 - BRONX | 321000011353 | WORLD VIEW HIGH SCHOOL |  | NYC GEOG DIST #14 - BROOKLYN | 331400011685 | EL PUENTE ACAD FOR PEACE AND JUSTICE |
| NYC GEOG DIST #11 - BRONX | 321100011270 | ACAD-SCHOLARSHIP & ENTREPRENEURSHIP |  | NYC GEOG DIST #14 - BROOKLYN | 331400011478 | HIGH SCHOOL-ENTERPRISE, BUS & TECH |
| NYC GEOG DIST #11 - BRONX | 321100011299 | ASTOR COLLEGIATE ACADEMY |  | NYC GEOG DIST #14 - BROOKLYN | 331400011071 | JUAN MOREL CAMPOS SECONDARY SCHOOL |
| NYC GEOG DIST #11 - BRONX | 321100011290 | BRONX ACADEMY OF HEALTH CAREERS |  | NYC GEOG DIST #14 - BROOKLYN | 331400011586 | LYONS COMMUNITY SCHOOL |
| NYC GEOG DIST #11 - BRONX | 321100011545 | BRONX AEROSPACE HIGH SCHOOL |  | NYC GEOG DIST #14 - BROOKLYN | 331400011474 | PROGRESS HS-PROFESSIONAL CAREERS |
| NYC GEOG DIST #11 - BRONX | 321100011418 | BRONX HIGH SCHOOL FOR THE VISUAL ART |  | NYC GEOG DIST #15 - BROOKLYN | 331500011497 | BOERUM HILL SCHOOL FOR INTERNATIONAL |
| NYC GEOG DIST #11 - BRONX | 321100011253 | BRONX HIGH SCH-WRITING & COMM ARTS |  | NYC GEOG DIST #15 - BROOKLYN | 331500011423 | BROOKLYN FRONTIERS HIGH SCHOOL |
| NYC GEOG DIST #11 - BRONX | 321100011265 | BRONX LAB SCHOOL |  | NYC GEOG DIST #15 - BROOKLYN | 331500010448 | BROOKLYN SEC SCH-COLLABORATIVE |
| NYC GEOG DIST #11 - BRONX | 321100011514 | BRONXWOOD PREP ACADEMY (THE) |  | NYC GEOG DIST #15 - BROOKLYN | 331500011462 | JOHN JAY SCHOOL FOR LAW |
| NYC GEOG DIST #11 - BRONX | 321100011455 | HARRY S TRUMAN HIGH SCHOOL |  | NYC GEOG DIST #15 - BROOKLYN | 331500011592 | KHALIL GIBRAN INTERNATIONAL ACADEMY |
| NYC GEOG DIST #11 - BRONX | 321100011509 | HIGH SCHOOL FOR LAN-INNO |  | NYC GEOG DIST #15 - BROOKLYN | 331500011464 | PARK SLOPE COLLEGIATE |
| NYC GEOG DIST #11 - BRONX | 321100011544 | HIGH SCHOOL OF CONTEMPORARY ARTS |  | NYC GEOG DIST #15 - BROOKLYN | 331500011463 | SECONDARY SCHOOL FOR JOURNALISM |
| NYC GEOG DIST #11 - BRONX | 321100011275 | HIGH SCHOOL-COMPUTERS & TECHNOLOGY |  | NYC GEOG DIST #15 - BROOKLYN | 331500011698 | SOUTH BROOKLYN COMM HIGH SCHOOL |
| NYC GEOG DIST #12 - BRONX | 321200011446 | ARTURO A SCHOMBURG SATTELLITE-BRONX |  | NYC GEOG DIST #15 - BROOKLYN | 331500011667 | SUNSET PARK HIGH SCHOOL |
| NYC GEOG DIST #12 - BRONX | 321200011479 | BRONX CAREER AND COLLEGE PREP HS |  | NYC GEOG DIST #15 - BROOKLYN | 331500011529 | WEST BROOKLYN COMMUNITY HIGH SCHOOL |
| NYC GEOG DIST #12 - BRONX | 321200011511 | BRONX ENVISION ACADEMY |  | NYC GEOG DIST #16 - BROOKLYN | 331600011455 | BOYS AND GIRLS HIGH SCHOOL |
