

ORAL ARGUMENT REQUESTED

At IAS Part__ of the Supreme Court of the
State of New York , at the Courthouse
Thereof, located at 16 Eagle Street
Albany, NY 12207 on the 2nd day of
~~August~~ 2016

September

PRESENT: **HON. ROGER D. MCDONOUGH**
Justice of the Supreme Court

SUPREME COURT OF THE STATE OF NEW YORK
ALBANY COUNTY

In the Matter of an Article 78 Proceeding

Nidia Cortes, Virgil Dantes, AnnMarie Heslop,
Curtis Witters, On Behalf of Themselves
and their Children,

Index No. 05102-1C

-against-

Petitioners,

ORDER TO SHOW CAUSE

ROBERT MUJICA, Director, New York State
Division of Budget; NEW YORK STATE
DIVISION OF BUDGET, MARYELLEN ELIA, New York
State Commissioner of Education, NEW YORK STATE
EDUCATION DEPARTMENT

Respondents.

Upon reading the annexed and accompanying Verified Article 78 Petition, dated August 30, 2016, and the affirmation in support of the Petition and exhibits annexed thereto, and the affidavit and affirmation in support of the admission of David G. Sciarra, pro hac vice, as Counsel for Petitioners, it is hereby:

ORDERED that the Respondents, or their counsel, shall appear and show cause before this Court, at the Courthouse, located at 16 Eagle Street, Albany, New York, Room _____, on the 9 th day of September, 2016, at 9:00 o'clock in the P.M. noon, or as soon thereafter as counsel can be heard why an order should not be issued:

- (a) ordering and directing Respondents Robert Mujica, Director, New York State Division of Budget and the New York State Division of Budget to release the Persistently Struggling Schools/Transformation Grant funds for 2016-17 intended for Roosevelt High School, JHS 80 The Mosholu Parkway Middle School and William S. Hackett Middle School, to Respondents New York State Education Department ("SED");
- (b) directing SED to distribute said funds to said schools;
- (c) Granting such other and further relief as the Court may deem appropriate.

ORDERED that service of this Order and papers upon which it is based be made on or before the 6th day of September, 2016, by personally delivering copies of such papers to Respondents' and their attorney at the addresses listed below, and that said service be deemed sufficient:

Division of Budget
State Capitol,
Albany, NY 12224-0341

Office of Counsel
State Education Department
89 Washington Avenue, Room 112
Albany, NY 12234

Attorney General of the State of New York
Justice Building
Empire State Plaza
Albany, NY 12224

ORDERED that service of opposition papers, if any, be made on or before the 8th day of
September 2016 to Wendy Lecker, Esq,
Education Law Center, 60 Park Place Suite 300, Newark, NJ-07102, wlecker@edlawcenter.org,
attorney for Petitioners, and it is further

ORDERED that service of reply papers, if any, be made on or before the 9th day of
September, 2016, to Respondents' counsel at the address above.

ENTER:

R. D. McDonough
J.S.C.

PERSONAL APPEARANCES ARE REQUIRED

Hon. Roger D. McDonough, A.J.S.C.

SUPREME COURT OF THE STATE OF NEW YORK
COUNTY OF ALBANY

In the Matter of an Article 78 Proceeding

Nidia Cortes, Virgil Dantes, AnnMarie Heslop,
Curtis Witters, On Behalf of Themselves
and their Children,

Petitioners,

- against -

ROBERT MUJICA, Director, New York State
Division of Budget; NEW YORK STATE
DIVISION OF BUDGET, MARYELLEN ELIA,
New York State Commissioner of Education,
NEW YORK STATE EDUCATION
DEPARTMENT

Respondents.

Index No. _____

Hon. _____

**AFFIRMATION OF WENDY
LECKER IN SUPPORT OF
ADMISSION PRO HAC VICE OF
DAVID G. SCIARRA**

Wendy Lecker, an attorney duly admitted to the Bar of the State of New York, affirms the following under penalty of perjury under Civil Practice Law & Rules Section 2106:

1. I am an attorney with the Education Law Center, attorneys for Petitioners Nidia Cortes, Virgil Dantes, AnnMarie Heslop and Curtis Witters ("Petitioners"). As such, I am fully familiar with the facts and circumstances as set forth herein.

2. This affirmation is submitted in support of the accompanying motion for an order granting admission of David G. Sciarra to practice in this Court pro hac vice for the purpose of assisting Petitioners in this case.

3. Petitioners filed a petition seeking an order compelling Respondents to comply to comply with Chapter 53 of the Laws of 2015 and release the 2016-17 installments of the

“persistently failing schools transformation grants” (also known as the “Transformation Grants”) intended for Roosevelt High School, Yonkers, JHS 80 The Moshulu Parkway Middle School, in the Bronx, and William S. Hackett Middle School, in Albany.

4. To assist Petitioners in this case, including but not limited to, the trial of this matter, Petitioners respectfully request that this Court admit pro hac vice David G. Sciarra, who is an attorney in good standing of the Bar of the State of New Jersey.

5. By affidavit, Mr. Sciarra agrees (i) to be at all times associated with counsel who is a member in good standing of the Bar of the State of New York and is an attorney of record for the party in question; and (ii) that all pleadings, briefs, and other papers filed with the Court shall be signed by the attorney of record, who shall be held responsible for such papers and for the conduct of this action. Mr. Sciarra further agrees, under Section 520.11 of the Rules of the Court of Appeals and Section 805.3 of the Rules of the Appellate Division, Third Department, to abide by the standards of professional conduct imposed upon members of the New York Bar, including the Rules of the Courts governing the conduct of attorneys and the Disciplinary Rules of the Code of Professional Responsibility. Mr. Sciarra further agrees to be subject to the jurisdiction of the courts of the State of New York with respect to any acts occurring during the course of his participation in this matter. Mr. Sciarra further agrees to notify the Court immediately of any matter or event in this or any other jurisdiction that affects his standing as a member of the Bar. The affidavit of Mr. Sciarra is attached as **Exhibit 1**.


6. All pleadings, briefs, and other papers filed with this Court will be signed by an attorney of record authorized to practice in this State and, more specifically, Wendy Lecker of the Education Law Center, or any other firm of the State of New York that may be retained to succeed that firm.

7. No previous application has been made for the relief sought herein.

Dated: Stamford, CT
August 31, 2016

Respectfully submitted,

Education Law Center

By 
Wendy Lecker
Education Law Center
60 Park Place Suite 300
Newark, NJ 07102
wlecker@edlawcenter.org
Tel 203-536-7567
Fax: 973-624-7339

Attorneys for Petitioners

EXHIBIT 1

SUPREME COURT OF THE STATE OF NEW YORK
COUNTY OF ALBANY

In the Matter of an Article 78 Proceeding
Nidia Cortes, Vigil Dantes, AnnMarie Heslop,
Curtis Wiiters, on behalf of themselves and their
children

Petitioners,

- against -

ROBERT MUJICA, Director, New York State
Division of Budget; NEW YORK STATE
DIVISION OF BUDGET, MARYELLEN ELIA,
New York State Commissioner of Education,
NEW YORK STATE EDUCATION
DEPARTMENT.

Respondents.

Index No. _____

Hon. _____

**AFFIRMATION OF DAVID G.
SCIARRA IN SUPPORT OF MOTION
FOR ADMISSION PRO HAC VICE**

STATE OF NEW JERSEY)
) ss:
COUNTY OF ESSEX)

David G. Sciarra, being duly sworn, states as follows:

1. I am an attorney and member in good standing of the Bar of the State of New Jersey.
2. I submit this affidavit in support of my application to become admitted pro hac vice in this case. I am the Executive Director of the Education Law Center, which is counsel for Petitioners Nydia Cortes, Virgil Dantes, AnnMarie Heslop and Curtis Witters in this case. I was admitted to practice law in the State of New Jersey on December 6, 1978 and am a member in


good standing of the New Jersey Bar. See the Certificate of Good Standing attached as **Exhibit**

A.

3. I agree to comply with the Civil Practice Law & Rules of the State of New York, as well as the Local Rules of the State of New York Supreme Court, County of New York, including the Uniform Rules, and to be bound by the ethical standards and other rules as set forth for members of the Bar of the State of New York.

4. There have never been nor am I presently subject to any disciplinary proceedings against me in any jurisdiction.

Date: August 29, 2016



David G. Sciarra

*Suorn to & subscribed
before me this 29th day
of August 2016*

Elizabeth Athos

Elizabeth Athos
Attorney at Law
State of New Jersey

EXHIBIT A

Supreme Court of New Jersey



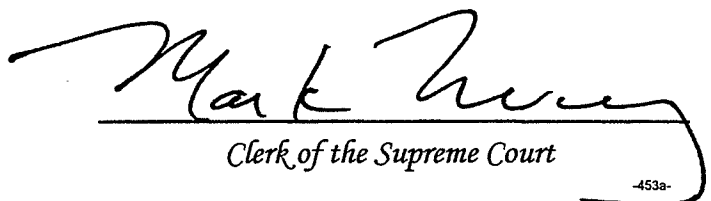
Certificate of Good Standing

This is to certify that **DAVID G SCIARRA**
(No. **026671978**) *was constituted and appointed an Attorney at Law of New*
Jersey on **December 06, 1978** *and, as such,*
has been admitted to practice before the Supreme Court and all other courts of this State
as an Attorney at Law, according to its laws, rules, and customs.

I further certify that as of this date, the above-named is an Attorney at Law in Good Standing. For the purpose of this Certificate, an attorney is in "Good Standing" if the Court's records reflect that the attorney: 1) is current with all assessments imposed as a part of the filing of the annual Attorney Registration Statement, including, but not limited to, all obligations to the New Jersey Lawyers' Fund for Client Protection; 2) is not suspended or disbarred from the practice of law; 3) has not resigned from the Bar of this State; and 4) has not been transferred to Disability Inactive status pursuant to Rule 1:20-12.

Please note that this Certificate does not constitute confirmation of an attorney's satisfaction of the administrative requirements of Rule 1:21-1(a) for eligibility to practice law in this State.

*In testimony whereof, I have
hereunto set my hand and
affixed the Seal of the
Supreme Court, at Trenton, this
30TH day of August , 20 16*


Clerk of the Supreme Court

SUPREME COURT OF THE STATE OF NEW YORK
ALBANY COUNTY

Index No. _____

VERIFIED PETITION

Respondents.

1

distribute those funds to nine schools removed by the Commissioner from the persistently failing schools list, including Roosevelt High School, JHS 80 The Mosholu Parkway Middle School, and William S. Hackett Middle School; and for such other and further relief as the Court may deem appropriate.

PARTIES

2. Petitioner Virgil Dantes is a parent of a child who attends Roosevelt High School in Yonkers, Westchester County. She brings this petition on her own behalf and on behalf of her minor child.

3. Petitioner AnnMarie Heslop is a parent of a child who attends Roosevelt High School in Yonkers, Westchester County. She brings this petition on her own behalf and on behalf of her minor child.

4. Petitioner Nidia Cortes is a parent of a child who attends JHS 80 The Mosulu Parkway Middle School, in the Bronx. She brings this petition on her own behalf and on behalf of her minor child.

5. Petitioner Curtis Witters is a parent of a child who attends William S. Hackett Middle School, Albany. He brings this petition on his own behalf and on behalf of his minor child.

6. Respondent Robert Mujica is Director of the New York State Division of Budget. Pursuant to Chapter 53 of the Laws of 2016, the Director of DOB is charged with approving the spending plan for Transformation Grants to persistently failing schools developed by New York State Education Department and releasing those Grants to eligible schools.

7. Respondent New York State Division of Budget (“DOB”) oversees implementation of the duly enacted New York State budget for each fiscal year.

8. Respondent New York State Education Department (“SED”) oversees public education in New York State. Under Chapter 53 of the Laws of 2015, L. 2015, ch. 53, SED was directed to develop a spending plan for the Persistently Struggling Schools Transformation Grant (“Transformation Grant”) funded by the law. SED also developed the Transformation Grant application and issued Grant guidance to eligible schools.

9. Respondent MaryEllen Elia is Commissioner of Education of New York State (“Commissioner”). The Commissioner is Chief Executive Officer of SED, charged by New York Education Law Section 305 with enforcing “all general and special laws relating to the educational system of the state and execute all educational policies determined upon by the board of regents.”

FACTS

TRANSFORMATION GRANT PROGRAM: YEAR 1

10. In 2015, the Legislature enacted New York Education Law §211-f, regarding takeover and restructuring of public schools, which took effect on April 13, 2015. The law targets the lowest performing schools in the state and mandates various intervention strategies to improve performance in these schools.

11. Education Law §211-f mandates that the Commissioner designate schools as “persistently failing” based on the test results and other outcome data.

12. New York State’s appropriations law for FY2017, specifically Chapter 53 of the Laws of 2015, directed that schools designated by the Commissioner as “persistently failing” pursuant to Education Law §211-f were eligible to receive a two-year

Transformation Grant to support school improvement “pursuant to a spending plan developed by the commissioner of education and approved by the director of the budget.” L 2015, ch. 53.

13. The Transformation Grants are designed to enable persistently failing schools to provide additional staff, services and programs to support school improvement. L 2015, ch. 53. Among permitted uses of the Grant under Chapter 53 are health, mental health, counseling, legal and/or nutritional services; expanded learning time for students; professional development for staff; and mentoring for at-risk youth.

14. Chapter 53 further provides that a portion of the grant “shall be available by July 1 of each such school year.” L 2015, ch. 53.

15. As required by Chapter 53, the Commissioner developed a spending plan, called The Persistently Struggling Schools/Transformation Grant Expenditure Plan (“Expenditure Plan”) for the two-year Transformation Grant for persistently failing schools. Affirmation of Wendy Lecker, Exhibit A (“Lecker Affirmation”).

16. The Expenditure Plan identified twenty schools as persistently failing and eligible to apply for a Transformation Grant under Chapter 53 to support school improvement. Lecker Affirmation, Exhibit A, p. 3.

17. The Expenditure Plan specified the Transformation Grant as a two-year grant over the 2015-16 and 2016-17 school years to each eligible school. The Expenditure Plan also set forth the total two-year amount set aside for each school. Exhibit A, p. 3.

18. The Expenditure Plan allowed schools to use the entire Transformation Grant in the first year, or expend the funds over the two-year grant period. The Expenditure Plan states that the eligible school:

may plan to use the school's Transformation Allocation over one year or two years, but schools should anticipate receiving no more than 50 percent of the Transformation Allocation for the 2015-16 school year. If a SCEP requires more than 50 percent of the allocation in the first year, the school district must submit a request for accelerated funding, as detailed in the next paragraph.

Lecker Affirmation, Exhibit A, p. 5.

19. On October 15, 2105, DOB approved the Expenditure Plan prepared by SED, thereby allowing the twenty eligible schools to apply for the Transformation Grants over the specified two-year period. Lecker Affirmation, Exhibits A and C.

20. SED provided eligible schools with a Persistently Struggling Schools Grant (PSSG) Application ("Transformation Grant Application "). The Transformation Grant Application stated that the twenty schools were eligible to apply for and receive Transformation Grants "[b]eginning July 1, 2105." Lecker Affirmation, Exhibit B, p. 2.

21. The Transformation Grant Application specified that the Transformation Grants would cover a two-year period, or from July 1, 2015 to March 31, 2017. Lecker Affirmation, Exhibit B, p. 1.

22. The Transformation Grant Application made clear that the purpose of the Transformation Grants is to support school improvement over a 21-month period, stating that:

Beginning on July 1, 2015, schools identified as Persistently Struggling will be eligible for a portion of \$75 million to support and implement turnaround efforts over a 21 month period.

Lecker Affirmation, Exhibit B, p. 1.

23. Nowhere in Chapter 53, nor in the Expenditure Plan or Transformation Grant Application, does it provide that schools applying for and receiving Transformation Grants may forfeit or otherwise not receive the second year of the Grants should the

Commissioner remove the schools from the persistently failing schools designation at any time during the two-year grant period.

24. Among the twenty schools eligible for Transformation Grants are Roosevelt High School, Yonkers; JHS 80 The Mosholu Parkway Middle School, Bronx; and William S. Hackett Middle School, Albany. Lecker Affirmation, Exhibit A p. 3.

ROOSEVELT HIGH SCHOOL

25. In 2015, Roosevelt High School, in the Yonkers school district, was designated by the Commissioner as persistently failing under Education Law §211-f and eligible for a Transformation Grant under Chapter 53. Lecker Affirmation, Exhibit A, p. 3 and Exhibit B, p. 3.

26. On November 12, 2015, Roosevelt submitted a Transformation Grant Application to SED ("Roosevelt Application"). Lecker Affirmation, Exhibit D.

27. Roosevelt's Transformation Grant Application requested a Transformation Grant of \$3,763,581, over two years, the amount allocated by SED to the school. Lecker Affirmation, Exhibits A and D.

28. Roosevelt's Transformation Grant Application was approved by SED. Lecker Affirmation, Exhibit E.

29. Roosevelt's Transformation Grant was to provide additional social workers trained in mental health; a full-time literacy/numeracy coach; extended learning for both struggling students and higher achievers; family, community outreach and parent engagement services; professional development; and student health services. Lecker Affirmation, Exhibits D and F.

30. In February 2016, the Commissioner removed Roosevelt High School from the list of schools designated as persistently failing.

THE MOSHOLU PARKWAY MIDDLE SCHOOL

31. In 2015, JHS 80 The Mosholu Parkway Middle School ("JHS 80"), a New York City public school located in the Bronx, was designated by the Commissioner as persistently failing under Education Law §211-f and eligible for a Transformation Grant under Chapter 53. Lecker Affirmation, Exhibit A, p. 3 and Exhibit B, p. 3.

32. In November 2015, JHS 80 submitted a Transformation Grant Application to SED to support implementation of additional programs and services for the two year grant cycle, or from July 1, 2015 through March 31, 2017. Lecker Affirmation, Exhibit G. The Transformation Grant Application was approved by SED. Lecker Affirmation, Exhibit E.

33. The Transformation Grant to JHS 80 was to provide additional programs and services to support school improvement, including mentoring of academically at-risk students; social work and guidance counseling services; expanded learning time; and curriculum and staff development. Lecker Affirmation, Exhibits G and H.

34. In February 2016, the Commissioner removed JHS 80 from the list of schools designated as persistently failing.

HACKETT MIDDLE SCHOOL

35. In 2015, William S. Hackett Middle School ("Hackett"), in the Albany school district, was designated by the Commissioner as a persistently failing school under Education Law §211-f and eligible for a Transformation Grant under Chapter 53. Lecker Affirmation, Exhibit A, p. 3 and Exhibit B, p. 3.

36. In November 2015, Hackett submitted a Transformation Grant Application for a SED. Lecker Affirmation, Exhibit I. Hackett requested the Transformation Grant to support school improvement by providing expanded learning time; college tutors for struggling students; a data coach; professional development for teachers on cultural competency; stress management and reduction training for staff and students; a school improvement supervisor; a school culture and climate survey; and additional administrative support. Lecker Affirmation, Exhibits I and J.

37. The Transformation Grant Application for Hackett was approved by SED. Lecker Affirmation, Exhibit E.

38. In February 2016, the Commissioner removed Hackett from the list of schools designated as persistently failing.

TRANSFORMATION GRANT PROGRAM – YEAR 2

39. In early 2016, SED sent guidance to schools awarded a Transformation Grant for the 2015-16 school year regarding the second year – 2016-17 -- of the Grant. Lecker Affirmation, Exhibit K (The Receivership and Non-Receiverhsip Schools 2016-17 Continuation Plan Guidance) ("Continuation Guidance").

40. In the Continuation Guidance, SED sets forth two conditions that may result in withholding of Transformation Grant for the second year: if the approved activities are not performed and/or the funds are expended inappropriately. Lecker Affirmation, Exhibit K, p.1. The Continuation Guidance does not provide that the second year of Transformation Grant would be withheld if an eligible school were removed by the Commissioner from the persistently failing school designation.

41. The Continuation Guidance makes clear that Transformation Grants are for a full two school years. The Guidance instructs schools that they “must set aside a portion of the grant (no less than 5%) to pay for an external evaluator to assess program implementation in Year 2.” Lecker Affirmation, Exhibit K, p. 2. The Guidance further provides that schools must submit a budget narrative, a 2016-17 FS10, a budget summary chart, and a Sustained Activities Certification for the second year of the Transformation Grant by April 29, 2016. Lecker Affirmation, Exhibit K, p. 2.

42. In February 2016, the Commissioner removed nine of the twenty schools that received Transformation Grants under Chapter 53 from the persistently failing schools designation.

43. Following the Commissioner’s removal of the nine schools from the persistently failing designation, Governor Andrew Cuomo announced that his Office would withhold the second year of the Transformation Grants from those schools. See, e.g., <http://www.timesunion.com/local/article/Extra-aid-for-New-York-state-schools-in-dispute-7941171.php>

44. Three of the nine schools removed by the Commissioner from the persistently failing designation are Roosevelt High School, JHS 80 Middle School and Hackett Middle School. The remaining six schools are: Grant Middle School, Syracuse; Buffalo Elementary School of Technology, Burgard Vocational High School, and South Park High School, Buffalo; and Automotive High School and PS 328 Phyllis Wheatley School, Brooklyn.

45. On June 9, 2016, SED sent a memo to the nine schools removed from the persistently failing schools designation that a decision on whether the second year of

Transformation Grants would be withheld “is still pending approval” by DOB. Lecker Affirmation, Exhibit L.

46. On July 28, 2016, Petitioner’s counsel sent a letter to DOB Director Mujica asking whether DOB will release the second year of the Transformation Grants to the nine schools removed from the persistently failing schools designation. Lecker Affirmation, Exhibit M.

47. To date, neither Director Mujica or anyone from the DOB has responded to Petitioner’s counsel request.

AS TO THE CAUSE OF ACTION FOR A WRIT OF MANDAMUS

PURSUANT TO NY CPLR ARTICLE 78

48. Petitioners repeat the allegations set forth in paragraphs 1-46 of this Petition.

49. DOB Director Mujica and/or the DOB approved the SED Expenditure Plan for Transformation Grants under Chapter 53 to schools designated as persistently failing by the Commissioner under Education Law §211-f.

50. The Transformation Grants under the Expenditure Plan approved by the DOB are to provide programs and services to support improvement in eligible schools in the 2015-16 and 2016-17 school years, or between July 1, 2015 and March 31, 2017. The Grant amounts under Chapter 53, as set forth in the Expenditure Plan, were for this two-year period.

51. The SED Transformation Grant Application specified that the eligible schools could apply for the two-year Transformation Grant under Chapter 53.

52. The SED Transformation Grant Application explicitly provided for a Grant funding period of 21 months, ending on March 31, 2017.

53. Roosevelt High School, JHS 80, and Hackett Middle School were among the twenty schools statewide eligible to apply for Transformation Grants on July 1, 2015.

54. SED approved the Applications for Transformation Grant funds to Roosevelt High School, JHS 80 and Hackett Middle School and the other remaining seventeen schools for the two-year Transformation Grant period.

55. Pursuant to the approved Applications, Roosevelt, JHS 80, Hackett Middle School received the first year allocation of Transformation Grants and utilized those funds to provide the programs and services to support school improvement as specified in the schools' Applications.

56. In February 2016, the Commissioner removed Roosevelt High School, JHS 80, Hackett Middle School, and the six other schools listed in paragraph 44, supra, from the persistently failing schools designation.

57. The DOB has, to date, refused to release the second year of the Transformation Grants approved under Chapter 53 to Roosevelt High School, JHS 80, Hackett Middle School and the six other schools removed from the persistently failing schools designation.

58. The DOB's refusal to release the second year of Transformation Grants means that Roosevelt High School, JHS 80, Hackett Middle School and the other six schools will not be able to continue to provide the programs and services specified in their approved Transformation Grant Applications. These programs and services are

essential to continue school improvement in 2016-17, thus jeopardizing the improvements made in the first year.

59. DOB is required by Chapter 53 of the Laws of 2015, and by the express terms of the Expenditure Plans approved by DOB to provide Transformation Grants to Roosevelt High School, JHS 80, Hackett Middle School and all other eligible schools for the full two-year grant period established by law.

60. The DOB's refusal to release the second year of Chapter 53 Grant funds from Roosevelt High School, JHS 80, Hackett Middle School and the other six schools listed in paragraph 44, *supra*, is arbitrary, capricious and violates the agency's ministerial and mandatory duty to release the Transformation Grants under Chapter 53.

61. The Court should enter a Judgment directing DOB Director Mujica and the DOB to immediately release to SED the Transformation Grants for the 2016-17 school year to Roosevelt High School, JHS 80, Hackett Middle School and the the other six schools removed from the persistently failing schools designation.

62. The Court should also enter a Judgment directing the Commissioner and SED to immediately release those funds to Roosevelt High School, JHS 80, Hackett Middle School and the the other six schools removed from the list persistently failing schools designation.

63. Petitioners have made no prior request for the relief herein.

WHEREFORE, Petitioners request the Court to issue an Order of Mandamus:

- (a) Ordering and directing Respondents Mujica and DOB to immediately release to SED the Transformaton Grants for 2016-17 to Roosevelt High School, JHS 80

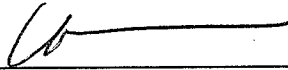
and Hackett Middle School, and the other six schools removed from the persistently failing schools designation list to SED

(b) Ordering and directing SED to immediately distribute said Transformation Grants to these schools;

(c) An order admitting David G. Sciarra, Esq. pro hac vice representing petitioners; and

(d) For such other and further relief as this Court may deem appropriate.

Dated: *August 30, 2016*



WENDY LECKER, ESQ.
Education Law Center
60 Park Place, Suite 300
Newark, NJ 07102
PHONE: 203-536-7567
FAX: 973-624-7339

Attorney for Petitioners

VERIFICATION

STATE OF NEW YORK

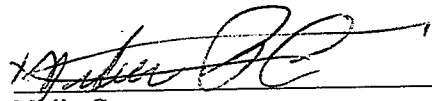
)

) ss.:

COUNTY OF BRONX

)

NIDIA CORTES, petitioner in this action as the parent of a child who attends JHS 80 Mosholu Parkway Middle School, in the Bronx, being duly sworn, deposes and states that the foregoing Verified Petition of Nidia Cortes, Virgil Dantes, AnnMarie Heslop and Curtis Witters is true and correct to the best of her knowledge, information, and belief.



Nidia Cortes

Sworn to before me this 30
day of August, 2016



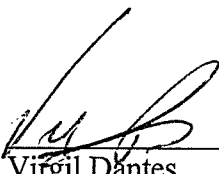
Notary Public

DALMA VALENTIN
Notary Public, State of New York
No. 034958540
Qualified in Bronx County
My Commission Expires Nov. 6, 2017

VERIFICATION

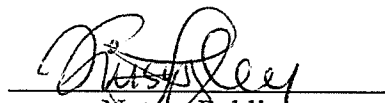
STATE OF NEW YORK)
) ss.:
COUNTY OF WESTCHESTER)

VIRGIL DANTES, petitioner in this action as the parent of a child who attends Roosevelt High School in the Yonkers District, being duly sworn, deposes and states that the foregoing Verified Petition of Nidia Cortes, Virgil Dantes, AnnMarie Heslop and Curtis Witters is true and correct to the best of her knowledge, information, and belief.

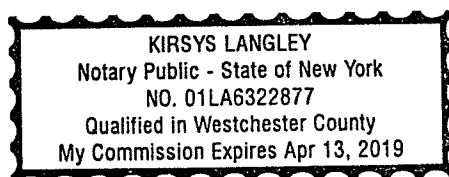


Virgil Dantes

Sworn to before me this 30th
day of August, 2016



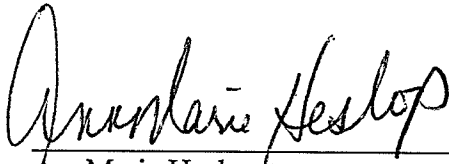
Notary Public



VERIFICATION

STATE OF NEW YORK)
) ss.:
COUNTY OF WESTCHESTER)

ANNMARIE HESLOP, petitioner in this action as the parent of a child who attends Roosevelt High School, in the Yonkers School District being duly sworn, deposes and states that the foregoing Verified Petition of Nidia Cortes, Virgil Dantes, AnnMarie Heslop and Curtis Witters is true and correct to the best of her knowledge, information, and belief.