| NYC GEOG DIST #12 - BRONX | 321200011480 | BRONX REGIONAL HIGH SCHOOL |  | NYC GEOG DIST #16 - BROOKLYN | 331600011688 | BROOKYLN ACAD OF GLOBAL FINANCE (THE |
| NYC GEOG DIST #12 - BRONX | 321200011271 | EAST BRONX ACADEMY FOR THE FUTURE |  | NYC GEOG DIST #16 - BROOKLYN | 331600011669 | RESEARCH AND SERVICE HIGH SCHOOL |
| NYC GEOG DIST #12 - BRONX | 321200011251 | EXPLORATIONS ACADEMY |  | NYC GEOG DIST #17 - BROOKLYN | 331700011382 | ACAD FOR COLLEGE PREP AND CAREER EXP |
| NYC GEOG DIST #12 - BRONX | 321200011682 | FANNIE LOU HAMER FREEDOM HS |  | NYC GEOG DIST #17 - BROOKLYN | 331700011751 | ACADEMY FOR HEALTH CAREERS |
| NYC GEOG DIST #12 - BRONX | 321200011550 | HIGH SCHOOL OF WORLD CULTURES |  | NYC GEOG DIST #17 - BROOKLYN | 331700011547 | BROOKLYN ACADEMY OF SCI & ENVIRON |
| NYC GEOG DIST #12 - BRONX | 321200011248 | METROPOLITAN HIGH SCHOOL (THE) |  | NYC GEOG DIST #17 - BROOKLYN | 331700011548 | BROOKLYN SCHOOL FOR MUSIC & THEATER |
| NYC GEOG DIST #12 - BRONX | 321200011521 | METROPOLITAN SOUNDVIEW HIGH (THE) |  | NYC GEOG DIST #17 - BROOKLYN | 331700011568 | BROWNSVILLE ACADEMY HIGH SCHOOL |
| NYC GEOG DIST #12 - BRONX | 321200010242 | MOTT HALL V |  | NYC GEOG DIST #17 - BROOKLYN | 331700011600 | CLARA BARTON HIGH SCHOOL |
| NYC GEOG DIST #12 - BRONX | 321200011388 | PAN AMERICAN INTERNATIONAL HS-MONROE |  | NYC GEOG DIST #17 - BROOKLYN | 331700011528 | HIGH SCH FOR GLOBAL CITIZENSHIP(THE) |
| NYC GEOG DIST #12 - BRONX | 321200010372 | URBAN ASSEMBLY-WILDLIFE CONSERVATION |  | NYC GEOG DIST #17 - BROOKLYN | 331700011539 | HIGH SCHOOL-SVC & LRNG |
| NYC GEOG DIST #12 - BRONX | 321200011684 | WINGS ACADEMY |  | NYC GEOG DIST #17 - BROOKLYN | 331700011537 | HIGH SCHOOL-YOUTH & COMM DVLPMNT |
| NYC GEOG DIST #13 - BROOKLYN | 331300011499 | ACORN COMMUNITY HIGH SCHOOL |  | NYC GEOG DIST #17 - BROOKLYN | 331700011524 | INTERNTL HS AT PROSPECT HGHTS |
| NYC GEOG DIST #13 - BROOKLYN | 331300011575 | BEDFORD STUYVESANT PREP HIGH SCHOOL |  | NYC GEOG DIST #17 - BROOKLYN | 331700011122 | PATHWAYS TECH EARLY COLLEGE HIGH SCH |
| NYC GEOG DIST #13 - BROOKLYN | 331300011553 | BROOKLYN ACADEMY HIGH SCHOOL |  | NYC GEOG DIST #17 - BROOKLYN | 331700011531 | SCHOOL FOR HUMAN RIGHTS (THE) |
| NYC GEOG DIST #13 - BROOKLYN | 331300011412 | BROOKLYN COMM ARTS-MEDIA HS |  | NYC GEOG DIST #17 - BROOKLYN | 331700011489 | W E B DUBOIS ACADEMIC HIGH SCHOOL |