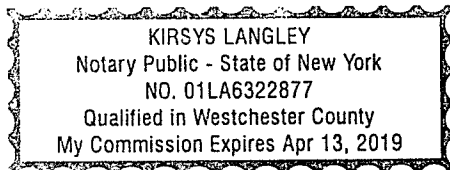


AnnMarie Heslop

Sworn to before me this 30th
day of August, 2016



Notary Public



VERIFICATION

STATE OF NEW YORK

)

) ss.:

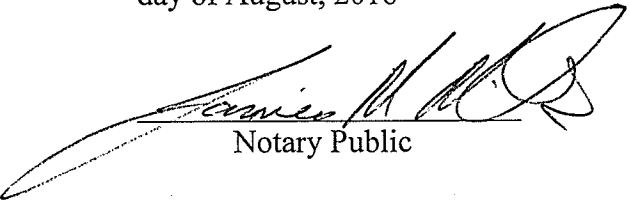
COUNTY OF ALBANY

)

CURTIS WITTERS, petitioner in this action as the parent of a child who attends William S. Hackett Middle School in the Albany School District, being duly sworn, deposes and states that the foregoing Verified Petition of Nidia Cortes, Virgil Dantes, AnnMarie Heslop and Curtis Witters is true and correct to the best of his knowledge, information, and belief.


Curtis Witters

Sworn to before me this 30
day of August, 2016


Notary Public

JAMAICA M. MILES
NOTARY PUBLIC, STATE OF NEW YORK
NO. 01MI6233620
QUALIFIED IN SCHOENECTADY COUNTY
COMMISSION EXPIRES JANUARY 03, 2019

SUPREME COURT OF THE STATE OF NEW YORK
ALBANY COUNTY

In the Matter of an Article 78 Proceeding

Nidia Cortes, Virgil Dantes, AnnMarie Heslop,
Curtis Witters,
On Behalf of Themselves and their Children,

Index No. _____

-against-

Petitioners,

AFFIRMATION

ROBERT MUJICA, Director, New York State
Division of Budget; NEW YORK STATE
DIVISION OF BUDGET, MARYELLEN ELIA, New York
State Commissioner of Education, NEW YORK STATE
EDUCATION DEPARTMENT,

Respondents.

State of Connecticut)

);ss

County of Fairfield)

I, WENDY LECKER, an attorney duly admitted and in good standing to practice in the
State of New York, hereby affirm under penalty of perjury pursuant to CPLR 2106:

1. I am an attorney with the Education Law Center, and am counsel for
petitioners ("Petitioners").

2. I respectfully submit this Affirmation in support of Petitioners' Verified Petition
in the above-captioned matter.

3. I am familiar with the facts and circumstances of this action by virtue of my personal involvement in researching the issues that are the subject of this action and a review of the case files, and I believe that the information provided herein is true and correct to the best of my knowledge, except as to any matters stated on information and belief, and as to those matters I am informed and believe them to be true.

4. Attached as Exhibit A is the New York State Education Department's ("SED") revised Persistently Struggling Schools/Transformation Grant Expenditure Plan.

5. Attached as Exhibit B is the SED's The Persistently Struggling Schools Grant (PSSG) Application ("Transformation Grant Application").

6. Attached as Exhibit C is an email, dated October 15, 2015, from Joseph Conroy indicating the Division on Budget ("DOB") approval of SED's revised Transformation Grant Expenditure Plan.

7. Attached as Exhibit D is a copy of the Transformation Grant Application for Roosevelt High School in Yonkers.

8. Attached as Exhibit E is a copy of the email from the Records Access office at SED indicating that the Transformation Grant Applications and budgets for schools including Roosevelt High School in Yonkers, JHS 80 The Mosholu Parkway Middle School in the Bronx and Hackett Middle School in Albany were approved.

9. Attached as Exhibit F is the Proposed Budget for Roosevelt High School's Transformation Grant.

10. Attached as Exhibit G is a copy of the Transformation Grant Application for JHS 80 The Mosholu Parkway Middle School ("JHS 80") in the Bronx.

11. Attached as Exhibit H is a copy of the Proposed Budget for JHS 80's Transformation Grant.

12. Attached as Exhibit I is a copy of the Transformation Grant Application for William S. Hackett Middle School ("Hackett Middle School) in Albany.


13. Attached as Exhibit J is a copy of the Proposed Budget for Hackett Middle School's Transformation Grant.

14. Attached as Exhibit K is The Receivership and Non-Receivership Schools 2016-17 Continuation Plan Guidance

15. Attached as Exhibit L is a June 9, 2016 memo from Dr. Cheryl Atkinson at SED regarding "Persistently Struggling Schools Grants - Access to unexpended Year 1 funds for schools removed from Receivership for the 2016-17 school year."

16. Attached as Exhibit M is a July 28, 2016 letter from the Petitioner's Counsel to Robert Mujica, Director of the New York State Division of Budget.

Dated: Stamford, Connecticut
August 31, 2016


Wendy Lecker

Persistently Struggling Schools/Transformation Grant Expenditure Plan
July 1, 2015 – March 31, 2017
(Revised October 6, 2015)

Program Name: Persistently Failing (known as Persistently Struggling in CR 100.19) Schools
Transformation Grant

Funds Available: \$75,000,000

I. General Description:

Education Law Section 211-f designates current Priority Schools that have been in the most severe accountability status since the 2006-07 school year as “Persistently Failing Schools” and vests the superintendent of the district with the powers of a receiver. Pursuant to Commissioner’s Regulation 100.19, these schools will be identified as “Persistently Struggling Schools.” Section 211-f of Education Law provides persons or entities vested with the powers of a receiver new authority to, among other things, convert schools to community schools providing wrap-around services; reallocate funds in the school’s budget; expand the school day or school year; establish professional development plans; order the conversion of the school to a charter school consistent with applicable state laws; remove staff and/or require staff to reapply for their jobs in collaboration with a staffing committee; and negotiate collective bargaining agreements, with any unresolved issues submitted to the Commissioner for decision.

The superintendent is given an initial one-year period to use the enhanced authority of a receiver to make demonstrable improvement in student performance at the Persistently Struggling School or the Commissioner will direct that the school board appoint an independent receiver and submit the appointment for approval by the Commissioner. Independent Receivers are appointed for up to three school years and serve under contract with the Commissioner. Schools identified as Persistently Struggling will be eligible for a portion of \$75 million in grant funds to support and implement turnaround efforts over a two-year period.

Education Law 211-f requires that the Transformation Grant funds be appropriated for the exclusive purpose of providing additional services to Persistently Struggling Schools. As defined in Section 211-f of Education Law and Commissioner’s Regulation 100.19, there are 20 Persistently Struggling Schools eligible for these grants.

II. Funding Categories

Transformation Allocations:

\$68,036,135

Education Law requires that the Commissioner shall determine the school-specific Transformation Allocation based on factors including enrollment. School Districts must apply for the allocation for each school separately. Funds shall be distributed according to the following formula:

Allocation Methodology		
Allocation	Dollars Per Pupil	Weightings
Base School Allocation	\$100,000	
Student enrolled in the school as of BEDS Day 2014	\$2,575.00 per student	1.00
Student enrolled in grades 6, 7, and 8	\$128.75 per student	0.05
Student enrolled in grades 9, 10, 11, and 12	\$257.50 per student	0.10
English language learner enrolled in grades K-6	\$643.75 per student	0.25
English language learner enrolled in grades 7-12	\$1,287.50 per student	0.50
Low-Income Student	\$1,287.50 per student	0.50
Student with disability enrolled for 40% or less of the day in a special class	\$1,931.25 per student	0.75
Student with disability enrolled for more than 40% of the day in a special class	\$2,575.00 per student	1.00

Note: These are duplicated counts so a low income high school student who was an English language learner would generate \$5,407.50 (\$2575+\$257.50+\$1,287.50+\$1,287.50) towards the school's allocation.

Transformation Allocations by School

School	District	Enrollment Weighting	Two-Year Total Transformation Allocation
WILLIAM S HACKETT MIDDLE SCHOOL	ALBANY CITY SD	1.550	\$2,625,818
BUFFALO ELEM SCH OF TECHNOLOGY	BUFFALO CITY SD	1.633	\$2,783,408
PS 37 FUTURES ACADEMY	BUFFALO CITY SD	1.625	\$2,317,976
BURGARD VOC HIGH SCHOOL	BUFFALO CITY SD	1.685	\$2,407,715
SOUTH PARK HIGH SCHOOL	BUFFALO CITY SD	1.670	\$3,829,115
WEST HERTEL ELEMENTARY SCHOOL	BUFFALO CITY SD	1.665	\$3,881,388
HEMPSTEAD HIGH SCHOOL	HEMPSTEAD UFSD	1.640	\$9,499,394
JHS 162 L RODRIGUEZ DE TIO	NYC GEOG DIST # 7 - ISC-BRONX	1.806	\$1,811,345
JHS 22 JORDAN L MOTT	NYC GEOG DIST # 9 - ISC-BRONX	1.846	\$2,405,526
PS 64 PURA BELPRE	NYC GEOG DIST # 9 - ISC-BRONX	1.783	\$1,449,944
IS 117 JOSEPH H WADE	NYC GEOG DIST # 9 - ISC-BRONX	1.822	\$2,999,193
JHS 80 MOSHOLU PARKWAY	NYC GEOG DIST #10 - ISC-BRONX	1.781	\$3,058,675
AUTOMOTIVE HIGH SCHOOL	NYC GEOG DIST #14 - ISC-BROOKLYN	1.767	\$1,902,114
PS 328 PHYLLIS WHEATLEY	NYC GEOG DIST #19 - ISC-BROOKLYN	1.655	\$1,318,876
SCHOOL 9-DR MARTIN LUTHER KING JR	ROCHESTER CITY SD	1.672	\$3,328,664
CHARLOTTE HIGH SCHOOL	ROCHESTER CITY SD	1.834	\$2,216,135
EAST HIGH SCHOOL	ROCHESTER CITY SD	1.839	\$7,644,235
JAMES MONROE HIGH SCHOOL	ROCHESTER CITY SD	1.893	\$5,647,580
GRANT MIDDLE SCHOOL	SYRACUSE CITY SD	1.704	\$3,145,453
ROOSEVELT HIGH SCHOOL (Early College)	YONKERS CITY SD	1.714	\$3,763,581

A spreadsheet with the calculations for each school is provided.

Contingency Reserve

\$6,955,386

The Department shall reserve the larger of \$200,000 or an amount equivalent to ten percent of a school's Transformation Allocation to pay for potential 2016-17 school year transformation activities and/or the contracted costs of the independent receiver. SED will provide guidance at a later time on the application process to access schools' contingency reserve funds.

The independent receiver may not begin work on the development of a plan or the execution of a proposed budget until their contract has been approved by the Office of the State Comptroller. If the Commissioner determines that an Independent Receiver must be appointed to a Persistently Struggling

School, such appointment will be conducted in compliance with all relevant State Finance Law contracting requirements.

III. Allowable Uses of Transformation Allocation

Activities that can be supported by these funds include, but are not limited to:

- Converting school buildings into community hubs to deliver co-located or school-linked academic, health, mental health, nutrition, counseling, legal and/or other services to students and their families;
- Expanding, altering or replacing the school's curriculum and program offerings;
- Extending the school day and/or school year;
- Providing professional development to teachers and administrators;
- Mentoring of at-risk students;
- Paying for the actual and necessary expenses of the independent receiver of the school;
- Any other activity aligned with the school's approved intervention model, comprehensive education plan or school intervention plan, as approved by the Commissioner.

Each eligible activity must be aligned with the school's approved intervention model, comprehensive education plan or school intervention plan. Districts receiving these funds must set aside a portion of the grant to pay for an independent evaluator to assess program implementation.

A district may allocate up to 25 percent of a school's grant allocation to support approved activities in struggling "feeder schools." A "feeder school" is defined as a school identified by the Commissioner as "struggling" pursuant to Commissioner's Regulations 100.19 from which at least 20 percent of the students in the persistently struggling school matriculated.

Funds provided through a persistently struggling schools transformation grant may not be used to fund, in whole or in part, existing programs and services, including but not limited to staff salaries.

The Department will develop guidance for Superintendent Receivers and Independent Receivers on the requirements and allowable activities associated with the Transformation Allocations. In addition, the Department will provide districts with Persistently Struggling Schools a school-specific Transformation Allocation budget template to use in conjunction with the School Comprehensive Education Plan, the School Improvement Grant Continuation Grant, or the school intervention plan (required for the Independent Receiver).

IV. Transformation Allocation Application Process

Short-term Planning Funding

Initially, Superintendent Receivers will be eligible for short-term planning funds (for a period of three months), equal to no more than 10% of a school's Transformation Allocation, to be used for planning activities. To receive the planning funds, Superintendent Receivers will need to provide the Department with a school-specific budget and a detailed plan for how they will:

- Conduct a needs-assessment of the school and the community to determine what issues must be addressed to positively impact student achievement. The Superintendent Receiver may choose to use the results of the school's most recent DTSDE review, if the review is less than one year old.
- Engage local stakeholders (the Community Engagement Team, community based organizations, etc.) in the creation of a new School Comprehensive Education Plan (SCEP) or revision of an existing Department approved plan.
- Begin conversations with local collective bargaining units regarding any elements of the SCEP that require changes to the collective bargaining agreement.

The Department will review the short term planning funds applications, and release short-term planning funds if the grant is approvable. As a condition of approval, the Superintendent Receiver must commit to provide bi-weekly updates on the progress made in planning.

Once the school district has completed the required planning activities, the Superintendent Receiver may submit a full application for the remaining Transformation Allocation funds. Note: School districts that have already completed the required planning activities may immediately submit a full application for Transformation Allocation funds.

Remaining Funds

At any time before or during the initial short-term grant period, the Superintendent Receiver may submit a full application for the remaining Transformation Allocation funds. The Superintendent Receiver will be required to submit a new or revised School Comprehensive Educational Plan or, if applicable, the 1003(g) School Improvement Grant Continuation Application. This SCEP or SIG Continuation Application must address any issues identified during the planning period and describe the activities to be funded with the Transformation Allocation, and include a school-specific budget. The Department will review each school specific budget in conjunction with the related plan to determine whether the activities proposed align with the needs of the specific school, the stated goals of the plan, and to determine if the activities are allowable.

The SCEP may plan to use the school's Transformation Allocation over one year or two years, but schools should anticipate receiving no more than 50 percent of the Transformation Allocation for the 2015-16 school year. If a SCEP requires more than 50 percent of the allocation in the first year, the school district must submit a request for accelerated funding, as detailed in the next paragraph.

If a plan requires more than 50 percent of the full Transformation Allocation amount in the first year, school districts may request that all or a portion of the Transformation Allocation funds otherwise dedicated to the second year be advanced to the first year. Such requests must include documentation to demonstrate to SED's satisfaction that the costs of the plan's transformation activities are reasonable

and that the school district has developed a plan to maintain improvements in the 2016-17 and 2017-18 school years without additional State grant funding.

School districts must submit certification that transformation activities aligned to the SCEP will be sustained in the 2016-17 and 2017-18 school years. In addition, if a district submits a budget that includes additional staff positions at the Persistently Struggling School, the position will not be approved unless the district can provide evidence of sustainability past the grant period. Additionally, the Department intends to review all school specific budgets to ensure that the activities supplement and do not supplant school program responsibilities.

The remaining amount of the Transformation Allocation will not be given to Superintendent Receivers who fail to show evidence of adequate planning and community engagement. Instead, such receivers will be offered additional short term planning funds. If an Independent Receiver is appointed after the first year, the Independent Receiver may seek a budget amendment to align the grant to the school receivership plan created by the receiver.

The Independent Receiver will be required to submit a school specific budget for utilizing the funds, and will be required to describe the activities funded with the Transformation Allocation within the school intervention plan and, if applicable, the 1003(g) School Improvement Grant Continuation Application. The Independent Receiver must submit the school-specific budget along with a school intervention plan to the Department for review no later than five months after appointment.

Persistently Struggling Schools Grant (PSSG) Application
Education Law 211-f and Commissioner's Regulation 100.19
Funding Period: July 1, 2015 – March 31, 2017

Background

Education Law Section 211-f designates current Priority Schools that have been in the most severe accountability status since the 2006-07 school year as “Persistently Failing Schools” and vests the superintendent of the district with the powers of a receiver. Pursuant to Commissioner's Regulation 100.19, these schools have been identified as “Persistently Struggling Schools.” Section 211-f of Education Law provides persons or entities vested with the powers of a receiver new authority to, among other things, develop a school intervention plan; convert schools to community schools providing wrap-around services; reallocate funds in the school's budget; expand the school day or school year; establish professional development plans; order the conversion of the school to a charter school consistent with applicable state laws; remove staff and/or require staff to reapply for their jobs in collaboration with a staffing committee; and negotiate collective bargaining agreements, with any unresolved issues submitted to the Commissioner for decision.

Purpose

Beginning on July 1, 2015, schools identified as Persistently Struggling will be eligible for a portion of \$75 million to support and implement turnaround efforts over a 21 month period. The superintendent is given an initial one-year period to use the enhanced authority of a Receiver to make demonstrable improvement in student performance at the Persistently Struggling School or the Commissioner will direct that the school board appoint an Independent Receiver and submit the appointment for approval to the Commissioner. Independent Receivers are appointed for up to three school years and will enter into a contract with the NYS Education Department.

The Department shall reserve the larger of \$200,000 or an amount equivalent to ten percent of a school's Persistently Struggling Schools Grant (PSSG) to pay for potential 2016-17 school year activities and/or the contracted costs of the Independent Receiver. NYSED will provide guidance at a later time on the application process to access schools' contingency reserve funds if no Independent Receiver is appointed. Click link below for information on Commissioner's Regulation 100.19.

<http://www.p12.nysed.gov/accountability/de/documents/Section100.19oftheRegulationsoftheCommissionerofEducation.pdf>

Eligibility and Grant Allocation

As defined in Section 211-f of Education Law and Commissioner's Regulation 100.19, there are 20 Persistently Struggling Schools eligible for these grants.

Education Law requires that the Commissioner shall determine the school-specific allocation based on factors including enrollment. School Districts must apply for the

allocation for each school separately. Funds shall be distributed according to the following formula:

Allocation Methodology		
Allocation	Dollars Per Pupil	Weightings
Base School Allocation	\$100,000	
Student enrolled in the school as of BEDS Day 2014	\$2,575.00 per student	1.00
Student enrolled in grades 6, 7, and 8	\$128.75 per student	0.05
Student enrolled in grades 9, 10, 11, and 12	\$257.50 per student	0.10
English language learner enrolled in grades K-6	\$643.75 per student	0.25
English language learner enrolled in grades 7-12	\$1,287.50 per student	0.50
Low-Income Student	\$1,287.50 per student	0.50
Student with disability enrolled for 40% or less of the day in a special class	\$1,931.25 per student	0.75
Student with disability enrolled for more than 40% of the day in a special class	\$2,575.00 per student	1.00

Note: These are duplicated counts so a low income high school student who was an English language learner would generate \$5,407.50 (\$2575+\$257.50+\$1,287.50+\$1,287.50) towards the school's allocation.

Persistently Struggling School Allocations

School	District	Enrollment Weighting	Two-Year Total Transformation Allocation
WILLIAM S HACKETT MIDDLE SCHOOL	ALBANY CITY SD	1.550	\$2,625,818
BUFFALO ELEM SCH OF TECHNOLOGY	BUFFALO CITY SD	1.633	\$2,783,408
PS 37 FUTURES ACADEMY	BUFFALO CITY SD	1.625	\$2,317,976
BURGARD VOC HIGH SCHOOL	BUFFALO CITY SD	1.685	\$2,407,715
SOUTH PARK HIGH SCHOOL	BUFFALO CITY SD	1.670	\$3,829,115
WEST HERTEL ELEMENTARY SCHOOL	BUFFALO CITY SD	1.665	\$3,881,388
HEMPSTEAD HIGH SCHOOL	HEMPSTEAD UFSD	1.640	\$9,499,394
JHS 162 L RODRIGUEZ DE TIO	NYC GEOG DIST # 7 - ISC-BRONX	1.806	\$1,811,345
JHS 22 JORDAN L MOTT	NYC GEOG DIST # 9 - ISC-BRONX	1.846	\$2,405,526
PS 64 PURA BELPRE	NYC GEOG DIST # 9 - ISC-BRONX	1.783	\$1,449,944
IS 117 JOSEPH H WADE	NYC GEOG DIST # 9 - ISC-BRONX	1.822	\$2,999,193
JHS 80 MOSHOLU PARKWAY	NYC GEOG DIST #10 - ISC-BRONX	1.781	\$3,058,675
AUTOMOTIVE HIGH SCHOOL	NYC GEOG DIST #14 - ISC-BROOKLYN	1.767	\$1,902,114
PS 328 PHYLLIS WHEATLEY	NYC GEOG DIST #19 - ISC-BROOKLYN	1.655	\$1,318,876
SCHOOL 9-DR MARTIN LUTHER KING JR	ROCHESTER CITY SD	1.672	\$3,328,664
CHARLOTTE HIGH SCHOOL	ROCHESTER CITY SD	1.834	\$2,216,135
EAST HIGH SCHOOL	ROCHESTER CITY SD	1.839	\$7,644,235
JAMES MONROE HIGH SCHOOL	ROCHESTER CITY SD	1.893	\$5,647,580
GRANT MIDDLE SCHOOL	SYRACUSE CITY SD	1.704	\$3,145,453
ROOSEVELT HIGH SCHOOL (Early College)	YONKERS CITY SD	1.714	\$3,763,581

Application Options

For each identified school, the district must choose either application Option 1 or Option 2.

Option 1: Request funding to be used for planning activities (Complete Appendix A) and then submit a full application (Appendix B) for the remaining amount of the Persistently Struggling School Grant at a later date.

Superintendent Receivers can request planning funds (for a period of three months), equal to no more than 10% of a school's Persistently Struggling Schools allocation.

Superintendent Receivers will need to provide the Department with a school-specific budget and a detailed plan for how they will:

- Conduct a needs-assessment of the school and the community to determine what issues must be addressed to positively impact student achievement. The Superintendent Receiver may choose to use the results of the school's most recent Diagnostic Tool for School and District Effectiveness (DTSDE) review, if the review is less than a year old.
- Engage local stakeholders (the Community Engagement Team, community based organizations, etc.) in the creation of a new School Comprehensive Education Plan (SCEP) or revision of an existing Department approved plan such as the School Comprehensive Education Plan (SCEP), 1003(g) School Improvement Grant (SIG), or School Innovation Fund(SIF).
- Begin conversations with local collective bargaining units regarding any elements of the SCEP that require changes to the collective bargaining agreement.

The Department will review the application and release planning funds if the application is approvable. As a condition of approval, the Superintendent Receiver must commit to provide bi-weekly updates on the progress made in planning.

Once the school district has completed the required planning activities, the Superintendent Receiver may submit a full application (using the template in Appendix B) for the remaining Persistently Struggling Schools Grant allocation. With the full application, the Superintendent Receiver will be required to submit a new or revised SCEP or, if applicable, the 1003(g) S IG or SIF Continuation Plan. This SCEP or SIG/SIF Continuation Application must address any issues identified during the planning period and describe the activities to be funded with the Persistently Struggling Schools Grant allocation, and include a school-specific budget. If the Receiver is submitting a revised SCEP, SIG or SIF, the revisions or additions must be highlighted in yellow.

The remaining amount of the Persistently Struggling Schools Grant allocation will not be given to Receivers who fail to show evidence of adequate planning and community engagement. Instead, such Receivers will be offered additional short term planning funds for an amount that is no more than ten percent of the remaining allocation, for a period of no more than three months.

Option 2: Submit a full application for the total amount of the Persistently Struggling Schools Grant allocation, (Complete Appendix B), with evidence that the appropriate planning activities have already taken place prior to submission of the application.

The Receiver may submit an application for the full amount of the Persistently Struggling Schools Grant allocation, as long as evidence is provided that the following planning activities are included in the application or have been completed prior to submission of the application:

- Conduct a needs-assessment of the school and the community to determine what issues must be addressed to positively impact student achievement. The Superintendent Receiver may choose to use the results of the school's most recent Diagnostic Tool for School and District Effectiveness (DTSDE) review, if the review is less than a year old.
- Engage local stakeholders (the Community Engagement Team, community based organizations, etc.) in the creation of a new SCEP or revision of an existing Department approved plan such as the SCEP, 1003(g) (SIG, or SIF.
- Begin conversations with local collective bargaining units regarding any elements of the SCEP that require changes to the collective bargaining agreement.

The Superintendent Receiver will be required to submit a new or revised SCEP or, if applicable, the SIG/SIF Continuation Application. This SCEP or SIG/SIF Continuation Application must address any issues identified during the planning period and describe the activities to be funded with the Persistently Struggling Schools Grant, and include a school-specific budget. If the Superintendent Receiver is submitting a revised SCEP, SIG or SIF, the revisions or additions must be highlighted in yellow.

Districts should ensure that the CET at each identified school is consulted when preparing the planning and full grant applications. Schools will be required to show evidence of consultation with the CET as part of their application.

The Persistently Struggling Schools Grant allocation will not be given to Receivers who fail to show evidence of adequate planning and community engagement within the full application. Instead, such Receivers will be offered planning funds.

Allowable Grant Activities

Districts receiving these funds must set aside a portion of the grant (no less than 5% of the total allocation) to pay for an independent evaluator to assess program implementation over the period of the grant.

Activities that can be supported by these funds include, but are not limited to:

- Converting school buildings into community hubs to deliver co-located or school-linked academic, health, mental health, nutrition, counseling, legal and/or other services to students and their families;

- Expanding, altering or replacing the school's curriculum and program offerings;
- Extending the school day and/or school year;
- Providing professional development to teachers and administrators;
- Mentoring of at-risk students;
- Paying for the actual and necessary expenses of the independent receiver of the school;
- Any other activity aligned with the school's approved SCEP, SIG or SIF, as approved by the Commissioner.

Each eligible activity must be aligned with the school's approved intervention model, comprehensive education plan or school intervention plan.

A district may allocate up to 25 percent of a school's grant allocation to support approved activities in struggling "feeder schools." A "feeder school" is defined as a school identified by the Commissioner as "struggling" pursuant to Commissioner's Regulations 100.19 from which at least 20 percent of the students in the persistently struggling school matriculated. **If the district chooses to use a portion of the Persistently Struggling School's allocation in a Struggling feeder school, the district must complete a grant application for each feeder Struggling School to be served.**

Funds provided through a Persistently Struggling Schools Grant may not be used to fund, in whole or in part, existing programs and services, including but not limited to staff salaries.

The funding can be spread over Year 1 and Year 2, but schools should anticipate receiving no more than 50 percent of their allocation for the 2015-16 school year. If a school would like to access more than 50 percent of the allocation in the first year, the school district must request that all or a portion of the Persistently Struggling School Grant funds otherwise dedicated to the second year be advanced to the first year. Such requests must include documentation to demonstrate to NYSED's satisfaction that the costs of the plan's activities are reasonable and that the school district has developed a plan to maintain improvements in the 2016-17 and 2017-18 school years without additional State grant funding.

Budget Requirements

Budget (FS-10)

Applicants must submit a proposed budget on the FS-10 Budget Form (available online at <http://www.oms.nysed.gov/cafe>) with this application for the project period of either option 1 (planning period up to 3 months) or option 2 full application for the 1st year period of 07/01/2015 – 06/30/2016. Budgeted costs must be reasonable and necessary to cover program expenses and be in compliance with applicable State laws and regulations and the Department's Fiscal Guidelines for Federal and State Aided Grants

(available at <http://www.oms.nysed.gov/cafe/guidance/guidelines.html>). School districts must use the restricted indirect cost rates calculated by the Department.

For more information on indirect rates, go to <http://www.oms.nysed.gov/cafe/guidance/faqs.html#indirect>.

The FS-10 must bear the original signature of the Chief School/Administrative Officer.

Sustained Activities Certification

Districts must submit with the grant applications a certification that activities funded by the Persistently Struggling Schools Grant will be sustained in the 2016-17 and 2017-18 school years (See Appendix C: Sustained Activities Certification). In addition, if a district submits a Persistently Struggling Schools Grant budget that includes additional staff positions at the Persistently Struggling School, funding for those positions will not be approved unless the district can provide evidence of sustainability past the grant period. Additionally, the Department intends to review all school specific budgets to ensure that the activities supplement and do not supplant school program responsibilities.

Reporting Requirements

Submit a quarterly report to the board of education, the Commissioner and the Board of Regents no later than October 30, January 31, April 30, and July 31 of each year, as required by Commissioner's Regulations. Quarterly Reports, together with a plain-language summary thereof, must be made publicly available in the school district's offices and posted on the school district's website, if one exists. These reports will be used as the basis for Performance Management calls with districts regarding progress in implementing receivership plans and achieving selected Demonstrable Improvement indicators. The Quarterly Report Template and guidance can be found at: <http://www.p12.nysed.gov/accountability/de/SchoolReceivership.html>.

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 offeror's proposal and/or to determine an offeror's compliance with the requirements of the solicitation; (16) to request best and final offers.

Minority and Women-Owned Business Enterprise (M/WBE) Participation Goals Pursuant to Article 15-A of the New York State Executive Law

The following M/WBE requirements apply when an applicant submits an application for grant funding that exceeds \$25,000 for the full grant period. All forms referenced here can be found in the M/WBE Documents section at the end of this RFP.