| NYC GEOG DIST #13 - BROOKLYN | 331300011616 | BROOKLYN HS-LEADERSHIP & COMMUNITY |  | NYC GEOG DIST #18 - BROOKLYN | 331800011637 | ACAD FOR CONSERVATION & ENVIRONMENT |

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| **DISTRICT** | **BLDG BEDS CODE** | **SCHOOL BUILDING NAME** |  | **DISTRICT** | **BLDG BEDS CODE** | **SCHOOL BUILDING** |
| NYC GEOG DIST #18 - BROOKLYN | 331800011578 | BROOKLYN BRIDGE ACADEMY |  | NYC GEOG DIST #23 - BROOKLYN | 332300011493 | BROOKLYN COLLEGIATE |
| NYC GEOG DIST #18 - BROOKLYN | 331800011566 | BROOKLYN GENERATION SCHOOL |  | NYC GEOG DIST #23 - BROOKLYN | 332300011643 | BROOKLYN DEMOCRACY ACADEMY |
| NYC GEOG DIST #18 - BROOKLYN | 331800011567 | BROOKLYN THEATRE ARTS HIGH SCHOOL |  | NYC GEOG DIST #23 - BROOKLYN | 332300010514 | FREDERICK DOUGLASS ACADEMY VII |
| NYC GEOG DIST #18 - BROOKLYN | 331800011629 | CULTURAL ACADEMY-ARTS AND SCIENCES |  | NYC GEOG DIST #23 - BROOKLYN | 332300011647 | METROPOLITAN DIPLOMA PLUS HIGH SCH |
| NYC GEOG DIST #18 - BROOKLYN | 331800011673 | EAST BROOKLYN COMMUNITY HIGH SCHOOL |  | NYC GEOG DIST #23 - BROOKLYN | 332300011697 | TEACHERS PREP HIGH SCHOOL |
| NYC GEOG DIST #18 - BROOKLYN | 331800011617 | HS FOR INNOVATION -ADVERTISING/MEDIA |  | NYC GEOG DIST #24 - QUEENS | 342400011485 | GROVER CLEVELAND HIGH SCHOOL |
| NYC GEOG DIST #18 - BROOKLYN | 331800011569 | KURT HAHN EXPEDITIONARY LRNING SCH |  | NYC GEOG DIST #24 - QUEENS | 342400011267 | HIGH SCH OF APPLIED COMMUNICATIONS |
| NYC GEOG DIST #18 - BROOKLYN | 331800011635 | OLYMPUS ACADEMY |  | NYC GEOG DIST #24 - QUEENS | 342400011236 | INTERNATIONAL HS FOR HEALTH SCIENCES |
| NYC GEOG DIST #18 - BROOKLYN | 331800011642 | URBAN ACTION ACADEMY |  | NYC GEOG DIST #24 - QUEENS | 342400011530 | INTNTL HIGH SCHOOL AT LA GUARDIA |
| NYC GEOG DIST #18 - BROOKLYN | 331800011576 | VICTORY COLLEGIATE HIGH SCHOOL |  | NYC GEOG DIST #24 - QUEENS | 342400011455 | NEWTOWN HIGH SCHOOL |
| NYC GEOG DIST #19 - BROOKLYN | 331900011618 | ACADEMY OF INNOVATIVE TECHNOLOGY |  | NYC GEOG DIST #24 - QUEENS | 342400011600 | QUEENS VOCATIONAL-TECHNICAL HS |
| NYC GEOG DIST #19 - BROOKLYN | 331900011639 | BROOKLYN LAB SCHOOL |  | NYC GEOG DIST #24 - QUEENS | 342400011744 | VOYAGES PREPARATORY |
| NYC GEOG DIST #19 - BROOKLYN | 331900011502 | CAPTAIN VERNON A RICHARDS HS-FIRE |  | NYC GEOG DIST #25 - QUEENS | 342500011460 | FLUSHING HIGH SCHOOL |
| NYC GEOG DIST #19 - BROOKLYN | 331900011409 | EAST NY FAMILY ACADEMY |  | NYC GEOG DIST #25 - QUEENS | 342500011263 | FLUSHING INTRNL HIGH SCHOOL |
| NYC GEOG DIST #19 - BROOKLYN | 331900011504 | HIGH SCHOOL FOR CIVIL RIGHTS |  | NYC GEOG DIST #25 - QUEENS | 342500011425 | JOHN BOWNE HIGH SCHOOL |
| NYC GEOG DIST #19 - BROOKLYN | 331900011583 | MULTICULTURAL HIGH SCHOOL |  | NYC GEOG DIST #25 - QUEENS | 342500011792 | NORTH QUEENS COMMUNITY HIGH SCHOOL |
| NYC GEOG DIST #19 - BROOKLYN | 331900011507 | PERF ARTS & TECH HIGH SCHOOL |  | NYC GEOG DIST #25 - QUEENS | 342500011540 | QUEENS ACADEMY HIGH SCHOOL |
| NYC GEOG DIST #19 - BROOKLYN | 331900011683 | SCH FOR CLASSICS: AN ACADEMY-TWP |  | NYC GEOG DIST #25 - QUEENS | 342500011670 | ROBERT F KENNEDY COMMUNITY HS |
| NYC GEOG DIST #19 - BROOKLYN | 331900011422 | SPRING CREEK COMMUNITY SCHOOL |  | NYC GEOG DIST #26 - QUEENS | 342600011430 | FRANCIS LEWIS HIGH SCHOOL |
| NYC GEOG DIST #19 - BROOKLYN | 331900011615 | TRANSIT TECH CAREER AND TECH EDU |  | NYC GEOG DIST #26 - QUEENS | 342600011435 | MARTIN VAN BUREN HIGH SCHOOL |
| NYC GEOG DIST #19 - BROOKLYN | 331900011764 | URBAN ASSEMBLY-COLLABORATIVE HEALTHC |  | NYC GEOG DIST #27 - QUEENS | 342700011309 | ACADEMY OF MEDICAL TECHNOLOGY |
| NYC GEOG DIST #19 - BROOKLYN | 331900011660 | W H MAXWELL CAREER AND TECH HS |  | NYC GEOG DIST #27 - QUEENS | 342700011400 | AUGUST MARTIN HIGH SCHOOL |
| NYC GEOG DIST #19 - BROOKLYN | 331900011510 | WORLD ACAD FOR TOTAL COM HEALTH |  | NYC GEOG DIST #27 - QUEENS | 342700011334 | EPIC HIGH SCHOOL NORTH |
| NYC GEOG DIST #20 - BROOKLYN | 332000011490 | FORT HAMILTON HIGH SCHOOL |  | NYC GEOG DIST #27 - QUEENS | 342700010314 | EPIC HIGH SCHOOL-SOUTH |
| NYC GEOG DIST #20 - BROOKLYN | 332000011505 | FRANKLIN D ROOSEVELT HIGH SCHOOL |  | NYC GEOG DIST #27 - QUEENS | 342700011260 | FREDERICK DOUGLASS ACAD VI HS |
| NYC GEOG DIST #20 - BROOKLYN | 332000011445 | NEW UTRECHT HIGH SCHOOL |  | NYC GEOG DIST #27 - QUEENS | 342700011480 | JOHN ADAMS HIGH SCHOOL |
| NYC GEOG DIST #21 - BROOKLYN | 332100011410 | ABRAHAM LINCOLN HIGH SCHOOL |  | NYC GEOG DIST #27 - QUEENS | 342700011302 | QUEENS HS FOR INFOR AND RESEARCH |
| NYC GEOG DIST #21 - BROOKLYN | 332100011690 | BROOKLYN STUDIO SECONDARY SCHOOL |  | NYC GEOG DIST #27 - QUEENS | 342700011475 | RICHMOND HILL HIGH SCHOOL |
| NYC GEOG DIST #21 - BROOKLYN | 332100011525 | EDWARD R MURROW HIGH SCHOOL |  | NYC GEOG DIST #27 - QUEENS | 342700011351 | ROCKAWAY COLLEGIATE HIGH SCHOOL |