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

M/WBE participation includes services, materials, or supplies purchased from minority and women-owned firms certified with the NYS Division of Minority and Women Business Development. Not-for-profit agencies are not eligible for this certification. For additional information and a listing of currently certified M/WBEs, see <https://ny.newnycontracts.com/FrontEnd/VendorSearchPublic.asp?TN=ny&XID=4687>

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

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

3. that portion of the budget in purchased services used for direct educational services provided by public or not for profit organizations.

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

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

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

METHODS TO COMPLY

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

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

COMPLETE FORMS:

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

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

COMPLETE FORMS:

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

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

COMPLETE FORMS:

- M/WBE Goal Calculation Worksheet
- M/WBE Cover Letter

M/WBE 101 Request for Waiver
M/WBE 105 Contractor's Good Faith Efforts

GOOD FAITH EFFORTS

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

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

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

REQUEST FOR WAIVER

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

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

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

www.oms.nysed.gov/fiscal/MWBE/forms.html.

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

Application Submission Instructions

Complete Application for Planning Grant – Appendix A or Full Amount Application Submission – Appendix B for each eligible school, including any Struggling feeder schools that the district has identified.

Complete applications along with revised department approved plans must be submitted electronically to Receivership@nysed.gov **by no later than 5 p.m. on November 12, 2015.**

In addition, the original application and revised department approved plan must be mailed by postal service to:

New York State Education Department
Attn: Office of Accountability
Accountability, Policy and Administration Team
55 Hanson Place
Brooklyn, NY 11217

A pre-recorded applicant informational webinar will be posted at <http://www.p12.nysed.gov/accountability/de/SchoolReceivership.html> by October 26, 2015.

Appendix A:
Persistently Struggling Schools Grant Application
For Planning Funds

COVER PAGE

School:	BEDS Code:
Address:	
Program Contact Person:	Telephone:
Address of Contact:	
E-mail Address:	Fax:

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, and that the requested budget amounts are necessary for the implementation of this project.

It is understood by the applicant that this application constitutes an offer and, if accepted by the NYS Education Department or renegotiated to acceptance, will form a binding agreement. It is also understood by the applicant that immediate written notice will be provided to the grant program office if at any time the applicant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

Authorized Signature of Chief School/Administrative Officer (**in blue ink**)

Typed Name:

Date:

Directions: Superintendent Receivers can request planning funds (for a period of three months), equal to no more than 10% of a school's Persistently Struggling Schools Grant allocation, to be used for planning activities. To receive the planning funds, Superintendent Receivers will need to provide the Department with a school-specific budget (FS-10) and a completed the Persistently Struggling Schools Grant Planning Funds Application for each identified school.

Part I: Planning Funds Requirement Narrative

1. Please describe how the Superintendent Receiver will conduct a needs-assessment of the school and the community to determine what issues must be addressed to positively impact student achievement. If the Superintendent Receiver is choosing to use the results of the school's most recent DTSDE review (either district led or led by an Integrated Intervention Team) as the needs assessment, please provide evidence that this review has taken place within the last year. Provide information on the timeline for completing the needs assessment, identify the person(s) responsible for planning and conducting the needs assessment, and describe how the results of the needs assessment will be shared with the CET and the school community.
2. Please describe how the Superintendent Receiver is planning to engage local stakeholders (the CET, community based organizations, etc.) in the creation of a new SCEP or revision of an existing Department approved plan. Please include a list of engagement activities, a timeline for engagement, and identify the person(s) responsible for planning and conducting the engagement activities.
3. Please describe how the Superintendent Receiver will begin conversations with local collective bargaining units regarding any elements of the SCEP or other department-approved plan that require changes to the collective bargaining agreement. Please include a timeline for engagement with local collective bargaining units, and identify the person(s) responsible for planning and conducting the engagement activities.

Part II: Description of Planning Activities

Directions: Please complete the chart below. Add rows to the chart as necessary to list and describe all activities proposed under the planning grant.

- **Proposed Activity:** Please provide a brief description describing the planning activity.
- **Progress Monitoring Process and Timeline:** The school must provide information on the specific timeline for implementation of the activity, and describe how it will monitor implementation and impact.
- **Budgeted Amount and Budget Code:** The school must provide the amount of PSSG funding (no more than 10% of total PSSG allocation) that will be used to support the activity, and the FS-10 code.

[illegible]

Appendix B:
Persistently Struggling Schools Grant Application
For Full Allocation or Remaining Funds

COVER PAGE

School:	BEDS Code:
Address:	
Program Contact Person:	Telephone:
Address of Contact:	
E-mail Address:	Fax:

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, and that the requested budget amounts are necessary for the implementation of this project.

It is understood by the applicant that this application constitutes an offer and, if accepted by the NYS Education Department or renegotiated to acceptance, will form a binding agreement. It is also understood by the applicant that immediate written notice will be provided to the grant program office if at any time the applicant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

Authorized Signature of Chief School/Administrative Officer (**in blue ink**)

Typed Name:

Date:

Directions: Please complete the following application for each Persistently Struggling School or Feeder Struggling School. Please also submit with the completed application a revised school comprehensive education plan (SCEP), 1003(g) School Improvement Grant (SIG) plan, or School Innovation Fund (SIF) plan. The changes made to the plans in order to describe the proposed funded activities must be highlighted in yellow.

The Department will review each school specific budget in conjunction with the related plan to determine whether the activities proposed align with the needs of the specific school, the stated goals of the plan, and to determine if the activities are allowable. If a district submits a budget that includes additional staff positions at the Persistently Struggling School, the budget will not be approved unless the district can provide evidence of sustainability past the grant period. Additionally, the Department intends to review all school specific budgets to ensure that the activities supplement and do not supplant school program responsibilities.

Part I: Evidence of Planning

1. Please describe how the Superintendent Receiver conducted a needs-assessment of the school and the community to determine what issues must be addressed to positively impact student achievement. If the Superintendent Receiver used the results of the school's most recent DTSDE review (either district led or led by an Integrated Intervention Team) as the needs assessment, please provide evidence that this review has taken place within the last year. Please describe how the results of the needs assessment were shared with the CET and the school community.
2. Please describe how the Superintendent Receiver has engaged local stakeholders (the CET, community based organizations, etc.) in the creation of a new SCEP or revision of an existing Department approved plan (SCEP, SIG Continuation, SIF, or Out of Time Plan). Please include a list of engagement activities undertaken, and the results of the engagement.
3. Please describe how the Superintendent Receiver has engaged with local collective bargaining units regarding any elements of the SCEP or other department-approved plan that require changes to the collective bargaining agreement. Please include a list of engagement activities undertaken, and the results of the engagement.

Part II: Proposed Activities Narrative

Directions: Please complete the chart below. Add rows to the chart as necessary to list and describe all activities proposed under the grant.

- Proposed Activity - provide a brief sentence describing the activity.
- Connection to Needs Assessment - describe how this activity was selected, as it relates to any needs assessment conducted at the school and/or consultation with the CET.
- Connection to Demonstrable Improvement Metrics - identify the school's demonstrable improvement metric(s) that are expected to be impacted positively by this proposed activity.
- Progress Monitoring Process - provide a description of how and when the school leadership will monitor the impact of the activity upon the Demonstrable Improvement metric.
- Timeline for Implementation - provide a description of when the activity will begin, how often it will occur, and when the activity will be completed (if not on-going).
- Plan Page Reference - note the page in the SCEP, SIG, SIF or Out of Time Plan where the activity is described in greater detail. The activity must be described in greater detail in the plan, and the additional information added to the plan must be highlighted in yellow.
- Budgeted Amount and Budget Code - provide the amount of PSSG funding that will be used to support the activity, and the FS-10 code. If the activity includes hiring of staff, please indicate how many and if they are full time, part time or consultants. If the activity includes hiring of staff, the school is required to complete Part IV of this application, the Sustainability Certification Regarding Additional Staff Positions.

Proposed Activity	Connection to Needs Assessment	Connection to Demonstrable Improvement Metrics	Progress Monitoring Process	Timeline for Implementation	Plan Page Reference	Budgeted Amount and Budget Code(s)

Part III: Evaluation

Directions: Districts with identified schools that receive these funds must set aside a portion of the grant (no less than 5%) to pay for an external evaluator to assess program implementation. Please answer the questions below.

1. How will the district select an independent evaluator to assess program implementation?
2. What is the estimated cost of the independent evaluator?
3. When will the independent evaluator assess program implementation?
4. How will the independent evaluator assess program implementation?
5. How will the independent evaluator inform the School Receiver of the results of the assessment?

Appendix C:

Sustained Activities Certification

Additional Staff Positions:

This chart only needs to be completed if the school is proposing to add staff positions using PSSG funds. Please complete the chart below, listing each proposed position, describing the need for the position, and providing information on how the district will continue to support this position after the 2016-17 school year.

Proposed Staff Position(s)	Description of Need for the Position(s)	Plan to Sustain Position(s) after 2016-17 school year and Funding Source

Certification:

I, _____, Superintendent Receiver of [insert school name], certify that the activities described within this grant application will be sustained in the 2016-17 and 2017-18 school years, even without additional State funding. The funds from the PSSG allocation will not be used to supplant activities or services at the school, and will only be used to fund supplemental activities and services.

Superintendent Name:	
Superintendent Signature:	
Date:	

PSSG SUBMISSION CHECKLIST – Planning Application (option 1)

Documents for Submission	<i>Checked – applicant</i>	<i>Checked – SED</i>
Appendix A – PSSG Planning Grant Application (with original signatures in <u>blue ink</u>)	<input type="checkbox"/>	<input type="checkbox"/>
Grant Application Checklist –Planning Application	<input type="checkbox"/>	<input type="checkbox"/>
Revised SCEP, SIG, OR SIF Plan, with revisions or additions highlighted in yellow.	<input type="checkbox"/>	<input type="checkbox"/>
Appendix C – Sustained Activities Certification (with original signatures in <u>blue ink</u>)	<input type="checkbox"/>	<input type="checkbox"/>
FS-10 Form for the up to 3 month Planning Period FS-10 available here: http://www.oms.nysed.gov/cafe/forms/	<input type="checkbox"/>	<input type="checkbox"/>

SED Comments:

Has the applicant submitted all of the documents listed above? ☐ Yes ☐ No

Reviewer: _____ **Date:** _____

Note: Submission and approval of the M/WBE documents are not required for the Planning Period

PSSG SUBMISSION CHECKLIST – Full Allocation (Option 2) or Remaining Funds Applications

Documents for Submission	Checked – applicant	Checked – SED
Appendix B – PSSG Full Allocation Application (with original signatures in <u>blue ink</u>)	<input type="checkbox"/>	<input type="checkbox"/>
Grant Application Checklist –Full Allocation or Remaining Funds Application	<input type="checkbox"/>	<input type="checkbox"/>
Revised SCEP, SIG, OR SIF Plan, with revisions or additions highlighted in yellow.	<input type="checkbox"/>	<input type="checkbox"/>
Appendix C – Sustained Activities Certification	<input type="checkbox"/>	<input type="checkbox"/>
FS-10 Form. FS-10 available here: http://www.oms.nysed.gov/cafe/forms/ FS-10 form submitted is for the 1st year period of 7/1/15-6/30/16	<input type="checkbox"/>	<input type="checkbox"/>

M/WBE Documents Package (containing original signatures) <input type="checkbox"/> Full Participation <input type="checkbox"/> Request Partial Waiver <input type="checkbox"/> Request Total Waiver			
Type of Form	Full Participation	Request Partial Waiver	Request Total Waiver
M/WBE Cover Letter	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
M/WBE 100 Utilization Plan	<input type="checkbox"/>	<input type="checkbox"/>	N/A
M/WBE 102 Notice of Intent to Participate	<input type="checkbox"/>	<input type="checkbox"/>	N/A
EEO 100 Staffing Plan and Instructions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
M/WBE 105 Contractor's Good Faith Efforts	N/A	<input type="checkbox"/>	<input type="checkbox"/>
M/WBE 101 Request for Waiver Form and Instructions	N/A	<input type="checkbox"/>	<input type="checkbox"/>
SED Comments: Has the applicant submitted all of the documents listed above? <input type="checkbox"/> Yes <input type="checkbox"/> No Reviewer: _____ Date: _____			

M/WBE Documents

M/WBE Goal Calculation Worksheet

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

RFP # and Title: _____

Applicant Name: _____

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

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

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

*If not included in #5

M/WBE COVER LETTER
Requirements

Minority & Woman-Owned Business Enterprise

NAME OF GRANT PROGRAM_____

NAME OF APPLICANT_____

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

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

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

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

M/WBE UTILIZATION PLAN

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

Bidder/Applicant's Name _____ Telephone/Email: _____/_____

Address _____ Federal ID No.: _____

City, State, Zip _____ RFP No.: _____

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

PREPARED BY (Signature) _____ DATE _____

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

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

TELEPHONE/E-MAIL _____

DATE _____

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

M/WBE 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 Representative of Bidder/Applicant's Firm
Date: _____

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

Name of M/WBE: _____ Federal ID No.: _____
Address: _____ Phone No.: _____
City, State, Zip Code _____ E-mail: _____

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

--

DESIGNATION: ☐ MBE Subcontractor ☐ WBE Subcontractor ☐ MBE Supplier ☐ WBE Supplier

PART C - CERTIFICATION STATUS (CHECK ONE):

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

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

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

The estimated dollar amount of the agreement \$ _____

Signature of Authorized Representative of M/WBE Firm

Date

Printed or Typed Name and Title of Authorized Representative

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

PROJECT/CONTRACT # _____

I, _____
(Bidder/Applicant)

_____ of _____
(Title) (Company)

_____ () _____
(Address) (Telephone Number)

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

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

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

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

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

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

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

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

Submit additional pages as needed.