| NYC GEOG DIST #21 - BROOKLYN | 332100011348 | HIGH SCHOOL OF SPORTS MANAGEMENT |  | NYC GEOG DIST #27 - QUEENS | 342700011324 | ROCKAWAY PARK HS-ENVIORNMENT SUSTAIN |
| NYC GEOG DIST #21 - BROOKLYN | 332100011337 | INTERNATIONAL HIGH SCH-LAFAYETTE |  | NYC GEOG DIST #27 - QUEENS | 342700011261 | VOYAGES PREP-SOUTH QUEENS |
| NYC GEOG DIST #21 - BROOKLYN | 332100011540 | JOHN DEWEY HIGH SCHOOL |  | NYC GEOG DIST #28 - QUEENS | 342800011505 | HILLCREST HIGH SCHOOL |
| NYC GEOG DIST #21 - BROOKLYN | 332100011728 | LIBERATION DIPLOMA PLUS |  | NYC GEOG DIST #28 - QUEENS | 342800011690 | HS-LAW ENFORCMNT & PUB SAFETY |
| NYC GEOG DIST #21 - BROOKLYN | 332100011344 | RACHEL CARSON HS FOR COASTAL STUDIES |  | NYC GEOG DIST #28 - QUEENS | 342800011310 | QUEENS COLLEGIATE |
| NYC GEOG DIST #21 - BROOKLYN | 332100011620 | WILLIAM E GRADY CAREER AND TECH |  | NYC GEOG DIST #28 - QUEENS | 342800011338 | QUEENS SATELLITE HIGH SCHOOL |
| NYC GEOG DIST #22 - BROOKLYN | 332200011425 | JAMES MADISON HIGH SCHOOL |  | NYC GEOG DIST #29 - QUEENS | 342900011313 | BENJAMIN FRANKLIN HS-FINANCE-INFO |
| NYC GEOG DIST #22 - BROOKLYN | 332200011611 | ORIGINS HIGH SCHOOL |  | NYC GEOG DIST #29 - QUEENS | 342900011326 | CAMBRIA HEIGHTS ACADEMY |
| NYC GEOG DIST #22 - BROOKLYN | 332200011630 | PROFESSIONAL PATHWAYS HIGH SCHOOL |  | NYC GEOG DIST #29 - QUEENS | 342900011272 | GEORGE WASHINGTON CARVER HS |
| NYC GEOG DIST #23 - BROOKLYN | 332300011646 | ASPIRATIONS DIPLOMA PLUS HIGH SCHOOL |  | NYC GEOG DIST #29 - QUEENS | 342900011498 | HUMANITIES & ARTS MAGNET HS |

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| **DISTRICT** | **BLDG BEDS CODE** | **SCHOOL BUILDING NAME** |  | **DISTRICT** | **BLDG BEDS CODE** | **SCHOOL BUILDING** |
| NYC GEOG DIST #29 - QUEENS | 342900011492 | MATH/SCIENCE RESEARCH/TECH MAGNET |  | ROCHESTER | 261600010103 | LEADERSHIP ACADEMY FOR YOUNG MEN |
| NYC GEOG DIST #29 - QUEENS | 342900011259 | PATHWAYS COLLEGE PREPARATORY SCHOOL |  | ROCHESTER | 261600010073 | NORTHEAST COLLEGE PREP HIGH SCHOOL |
| NYC GEOG DIST #29 - QUEENS | 342900011248 | QUEENS PREP ACADEMY |  | ROCHESTER | 261600010097 | VANGUARD COLLEGIATE HIGH SCHOOL |
| NYC GEOG DIST #30 - QUEENS | 343000011502 | INFORMATION TECHNOLOGY HIGH SCHOOL |  | ROOSEVELT | 280208030005 | ROOSEVELT HIGH SCHOOL |
| NYC GEOG DIST #30 - QUEENS | 343000011450 | LONG ISLAND CITY HIGH SCHOOL |  | SALMON RIVER | 161201040002 | SALMON RIVER HIGH SCHOOL |
| NYC GEOG DIST #30 - QUEENS | 343000011555 | NEWCOMERS HIGH SCHOOL |  | SCHENECTADY | 530600010025 | SCHENECTADY HIGH SCHOOL |
| NYC GEOG DIST #30 - QUEENS | 343000011445 | WILLIAM CULLEN BRYANT HIGH SCHOOL |  | SHARON SPRINGS | 541401040001 | SHARON SPRINGS CENTRAL SCHOOL |
| NYC GEOG DIST #31 - SI | 353100011470 | CONCORD HIGH SCHOOL |  | SOUTH SENECA | 560501040004 | SOUTH SENECA MIDDLE/HIGH SCHOOL |
| NYC GEOG DIST #31 - SI | 353100011450 | CURTIS HIGH SCHOOL |  | SOUTHERN CAYUGA | 050701040005 | SOUTHERN CAYUGA 7-12 SECONDARY SCH |
| NYC GEOG DIST #31 - SI | 353100011440 | NEW DORP HIGH SCHOOL |  | SYRACUSE | 421800010033 | CORCORAN HIGH SCHOOL |
| NYC GEOG DIST #31 - SI | 353100011445 | PORT RICHMOND HIGH SCHOOL |  | SYRACUSE | 421800010040 | HENNINGER HIGH SCHOOL |
| NYC GEOG DIST #31 - SI | 353100011600 | RALPH R MCKEE CAREER-TECH HIGH SCH |  | SYRACUSE | 421800010039 | NOTTINGHAM HIGH SCHOOL |
| NYC GEOG DIST #32 - BROOKLYN | 333200011403 | ACADEMY FOR ENVIRONMENTAL LDSHIP |  | SYRACUSE | 421800010071 | PUBLIC SERVICE LEADERSHIP ACA-FOWLER |
| NYC GEOG DIST #32 - BROOKLYN | 333200011552 | ACADEMY OF URBAN PLANNING-ENGINEERIN |  | TUPPER LAKE | 160101060001 | TUPPER LAKE MIDDLE-HIGH SCHOOL |
| NYC GEOG DIST #32 - BROOKLYN | 333200011549 | BROOKLYN SCHOOL FOR SOCIAL JUSTICE |  | UNIONDALE | 280202030010 | UNIONDALE HIGH SCHOOL |
| NYC GEOG DIST #32 - BROOKLYN | 333200010564 | BUSHWICK COMMUNITY HS |  | UTICA | 412300010024 | THOMAS R PROCTOR HIGH SCHOOL |
| NYC GEOG DIST #32 - BROOKLYN | 333200011556 | BUSHWICK LEADERS HS-ACAD EXCELL |  | WAPPINGERS | 132101060016 | ORCHARD VIEW ALT HIGH SCHOOL |
| OAKFIELD ALABAMA | 181101040001 | OAKFIELD-ALABAMA MIDDLE/HIGH SCHOOL |  | WATERTOWN | 222000010016 | WATERTOWN SENIOR HIGH SCHOOL |
| OLEAN | 042400010013 | OLEAN SENIOR HIGH SCHOOL |  | WATERVLIET | 011200010010 | WATERVLIET JUNIOR-SENIOR HIGH SCHOOL |
| ONEIDA | 251400010009 | ONEIDA SENIOR HIGH SCHOOL |  | WEST SENECA | 142801060016 | WEST SENECA EAST SENIOR HIGH SCHOOL |
| OSSINING | 661401030007 | OSSINING HIGH SCHOOL |  | WESTBURY | 280401030007 | WESTBURY HIGH SCHOOL |
| OSWEGO | 461300010008 | OSWEGO HIGH SCHOOL |  | WESTFIELD | 062901040002 | WESTFIELD HIGH SCHOOL |
| PEEKSKILL | 661500010009 | PEEKSKILL HIGH SCHOOL |  | WHITEHALL | 641701060002 | WHITEHALL JR-SR HIGH SCHOOL |
| PENN YAN | 680601060001 | PENN YAN ACADEMY |  | WILLSBORO | 151701040001 | WILLSBORO CENTRAL SCHOOL |