Authorized Representative Signature

Date

M/WBE CONTRACTOR UNAVAILABLE CERTIFICATION

RFP#/PROJECT NAME _____

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

(Address) () (Phone)

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

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

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

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

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

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

M/WBE 105A**REQUEST FOR WAIVER FORM****BIDDER/APPLICANT NAME:****TELEPHONE:****ADDRESS:****EMAIL:****FEDERAL ID NO.:****CITY, STATE, ZIPCODE:****RFP#/PROJECT NO.:**

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

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

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

☐ **Total**☐ **Partial** _____%

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

☐ **Total**☐ **Partial** _____%

☐ **Waiver Pending ESD Certification**

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

Subcontractor/Supplier Name: _____ Date of application filing: _____

PREPARED BY (*Signature*): _____ DATE: _____

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

NAME OF PREPARER:

FOR AUTHORIZED USE ONLY

TITLE OF PREPARER:

REVIEWED BY: _____

TELEPHONE:

DATE: _____

EMAIL:

WAIVER GRANTED ☐ **YES** ☐ **NO**☐ **TOTAL WAIVER** ☐ **PARTIAL WAIVER**☐ **ESD CERTIFICATION WAIVER** ☐ **NOTICE OF DEFICIENCY**☐ **CONDITIONAL WAIVER**

COMMENTS:

REQUIREMENTS AND DOCUMENT SUBMISSION INSTRUCTIONS

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

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

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

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

Applicant Name: _____

Telephone: _____

Address: _____

Federal ID No.: _____

City, State, ZIP: _____

Project No: _____

Report includes:

☐ Work force to be utilized on this contract OR

☐

☐ Applicant's total work force

☐

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

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

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

DATE: _____
TELEPHONE/EMAIL: _____

STAFFING PLAN INSTRUCTIONS

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

Instructions for Completing:

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

RACE/ETHNIC IDENTIFICATION

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

- **Hispanic or Latino** - A person of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture or origin regardless of race.
- **White (Not Hispanic or Latino)** - A person having origins in any of the original peoples of Europe, the Middle East, or North Africa.
- **Black or African American (Not Hispanic or Latino)** - A person having origins in any of the black racial groups of Africa.
- **Native Hawaiian or Other Pacific Islander (Not Hispanic or Latino)** - A person having origins in any of the peoples of Hawaii, Guam, Samoa, or other Pacific Islands.
- **Asian (Not Hispanic or Latino)** - A person having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian Subcontinent, including, for example, Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam.
- **American Indian or Alaska Native (Not Hispanic or Latino)** - A person having origins in any of the original peoples of North and South America (including Central America), and who maintain tribal affiliation or community Appendix.
- **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

Appendix A
STANDARD CLAUSES FOR NYS CONTRACTS

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

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

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

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

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

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

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

payment by the State of any State approved sums due and owing for work done upon the project.

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

8. INTERNATIONAL BOYCOTT PROHIBITION. In accordance with Section 220-f of the Labor Law and Section 139-h of the State Finance Law, if this contract exceeds \$5,000, the Contractor agrees, as a material condition of the contract, that neither the Contractor nor any substantially owned or affiliated person, firm, partnership or corporation has participated, is participating, or shall participate in an international boycott in violation of the federal Export Administration Act of 1979 (50 USC App. Sections 2401 et seq.) or regulations thereunder. If such Contractor, or any of the aforesaid affiliates of Contractor, is convicted or is otherwise found to have violated said laws or regulations upon the final determination of the United States Commerce Department or any other appropriate agency of the United States subsequent to the contract's execution, such contract, amendment or modification thereto shall be rendered forfeit and void. The Contractor shall so notify the State Comptroller within five (5) business days of such conviction, determination or disposition of appeal (2NYCRR 105.4).

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

10. RECORDS. The Contractor shall establish and maintain complete and accurate books, records, documents, accounts and other evidence directly pertinent to performance under this contract (hereinafter, collectively, "the Records"). The Records must be kept for the balance of the calendar year in which they were made and for six (6) additional years thereafter. The State Comptroller, the Attorney General and any other person or entity authorized to conduct an examination, as well as the agency or agencies involved in this contract, shall have access to

the Records during normal business hours at an office of the Contractor within the State of New York or, if no such office is available, at a mutually agreeable and reasonable venue within the State, for the term specified above for the purposes of inspection, auditing and copying. The State shall take reasonable steps to protect from public disclosure any of the Records which are exempt from disclosure under Section 87 of the Public Officers Law (the "Statute") provided that: (i) the Contractor shall timely inform an appropriate State official, in writing, that said records should not be disclosed; and (ii) said records shall be sufficiently identified; and (iii) designation of said records as exempt under the Statute is reasonable. Nothing contained herein shall diminish, or in any way adversely affect, the State's right to discovery in any pending or future litigation.

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

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

12. EQUAL EMPLOYMENT OPPORTUNITIES FOR MINORITIES AND WOMEN. In accordance with Section 312 of the Executive Law and 5 NYCRR 143, if this contract is: (i) a written agreement or purchase order instrument, providing for a total expenditure in excess of \$25,000.00, whereby a contracting agency is committed to expend or does expend funds in return for labor, services, supplies, equipment, materials or any combination of

the foregoing, to be performed for, or rendered or furnished to the contracting agency; or (ii) a written agreement in excess of \$100,000.00 whereby a contracting agency is committed to expend or does expend funds for the acquisition, construction, demolition, replacement, major repair or renovation of real property and improvements thereon; or (iii) a written agreement in excess of \$100,000.00 whereby the owner of a State assisted housing project is committed to expend or does expend funds for the acquisition, construction, demolition, replacement, major repair or renovation of real property and improvements thereon for such project, then the following shall apply and by signing this agreement the Contractor certifies and affirms that it is Contractor's equal employment opportunity policy that:

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

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

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

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

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

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

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

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

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

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

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

In addition, when any portion of this contract involving the use of woods, whether supply or installation, is to be performed by any subcontractor, the prime Contractor will indicate and certify

in the submitted bid proposal that the subcontractor has been informed and is in compliance with specifications and provisions regarding use of tropical hardwoods as detailed in §165 State Finance Law. Any such use must meet with the approval of the State; otherwise, the bid may not be considered responsive. Under bidder certifications, proof of qualification for exemption will be the responsibility of the Contractor to meet with the approval of the State.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

24. PROCUREMENT LOBBYING. To the extent this agreement is a "procurement contract" as defined by State Finance Law Sections 139-j and 139-k, by signing this agreement the contractor certifies and affirms that all disclosures made in accordance with State Finance Law Sections

139-j and 139-k are complete, true and accurate. In the event such certification is found to be intentionally false or intentionally incomplete, the State may terminate the agreement by providing written notification to the Contractor in accordance with the terms of the agreement.

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

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

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

Contractor further certifies that it will not utilize on this Contract any subcontractor that is identified on the Prohibited Entities List. Contractor agrees that should it seek to renew or

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

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

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

(January 2014)

APPENDIX A-1 G

Article I. General

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

Terminations

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

Responsibility Provisions

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

C. Termination (for Non-Responsibility)

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

Safeguards for Services and Confidentiality

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

Iran Divestment Act

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

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

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

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

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

Rev. 6/4/13

Donald Juron

From: Conroy, Joseph (BUDGET) <Joseph.Conroy@budget.ny.gov>
Sent: Thursday, October 15, 2015 11:02 AM
To: Beth Berlin
Cc: Donald Juron
Subject: FW: Receivership
Attachments: Failing Schools Expenditure Plan 10-6-15 revised no SIG negative adjustm....docx

We are signed off on the revised version. Thanks.



YONKERS PUBLIC SCHOOLS

Achieving Excellence Together

One Larkin Center
Yonkers, New York 10701
Tel. 914 376-8011
Fax 914 376-8018
eequezada@yonkerspublicschools.org

November 12, 2015

Dr. Michael Yazurlo
Superintendent of Schools

Dr. Edwin M. Quezada
Deputy Superintendent

New York State Education Department
Attention: Office of Accountability
Accountability, Policy and Administration Team
55 Hanson Place
Brooklyn, NY 11217

RE: Persistently Struggling Schools Grant (PSSG) Application
July 1, 2015-March 21, 2017

Office of Accountability Team:

The **Persistently Struggling Schools Grant (PSSG) Application** is attached for your review. Please contact me with any questions you may have.

Thank you for your support.

Sincerely,



Dr. Edwin M. Quezada

Attachment

cc: M. Yazurlo, C. Jarufe, R. Collins-Judon

Appendix B:
Persistently Struggling Schools Grant Application
For Full Allocation or Remaining Funds

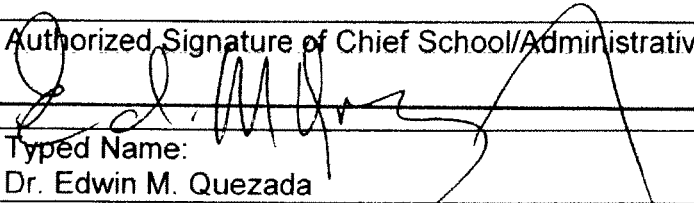
COVER PAGE

School: Roosevelt High School-Early College Studies	BEDS Code: 66200010043
Address: One Larkin Center Yonkers, New York 10701	
Program Contact Person: Dr. Manya Bouteneff	Telephone: [REDACTED]
Address of Contact: [REDACTED]	
E-mail Address: <u>mbouteneff@yonkerspublicschools.org</u>	Fax: 914-376-8211

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, and that the requested budget amounts are necessary for the implementation of this project.

It is understood by the applicant that this application constitutes an offer and, if accepted by the NYS Education Department or renegotiated to acceptance, will form a binding agreement. It is also understood by the applicant that immediate written notice will be provided to the grant program office if at any time the applicant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

Authorized Signature of Chief School/Administrative Officer (in blue ink)


Typed Name:
Dr. Edwin M. Quezada

Date: November 12, 2015

PSSG SUBMISSION CHECKLIST – Full Allocation (Option 2) or Remaining Funds Applications

Documents for Submission	Checked – applicant	Checked – SED
Appendix B – PSSG Full Allocation Application (with original signatures in blue ink)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Grant Application Checklist –Full Allocation or Remaining Funds Application	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Revised SCEP, SIG, OR SIF Plan, with revisions or additions highlighted in yellow.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Appendix C – Sustained Activities Certification	<input checked="" type="checkbox"/>	<input type="checkbox"/>
FS-10 Form. FS-10 available here: http://www.oms.nysed.gov/cafe/forms/ FS-10 form submitted is for the 1st year period of 7/1/15-6/30/16	<input checked="" type="checkbox"/>	<input type="checkbox"/>

M/WBE Documents Package (containing original signatures)			
	<input checked="" type="checkbox"/> Full Participation	<input type="checkbox"/> Request Partial Waiver	<input type="checkbox"/> Request Total Waiver
Type of Form	Full Participation	Request Partial Waiver	Request Total Waiver
M/WBE Cover Letter	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
M/WBE 100 Utilization Plan	<input checked="" type="checkbox"/>	<input type="checkbox"/>	N/A
M/WBE 102 Notice of Intent to Participate	<input checked="" type="checkbox"/>	<input type="checkbox"/>	N/A
EEO 100 Staffing Plan and Instructions	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
M/WBE 105 Contractor's Good Faith Efforts	N/A	<input type="checkbox"/>	<input type="checkbox"/>
M/WBE 101 Request for Waiver Form and Instructions	N/A	<input type="checkbox"/>	<input type="checkbox"/>
SED Comments: Has the applicant submitted all of the documents listed above? <input type="checkbox"/> Yes <input type="checkbox"/> No Reviewer: _____ Date: _____			

Appendix C:

Sustained Activities Certification

Additional Staff Positions:

This chart only needs to be completed if the school is proposing to add staff positions using PSSG funds. Please complete the chart below, listing each proposed position, describing the need for the position, and providing information on how the district will continue to support this position after the 2016-17 school year.

Proposed Staff Position(s)	Description of Need for the Position(s)	Plan to Sustain Position(s) after 2016-17 school year and Funding Source
<u>Full time school Social Worker</u>	To meet the needs of RHS-ECS increased enrollment, we are requesting a full time school social worker to meet the socio/emotional needs of our growing student body.	<u>General/Local Funds</u>
<u>Full time Numeracy/Literacy Coach</u>	The implementation of a Numeracy/Literacy Coach allows RHS-ECS students to attend Lunch and Learn sessions to improve Math and Literacy skills as well as additional instruction for students acquiring an advanced Regents diploma.	<u>General/Local Funds</u>

M/WBE COVER LETTER

Minority & Women-Owned Business Enterprise Requirements

**NAME OF GRANT PROGRAM: Persistently Struggling Schools Grant (PSSG)
Application**

NAME OF APPLICANT: Yonkers City School District - Roosevelt High School

In accordance with the provisions of Article 15-A of the NYS Executive Law, 5 NYCRR Parts 140-144, 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 contract.

Dr. Michael Yazurlo

Typed or Printed Name of Authorized Representative of the Firm

Superintendent of Schools

Typed or Printed Title/Position of Authorized Representative of the Firm

Signature/Date

11/12/15

MWBE Documents

M/WBE Goal Calculation Worksheet
(This form should reflect Multi-Year Budget Summary Totals)

RFP # and Title: Persistently Struggling Schools Grant (PSSG) Application

Applicant Name: Yonkers City School District

The M/WBE participation for this grant is 20% of each applicant's total discretionary non-personal service budget over the entire term of the grant. Discretionary non-personal service budget is defined as the total budget, excluding the sum of funds budgeted for direct personal services (i.e., professional and support staff salaries) and fringe benefits, as well as rent, lease, utilities, and indirect costs, if these are allowable expenditures.

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

	<u>Budget Category</u>	<u>Amount budgeted for items excluded from M/WBE calculation</u>	<u>Totals</u>
1.	Total Budget		\$3,763,581
2.	Professional Salaries	<u>\$1,182,317</u>	
3.	Support Staff Salaries	<u>\$88,770</u>	
4.	Fringe Benefits	<u>\$363,571</u>	
5.	Indirect Costs	<u>\$76,052</u>	
6.	Rent/Lease/Utilities	<u>\$0</u>	
7.	Sum of lines 2, 3, 4, 5, and 6		\$1,710,710
8.	Line 1 minus Line 7		\$2,052,871
9.	M/WBE Goal percentage (20%)		0.30
10.	Line 8 multiplied by Line 9 = M/WBE goal amount		\$615,861

M/WBE UTILIZATION PLAN

INSTRUCTIONS: All bidders submitting responses to this procurement must complete this M/WBE Utilization Plan unless requesting a total waiver and submit it as part of their proposal. 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.