| PLAINEDGE | 280518030009 | PLAINEDGE SENIOR HIGH SCHOOL |  | WORCESTER | 472506040001 | WORCESTER SCHOOL |
| POUGHKEEPSIE | 131500010010 | POUGHKEEPSIE HIGH SCHOOL |  | WYANDANCH | 580109020003 | WYANDANCH MEMORIAL HIGH SCHOOL |
| RED CREEK | 651503040003 | RED CREEK HIGH SCHOOL |  | YONKERS | 662300010037 | GORTON HIGH SCHOOL |
| ROCHESTER | 261600010061 | EAST UPPER HIGH SCHOOL |  | YONKERS | 662300010038 | LINCOLN HIGH SCHOOL |
| ROCHESTER | 261600010095 | EDISON CAREER AND TECHNOLOGY HIGH |  | YONKERS | 662300010056 | PALISADE PREPARATORY SCHOOL |
| ROCHESTER | 261600010101 | INTEGRATED ARTS AND TECH HIGH SCHOOL |  | YONKERS | 662300010050 | RIVERSIDE HIGH SCHOOL |
| ROCHESTER | 261600010066 | JAMES MONROE HIGH SCHOOL |  | YONKERS | 662300010043 | ROOSEVELT HIGH SCHOOL - EARLY COLLEG |
| ROCHESTER | 261600010067 | JOSEPH C WILSON MAGNET HIGH SCH |  |  |  |  |

# APPENDIX T – LIST OF TARGET DISTRICTS

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| **TARGET DISTRICTS** |
| AFTON CENTRAL SCHOOL DISTRICT | FALLSBURG CENTRAL SCHOOL DISTRICT | MALONE CENTRAL SCHOOL DISTRICT |
| ALBANY CITY SCHOOL DISTRICT | FARMINGDALE UNION FREE SCHOOL DISTRICT | MAYFIELD CENTRAL SCHOOL DISTRICT |
| AMITYVILLE UNION FREE SCHOOL DISTRICT | FULTON CITY SCHOOL DISTRICT | MIDDLE COUNTRY CENTRAL SCHOOL DISTRICT |
| AMSTERDAM CITY SCHOOL DISTRICT | GENEVA CITY SCHOOL DISTRICT | MOUNT MORRIS CENTRAL SCHOOL DISTRICT |
| AUBURN CITY SCHOOL DISTRICT | GILBOA-CONESVILLE CENTRAL SCHOOL DISTRICT | MOUNT VERNON SCHOOL DISTRICT |
| AUSABLE VALLEY CENTRAL SCHOOL DISTRICT | GLOVERSVILLE CITY SCHOOL DISTRICT | NEW YORK CITY GEOGRAPHIC DISTRICTS |
| BERLIN CENTRAL SCHOOL DISTRICT | GOWANDA CENTRAL SCHOOL DISTRICT | NEW YORK MILLS UNION FREE SCHOOL DISTRICT |
| BINGHAMTON CITY SCHOOL DISTRICT | GREECE CENTRAL SCHOOL DISTRICT | NEWARK CENTRAL SCHOOL DISTRICT |
| BRENTWOOD UNION FREE SCHOOL DISTRICT | GREEN ISLAND UNION FREE SCHOOL DISTRICT | NEWBURGH CITY SCHOOL DISTRICT |
| BRUNSWICK CENTRAL SCHOOL DISTRICT (BRITTONKILL) | GREENPORT UNION FREE SCHOOL DISTRICT | NIAGARA FALLS CITY SCHOOL DISTRICT |
| BUFFALO CITY SCHOOL DISTRICT | GROTON CENTRAL SCHOOL DISTRICT | NIAGARA-WHEATFIELD CENTRAL SCHOOL DISTRICT |
| CAIRO-DURHAM CENTRAL SCHOOL DISTRICT | HADLEY-LUZERNE CENTRAL SCHOOL DISTRICT | NORTH COLLINS CENTRAL SCHOOL DISTRICT |
| CANASTOTA CENTRAL SCHOOL DISTRICT | HARPURSVILLE CENTRAL SCHOOL DISTRICT | NORTH SYRACUSE CENTRAL SCHOOL DISTRICT |
| CATSKILL CENTRAL SCHOOL DISTRICT | HAVERSTRAW-STONY POINT CSD (NORTH ROCKLAND) | NORTHEAST CENTRAL SCHOOL DISTRICT |
| CENTRAL ISLIP UNION FREE SCHOOL DISTRICT | HEMPSTEAD UNION FREE SCHOOL DISTRICT | ODESSA-MONTOUR CENTRAL SCHOOL DISTRICT |
| CENTRAL SQUARE CENTRAL SCHOOL DISTRICT | HERMON-DEKALB CENTRAL SCHOOL DISTRICT | OGDENSBURG CITY SCHOOL DISTRICT |
| CHARLOTTE VALLEY CENTRAL SCHOOL DISTRICT | HOLLEY CENTRAL SCHOOL DISTRICT | ONEIDA CITY SCHOOL DISTRICT |
| CHATEAUGAY CENTRAL SCHOOL DISTRICT | JAMESTOWN CITY SCHOOL DISTRICT | OSWEGO CITY SCHOOL DISTRICT |
| COHOES CITY SCHOOL DISTRICT | JASPER-TROUPSBURG CENTRAL SCHOOL DISTRICT | PATCHOGUE-MEDFORD UNION FREE SCHOOL DISTRICT |
| CORTLAND CITY SCHOOL DISTRICT | JEFFERSON CENTRAL SCHOOL DISTRICT | PEEKSKILL CITY SCHOOL DISTRICT |
| COXSACKIE-ATHENS CENTRAL SCHOOL DISTRICT | JOHNSON CITY CENTRAL SCHOOL DISTRICT | PENN YAN CENTRAL SCHOOL DISTRICT |
| DOLGEVILLE CENTRAL SCHOOL DISTRICT | KINGSTON CITY SCHOOL DISTRICT | PORT JERVIS CITY SCHOOL DISTRICT |
| DRYDEN CENTRAL SCHOOL DISTRICT | LAFAYETTE CENTRAL SCHOOL DISTRICT | POUGHKEEPSIE CITY SCHOOL DISTRICT |
| DUNDEE CENTRAL SCHOOL DISTRICT | LANSINGBURGH CENTRAL SCHOOL DISTRICT | RENSSELAER CITY SCHOOL DISTRICT |
| DUNKIRK CITY SCHOOL DISTRICT | LIBERTY CENTRAL SCHOOL DISTRICT | RIVERHEAD CENTRAL SCHOOL DISTRICT |
| EAST RAMAPO CENTRAL SCHOOL DISTRICT (SPRING VALLEY) | LOCKPORT CITY SCHOOL DISTRICT | ROCHESTER CITY SCHOOL DISTRICT |
| ELMIRA CITY SCHOOL DISTRICT | LONGWOOD CENTRAL SCHOOL DISTRICT | ROME CITY SCHOOL DISTRICT |
| ELMSFORD UNION FREE SCHOOL DISTRICT | MADISON CENTRAL SCHOOL DISTRICT | ROOSEVELT UNION FREE SCHOOL DISTRICT |

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| **TARGET DISTRICTS (continued)** |
| ROTTERDAM-MOHONASEN CENTRAL SCHOOL DISTRICT | SOUTH COUNTRY CENTRAL SCHOOL DISTRICT | WAVERLY CENTRAL SCHOOL DISTRICT |
| SACHEM CENTRAL SCHOOL DISTRICT | SYRACUSE CITY SCHOOL DISTRICT | WEST CANADA VALLEY CENTRAL SCHOOL DISTRICT |
| SALAMANCA CITY SCHOOL DISTRICT | TACONIC HILLS CENTRAL SCHOOL DISTRICT | WHEATLAND-CHILI CENTRAL SCHOOL DISTRICT |
| SALMON RIVER CENTRAL SCHOOL DISTRICT | TROY CITY SCHOOL DISTRICT | WORCESTER CENTRAL SCHOOL DISTRICT |
| SARANAC LAKE CENTRAL SCHOOL DISTRICT | UTICA CITY SCHOOL DISTRICT | WYANDANCH UNION FREE SCHOOL DISTRICT |
| SCHENECTADY CITY SCHOOL DISTRICT | WASHINGTONVILLE CENTRAL SCHOOL DISTRICT | YONKERS CITY SCHOOL DISTRICT |
| SODUS CENTRAL SCHOOL DISTRICT | WATERTOWN CITY SCHOOL DISTRICT |  |