Bidder's Name: Yonkers City School District
 Address: One Larkin Center
 City, State, Zip: Yonkers, New York 10701
 Extended Learning Time Grant
 Telephone: (914) 376-8068
 Federal ID No.: 136007340
 RFP No.: Persistently Struggling Schools Grant (PSSG) Application

Certified M/WBE	Classification (check all applicable)	Description of Work (Subcontracts/Supplies/Services)	Annual Dollar Value of Subcontracts/Supplies/Services
NAME: ADDRESS: CITY, ST, ZIP PHONE/E-MAIL: FEDERAL ID No.	NYS ESD Certified MBE <input type="checkbox"/> _____ WBE <input checked="" type="checkbox"/> X <input type="checkbox"/> For Profit <input type="checkbox"/> Not -For-Profit	To be Determined	\$100,000
NAME: Brockport Research Institute Sara Silverstone, President & CEO ADDRESS: 24 Brook Terrace CITY, ST, ZIP: Brockport, NY 14420 PHONE/E-MAIL: 585-703-5400 FEDERAL ID No. 047-56-9256	NYS ESD Certified MBE <input type="checkbox"/> _____ WBE <input checked="" type="checkbox"/> X <input type="checkbox"/> For Profit <input type="checkbox"/> Not -For-Profit	BRI will provide 24 person/days of comprehensive Professional Development in the areas of Executive Coaching for Data Driven Leadership, Increasing Student Engagement and development of Career and Technical Education. Cost includes supplies and travel expenses, and includes a "Thinking Maps" Certified Trainer.	\$100,000
NAME: Interactive Health, LLC ADDRESS: 162 Lake Drive CITY, ST, ZIP: Mountain Lakes, NJ 07046 PHONE: 973-588-7682 E-mail: FEDERAL ID No. 223691525	NYS ESD Certified MBE <input type="checkbox"/> _____ WBE <input checked="" type="checkbox"/> X <input type="checkbox"/> For Profit <input type="checkbox"/> Not -For-Profit	Interactive Health, LLC will conduct an evaluation and assess the project's progress towards achieving its stated objectives. Both quantitative and qualitative process evaluation data will be collected and used to determine program fidelity, the extent to which various components are implemented; to identify aspects of programs most and least likely to be implemented as planned; and to determine the acceptability and perceived utility of programs and services. Data will be analyzed on a continuous basis generating reports to the school district and partners.	\$415,861

PREPARED BY (Signature) [Signature] DATE 11/12/15
 SUBMISSION OF THIS FORM CONSTITUTES THE BIDDER'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 DISQUALIFICATION.

NAME AND TITLE OF PREPARED: Dr. Edwin Quezada (print or type)
 TELEPHONE/E-MAIL: (914) 376-8086 / equezada@yonkerspublicschools.org
 DATE: 11/12/15
 MWBE 100

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

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

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

Bidder/Applicant Name: Yonkers City School District Federal ID No.: 13-6007340

Address: One Larkin Center Phone No.: 914-376-8086

City: Yonkers State: NY Zip Code: 10701 E-mail: estine@yonkerspublicschools.org

Signature of Authorized Representative of Bidder/Applicant's Firm: Dr. Michael Yazurlo
Print or Type Name and Title of Authorized Representative of Bidder/Applicant's Firm

Date: 11/12/15

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

Name of M/WBE: Brockport Research Institute Federal ID No.: 047-56-9256

Address: 24 Brook Terrace Phone No.: 585-703-5400

City, State, Zip Code: Brockport, NY 14420 E-mail: info@brockportresearchinstitute.com

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

Professional development on Data Driven Leadership, CTE and Creating more Engaging Lessons. To include executive leadership coaching, classroom coaching and Thinking Maps training.

DESIGNATION: MBE Subcontractor ☒ X 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 \$ 100,000

Signature of Authorized Representative of M/WBE Firm

Sara E. Silverstone, Ph.D. President & CEO

Printed or Typed Name and Title of Authorized Representative

11/12/2015
Date

M/WBE 102

M/WBE SUBCONTRACTORS AND SUPPLIERS NOTICE OF INTENT TO PARTICIPATE

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

Bidder Name: Yonkers City School District
Address: One Larkin Center
City: Yonkers State: New York

Zip Code: 10701

Federal ID No.: 13-6007340
Phone No.: (914) 376-8068
E-mail:

Michael Yazurlo, Superintendent of Schools
Print or Type Name and Title of Authorized Representative of Bidder's Firm

Signature of Authorized Representative of Bidder's Firm
Date: 11/12/2015

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

Name of M/WBE: Interactive Health, LLC
Address: 162 Lake Drive
City, State, Zip Code: Mountain Lakes, NJ 07046
Federal ID No.: 223691525
Phone No.: (973) 588-7682
E-mail:

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

Interactive Health, LLC will assess the program implementation of the PSSG initiative. Both quantitative and qualitative process evaluation data will be collected and used to assess fidelity of implementation of the program and services as designed, determine whether the program and services are meeting the target population, and the extent to which various components are implemented. In addition, data will be collected to identify aspects of programs most and least likely to be implemented as planned and to determine the acceptability and perceived utility of programs and services. Data will be analyzed on a continuous basis generating reports to the school district and CBO partners. The results of both the process and outcome evaluation will measure progress, guide program service delivery, and will be used to make adjustments in program and services, if necessary. For the process evaluation, a variety of data sources will be used to assess program implementation and fidelity. Valid and reliable instruments will be used to establish baseline measures, focus groups conducted, data collection systems utilized, and reports generated to inform the School Receiver and used to make adjustments in delivery, if necessary.

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
CONDITIONED UPON THE BIDDER'S EXECUTION OF A CONTRACT WITH THE NEW YORK STATE EDUCATION DEPARTMENT.

The estimated dollar amount of the agreement \$415,861

11/11/2015

Date

Signature of Authorized Representative of M/WBE Firm

Dr. Katherine Roberts, President

Printed or Typed Name and Title of Authorized Representative

M/WBE 102

Part III: Evaluation

Directions: Districts with identified schools that receive these funds must set aside a portion of the grant (no less than 5%) to pay for an external evaluator to assess program implementation. Please answer the questions below.

1. How will the district select an independent evaluator to assess program implementation?

The district will select an independent evaluator who has extensive experience in evaluating educational initiatives and working with schools, partners, and stakeholders. The district has worked with multiple evaluation firms and will select an appropriate, well-qualified firm to assess program implementation. The district has a strong working relationship with Interactive Health, LLC, a M/WBE corporation with over 15 years experience in evaluation and research. This evaluation firm has evaluated over 75 NYSED and US Department of Education grants and is currently assessing the program implementation of the YPS SIF and SIG grants. Therefore, this firm is familiar with the district and with NYSED reporting and is qualified if selected.

2. What is the estimated cost of the independent evaluator?

The estimated cost of the independent evaluator will be \$415,861 for the project, which will include salaries of personnel that are commensurate with time and effort commitments to the project; review of comprehensive needs assessment data; data collection of baseline measures of teachers, students, and parents; focus groups; instruments and their administration; translation services on instruments and reports; observations of programs and services; identification of areas of strength and areas needing improvement; data analysis; PD tracking system; Grants Management System; synthesis and reporting of program implementation; and creation of reports.

3. When will the independent evaluator assess program implementation?

The assessment of program implementation will be continuous. At the commencement of the grant, data collection will begin in order to plan and implement the Community School Model and determine if the proposed activities are connected to demonstrable improvement metrics. In the spring 2016, focus groups and surveys will be conducted which will assist in determining the best way to engage parents and community members, increasing awareness and interest in the initiative. In summer 2016, information will be synthesized, including identifying initial themes, and working sessions will be conducted with administrators and teachers formal identification of goals, strategies and programs. In fall 2016, the implementation of school year programs will begin with assessment measures in place. Quarterly reports and year-end reports will be disseminated

4. How will the independent evaluator assess program implementation?

The evaluation plan will incorporate both qualitative and quantitative data collection

including:

- Pre-program use of valid and reliable instruments to establish baseline measures of student's mental health including emotional problems, hyperactivity, relationship, conduct and pro-social behavior,
- Pre-program use of valid and reliable instruments to establish baseline measures of student's level of engagement at school and with learning,
- Focus groups and surveys to understand teacher professional practices and perceptions of program and setting factors associated with quality program implementation
- Focus groups and parent surveys to understand parent perceptions of school climate, expectation of their school engagement, the role they play in their child's education and perceived barriers for child's success
- Synthesis of data and information to identify areas of strength and areas in need of improvement
- Facilitating/documenting Administration/teacher identification of goals and possible strategies to address areas in need of improvement.

The independent evaluator will develop a comprehensive view of program activities and related professional development. Targeted, measureable objectives will be identified for each program effort. A Grants Management System (GMS) will be utilized to record and monitor program activities. These data metrics will be analyzed to determine if programs are working towards meeting the objectives. New functional and reporting capabilities will be built into the GMS to support Family Welcome Center at Roosevelt HS. The initial scope will be to capture patron requests for services and follow up action plans

The MyLearningPlan (MLP) will be used to track PD sessions. The evaluation firm will convert all teachers onto the MLP, work with district administration to develop and transition to processes to align to MLP strengths, provide 2nd level support for all catalog and technical administration (1st level support is maintained by the district's help desk), provide and/or coordinate Train the Trainer, and assist in setting up activity evaluations. Teacher assessment of the PD provided will be measured through evaluation data collected after each session, and compiled survey data will assist in determining how the PD has changed teachers, counselors, and administrators' perceptions and approaches.

The evaluators will assess fidelity of implementation of the program and services as designed, determine whether the program/service is meeting the target population, assess quality of the program activities, and identify the existence and cause of barriers to various aspects of program implementation. Students and parents will complete participation satisfaction questionnaires and provide input on program relevance and quality. Post program student surveys (e.g., SDQ and SEI), examination of attendance, and grades will be ongoing.

1. How will the independent evaluator inform the School Receiver of the results of the assessment?

Quarterly reports will provide an interim view of progress as well as data required on an on-going basis including student demographic information, academic information, school attendance, and daily attendance in each of the program and services provided. The independent evaluation firm will build functions and reporting capabilities into the grant management system to support the CBO partners and Family Welcome Center at Roosevelt HS. The reports generated will inform the CBO partners as well as the district and school staff, and parents of the implementation and progression. This will allow for performance feedback and will be used to make adjustments in delivery, if necessary.

FOIL <FOIL@nysed.gov>

Date: Fri, Jun 10, 2016 at 4:06 PM

Subject: RE: Amended FOIL request

To: Marina Marcou-O'Malley <marina@aqeny.org>

Dear Ms. Marcou-O'Malley,

This letter is written in response to your amended Freedom of Information Law ("FOIL") request dated June 1, 2016, in which you sought the signed and approved application for the Persistently Struggling Schools grant and accompanying budget form FS-10 that persistently struggling schools submitted to receive funding for 2015-16 school year. In your June 3 follow-up email, you clarified that you are seeking only the approved plans for the 9 schools that have been slated to move to focus on good standing schools.

Please find the requested documents attached. Please be advised that portions of the attached documents have been redacted pursuant to the exemptions specified in the Public Officers Law ("POL") §87(2). Records were redacted if they contained a home address or private telephone number pursuant to POL §87(2)(b) as their release would constitute an unwarranted invasion of personal privacy (see POL §89[2]). Additionally, signature(s) were partially obscured to prevent generation of potentially unauthorized original signatures, pursuant to Public Officers Law §§87(2)(i) and 87(2)(b).

If you wish to appeal this partial denial, you may do so within 30 days by writing to:

MaryEllen Elia

Commissioner of Education

NYS Education Department

Room 111, Education Building

89 Washington Avenue

Albany, NY 12234

Sincerely,

Records Access Officer

The University of the State of New York
THE STATE EDUCATION DEPARTMENT
Grants Finance, Rm. 510W EB
Albany, New York 12234

**PROPOSED BUDGET FOR A
FEDERAL OR STATE PROJECT
FS-10 (03/15)**

YPS CODE # FY 2015-2016

Local Agency Information

Local Agency Information		
Funding Source:	Persistently Struggling Schools/Transformation Grant	
Report Prepared By:	Roseanne Collins-Judon	
Agency Name:	Yonkers School District	
Mailing Address:	One Larkin Center	
	Street	
	Yonkers NY 10701	
	City State Zip Code	

Telephone # of
Report Preparer: 914-376-8281 County: Westchester

E-mail Address: rcollins-judon@yonkerspublicschools.org

Project Funding Dates: 7/1/2015 6/30/2016
Start End

INSTRUCTIONS

- Submit the original FS-10 Budget and the required number of copies along with the completed application directly to the appropriate State Education Department office as indicated in the application instructions for the grant program for which you are applying. DO NOT submit this form to Grants Finance.
- The Chief Administrator's Certification on the Budget Summary worksheet must be signed by the agency's Chief Administrative Officer or properly authorized designee.
- An approved copy of the FS-10 Budget will be returned to the contact person noted above. A window envelope will be used; please make sure that the contact information is accurate and confined to the address field without altering the formatting.
- For information on budgeting refer to the Fiscal Guidelines for Federal and State Aided Grants at <http://www.oms.nysed.gov/cafe/>.

SALARIES FOR PROFESSIONAL STAFF			
Subtotal - Code 15			\$582,422
Specific Position Title	Full-Time Equivalent	Annualized Rate of Pay	Project Salary
Literacy/Numeracy Coach	1.00	\$126,201	\$126,201
Social Worker	1.00	\$129,719	\$129,719
Academy Achievers - Extended Learning Day	Hourly	1 Teacher x 200 hours x \$51.38	\$10,276
Academy Achievers - Outreach	Hourly	1 Teacher x 150 hours x \$51.38	\$7,707
Sociocultural Program - Extended Learning Day	Hourly	2 Teachers x 200 hours x \$51.38	\$20,552
Sociocultural Program - Extended Learning Day	Hourly	1 Administrators x 200 hours x \$65	\$13,000
Saturday Academy - Targeted Instruction	Hourly	8 Teachers x 15 Saturdays x 3 hours x \$51.38	\$18,497
Saturday Academy - Targeted Instruction	Hourly	1 Administrator x 15 Saturdays x 3 hours x \$65	\$2,925
Advanced Diploma Academy	Hourly	2 Teachers x 200 hours x \$51.38	\$20,552
Community Engagement - Family Night	Hourly	4 Teachers x 30 hours x \$51.38	\$6,166
Student Reflection Program	Hourly	1 Teacher x 150 hours x \$51.38	\$7,707
College Link Courses	Hourly	4 Teachers x 20 hours x \$51.38	\$4,110
College Link Courses	Hourly	4 Teachers x 20 hours x \$51.38	\$4,110
Professional Development, Planning and Data Teams	Hourly	30 Teachers x 100 hours x \$51.38	\$154,140

Professional Development, Planning and Data Teams	Hourly	5 Administrators x 100 hours x \$65	\$32,500
Professional Development, Planning and Data Teams	Substitutes	105 Substitutes x \$142.17 per day	\$14,928
Spring Collegiate Academy	Hourly	6 Teachers x 25 hours x \$51.38	\$7,707
Spring Collegiate Academy	Hourly	1 Administrator x 25 hours x \$65	\$1,625

SALARIES FOR SUPPORT STAFF

Subtotal - Code 16			\$43,729
Specific Position Title	Full-Time Equivalent	Annualized Rate of Pay	Project Salary
Academy Achievers - Extended Learning Day Support Staff	Overtime	1 Clerk x 200 hours x \$50	\$10,000
Academy Achievers - Extended Learning Day School Safety Officer	Overtime	1 Safety Officer x 200 hours x \$55	\$11,000
Family Welcome Center	Overtime	103 days x 55 hours x \$12.01/hr.	\$6,804
Sociocultural Program - Extended Learning Day Support Staff	Overtime	1 Clerk x 200 hours x \$50	\$10,000
Community Engagement - Family Night	Overtime	2 Safety Officers x 30 hours x \$55	\$3,300
Spring Collegiate Academy	Overtime	1 Safety Officer x 25 hours x \$55	\$1,375
Spring Collegiate Academy	Overtime	1 Clerk x 25 hours x \$50	\$1,250

PURCHASED SERVICES			
Subtotal - Code 40			\$682,700
Description of Item	Provider of Services	Calculation of Cost	Proposed Expenditure
In order to implement a Community School Model and Increase parental involvement, JCY will coordinate the Family Welcome Center.	JCY Westchester Community Partners	30 days x \$500 per day	\$15,000
WJCS will provide students with additional mental health services.	WJCS	50 days x \$1,000 per day	\$50,000
Spectrum Health Clinic will provide students with health services.	Spectrum Health Clinic Services	50 days x \$1,000 per day	\$50,000
Westchester Community College will offer college level classes to parents.	Westchester Community College	Estimated \$59.67 per credit	\$20,000
RHSECS will offer a catalogue of courses through SUNY Farmingdale, Mercy College, Westchester Community College and the College Board.	SUNY Farmingdale, Mercy College, Westchester Community College and the College Board.	Estimated \$250 per credit	\$50,000
College Visits	Transportation Department	Coach Bus \$1,000 x 5 visits	\$5,000
Professional Development with the purpose of increasing student engagement in the classroom.	Thinking Maps	8 days x \$2,500	\$20,000
Professional Development sessions will be offered throughout the year and an Intensive Institute will enable teachers to utilize the skills they learned to engage in curriculum refinement.	EdWorks	12 days x \$2,500	\$30,000
Online Courses	Apex Learning	5 courses x \$1,020	\$5,100

Students will receive the opportunity to take college level courses through Lehman College	Lehman College	Estimated \$250 per credit	\$75,000
Funds will be utilized to provide students with the appropriate resources for transportation	Westchester County	9,309 x \$2.75	\$25,600
Funds will be utilized to provide students with the appropriate resources for refreshments after school	Food Services	12 days x 80 students x \$10.42	\$10,000
YPIE will provide a part-time college advisor to assist students with the college process and coordinate trips to colleges and universities.	Yonkers Partners in Education (YPIE)	54 days x \$500	\$27,000
Interactive Health, LLC will assess the program implementation of the PSSG initiative. Both quantitative and qualitative process evaluation data will be collected and used to assess fidelity of implementation of the program and services as designed, determine whether the program and services are meeting the target population, and the extent to which various components are implemented.	Interactive Health, LLC - WBE Vendor	80 days x \$2,500 per day	\$200,000
Executive Coaching towards data driven effective leadership Professional Development on Creating more Engaging Lessons – modeling, workshops and classroom coaching Professional Development Workshop on Creating CTE courses - workshop and coachin	Brockport Research Institute - WBE Vendor	50 days x \$1,000 per day	\$50,000

Professional Development	M/WBE Vendor PD – T.B.D.	50 days x \$1,000 per day	\$50,000
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SUPPLIES AND MATERIALS

Subtotal - Code 45				\$305,010
	Description of Item	Quantity	Unit Cost	Proposed Expenditure
ART	IMAC 27 Inch w/5k Retina Display	4.00	\$1,749.00	\$8,996.00
ART	IMAC 21.5 Inch	8.00	\$999.00	\$7,992.00
ART	EPSON Perfection V550 Photo Scanner	2.00	\$170.00	\$340.00
ART	EPSON Power Lite 535W 3LCD Short Throw Projector	1.00	\$990.00	\$990.00
ART	SONY A6000	5.00	\$700.00	\$3,500.00
ART	BATTERIES	6.00	\$50.00	\$300.00
ART	Memory Cards	10.00	\$100.00	\$1,000.00
ART	HP Office Jet 7612 (wide format) model # G1X85A #B1H	1.00	\$179.00	\$179.00
ART	HP 932 XL/933 4 Color ink pack	5.00	\$112.00	\$560.00
ART	HP 933 XL Black	5.00	\$30.00	\$150.00
ART	AWT Portable Drying Rack 51310-1109 18X24" shelves	1.00	\$750.00	\$750.00
ART	Set of Extra Bumpers 51310-0000	1.00	\$62.00	\$62.00
ART	Exacto Heavy duty 41 pencil sharpener	2.00	\$171.99	\$343.98
ART	Stainless Steel light box 44LED 55348-1015	3.00	\$484.00	\$1,452.00
ART	Litebox Light Box	1.00	\$84.20	\$84.20
ART	Replacement Bulb	12.00	\$6.96	\$83.52
ART	Heavy Duty Wood Trimmer 15" cut	1.00	\$81.99	\$81.99
ART	Speedball Printers Press	1.00	\$357.00	\$357.00
ART	Acrylic Sheet 5X7"	4.00	\$2.13	\$8.52
ART	Acrylic Sheet 8X10"	4.00	\$4.31	\$17.24
ART	Acrylic Sheet 9X12"	4.00	\$5.79	\$23.16
ART	Blick Watercolor Paper	100.00	\$0.48	\$48.00
ART	Pre-Cut Foam Board Pkg of 4 Sheets 3/16" 11X14	20.00	\$3.79	\$75.80
ART	Class Pack of 36 sharpie black markers	1.00	\$27.65	\$27.65
ESOL	William Shakespeare: Readers Theatre	1.00	\$384.99	\$384.99
ESOL	The 20th Century: Readers Theatre	1.00	\$384.99	\$384.99
ESOL	Expanding and Preserving the Union	1.00	\$549.99	\$549.99
ESOL	World Cultures Through Time	1.00	\$579.80	\$579.80
ESOL	World History	1.00	\$769.99	\$769.99
ESOL	Life Science	1.00	\$599.99	\$599.99
Science	Second edition Friedland and Relyea 2015,2012 W.H.	30.00	\$121.90	\$3,657.00
Science	Nutrition for Life. Fourth Edition Janice J. Thompson and Melinda Manore.	80.00	\$102.40	\$8,192.00
Science	Physical Setting Chemistry Regents Review	150.00	\$2.50	\$375.00
Science	Physical Setting Regents Earth Science	150.00	\$2.50	\$375.00
Science	New York Prentice Hall Chemistry	1.00	\$130.00	\$130.00
English	Career Assessments & Their Meaning	1.00	\$22.95	\$22.95
English	Careers with Character Set of 18 Titles	1.00	\$413.10	\$413.10
English	Essential Careers Set of 27 Titles	1.00	\$673.38	\$673.38
English	Extreme Law Enforcement Set of 6 Titles	1.00	\$155.70	\$155.70

English	Siddhartha by Herman Hesse	60.00	\$11.73	\$703.80
English	The Namesake by Jhumpa Lahiri	60.00	\$19.50	\$1,170.00
English	Fade to Black by Alex Flinn	30.00	\$10.39	\$311.70
English	Beowulf DVD	1.00	\$6.99	\$6.99
English	Death of a Salesman DVD	1.00	\$24.95	\$24.95
English	William Shakespeare's The Merchant of Venice DVD	1.00	\$14.99	\$14.99
English	Streetcar Named Desire	1.00	\$26.99	\$26.99
English	Law And Order Jobs set of 6 Titles	1.00	\$167.64	\$167.64
English	Hamlet DVD	1.00	\$14.99	\$14.99
English	Great Gatsby DVD	1.00	\$28.98	\$28.98
English	To Kill a Mockingbird DVD	1.00	\$14.99	\$14.99
English	Romeo and Juliet	1.00	\$14.99	\$14.99
English	Macbeth	1.00	\$29.95	\$29.95
English	Much Ado About Nothing	1.00	\$14.99	\$14.99
English	Animal Farm	1.00	\$24.95	\$24.95
English	Diary of Anne Frank	1.00	\$14.99	\$14.99
English	Great Expectations	1.00	\$14.99	\$14.99
English	Joy Luck Club	1.00	\$9.99	\$9.99
English	Life of Pi	1.00	\$29.98	\$29.98
English	One Flew Over the Cuckoos Nest	1.00	\$39.95	\$39.95
English	Raisin in the Sun	1.00	\$14.99	\$14.99
English	Secret Life of Bees	1.00	\$14.99	\$14.99
English	Scarlet Letter	1.00	\$9.99	\$9.99
English	White Fang DVD	1.00	\$14.99	\$14.99
English	Fahrenheit 451 DVD	1.00	\$14.99	\$14.99
English	Speak DVD	1.00	\$9.99	\$9.99
English	Glass Menagerie DVD	1.00	\$24.99	\$24.99
English	Color Purple DVD	1.00	\$19.99	\$19.99
English	Book Thief	1.00	\$29.98	\$29.98
English	Staples	2.00	\$1,199.00	\$2,398.00
English	Epson Expression Home XP 400 all in one printer	2.00	\$79.99	\$159.98
English	Hamilton Buhl ZHH CD385/6SV Listening Center	1.00	\$182.99	\$182.99
English	Staples USB 2.0 Flash Drive, 16GB	100.00	\$3.99	\$399.00
English	Expo Dry-Erase Markers, Chisel Tip, Assorted 4 pk	22.00	\$6.49	\$142.78
English	Post-it Super Sticky 20"x23" Wall Pad, White 2/pk	10.00	\$56.99	\$569.90
English	Crayola Colored Pencils, 24 Box	20.00	\$3.00	\$60.00
English	A-Z-Art Classic Super Washable Finesline Markers, 10/Pack	20.00	\$2.49	\$49.80
English	Wall Mounted White Boards	12.00	\$177.88	\$2,134.56
English	LCD Projector	1.00	\$699.00	\$699.00
English	Laminating Machine	1.00	\$129.00	\$129.00
English	4 3/8" x 6 1/2" Pouches	1.00	\$9.99	\$9.99
English	9" x 11 1/2" Pouches	1.00	\$19.99	\$19.99
English	The Prentice Hall Reader by George Miller, 8th Edition	7.00	\$48.97	\$342.79
English	Breathing Underwater by Alex Flinn	30.00	\$9.99	\$299.70
English	1 Year subscription , Scientific American Mind Magazine	1.00	\$19.95	\$19.95

English	1 Year subscription to Consumers Report	1.00	\$30.00	\$30.00
English	1 Year subscription to NY Times: All Digital Access	1.00	\$341.64	\$341.64
English	2 Year subscription to Discover	2.00	\$29.95	\$59.90
English	1 Year subscription to Mental Floss Magazine	1.00	\$27.97	\$27.97
English	School License for unlimited 350 plus	350.00	\$18.00	\$6,300.00
English	For 117 individual licenses plus teacher	1.00	\$2,100.00	\$2,100.00
Social	Combo Pack Ink 2black, 1 color HP 5650	10.00	\$91.99	\$919.90
Social	Epson EX5220 Projector for computer	1.00	\$399.99	\$399.99
Social	Honewell 8,000 BTU MF08CESBB	1.00	\$299.99	\$299.99
Social	HP Officejet Pro e-all-in-one Printer 8610	1.00	\$49.10	\$49.10
Social	Post it super sticky 20x23	10.00	\$56.99	\$569.90
Social	HP 951 Color Ink Cartridges C/M/Y Combo pack CR314FN	5.00	\$56.99	\$284.95
Social	HP950 Black Ink Cartridge CN049AN	5.00	\$26.99	\$134.95
Social	Quartet @ Tin Square Magnetic dry erase boards, frameless white 12X12.	25.00	\$11.39	\$284.75
Social	Quartet @ Ultima Double-Sided portable dry-erase easel	1.00	\$129.99	\$129.99
Social	Expo @ Low odor dry erase markers 12pk	5.00	\$12.00	\$60.00
Social	30X25 Post it Easel Paper super sticky	10.00	\$69.99	\$699.90
Social	11X11 Post It Big Pad (Yellow)	10.00	\$7.99	\$79.90
Social	11X11 Post It Big Pad (Limeade)	10.00	\$7.49	\$74.90
Social	22X22 Post-It Bid Pad (Blue)	10.00	\$19.99	\$199.90
Social	827 Scholar Craft Series Combo Desk w/oversized desktop	30.00	\$88.00	\$2,640.00
Social	EDGE DiskGO C2 - USB Flash Drives - 4 GB	400.00	\$3.25	\$1,300.00
Social	18X24 Desks Red/Grey Nebula	15.00	\$138.45	\$2,076.75
Social	18X24 Desks Blue/Green Nebula	15.00	\$138.45	\$2,076.75
Social	Colored Markers 200ct	1.00	\$93.99	\$93.99
Social	Colored pencils 462 ct	1.00	\$89.99	\$89.99
Social	Crayons 800 ct	1.00	\$67.99	\$67.99
Social	Washable broad tip markers - class pack	2.00	\$79.99	\$159.98
Social	Write & Wipe broad tip markers - class pack	2.00	\$34.99	\$69.98
Social	HP951 color ink cartridge	5.00	\$59.99	\$299.95
Social	HP950 Black Ink Cartridge	5.00	\$26.99	\$134.95
Social	Brother PTH100 Easy handheld label maker	1.00	\$34.99	\$34.99
Social	Post it super sticky 20X23 Easel	10.00	\$34.99	\$349.90
Social	Book rings	10.00	\$4.09	\$40.90
Social	Educational Insights wireless eggsperts	3.00	\$66.62	\$199.86
Social	Apple 30-pin digital AV Adapter	4.00	\$39.99	\$159.96
Social	Cyber Acoustics portable speakers	1.00	\$25.99	\$25.99
Social	Rainbow Sentence Scripts	3.00	\$4.99	\$14.97

Social	The Twentieth Century: The US & World 1895-1991	1.00	\$74.99	\$74.99
Social	American History : On Introduction	1.00	\$119.99	\$119.99
Social	Freedom to Move: Immigration & Migration	1.00	\$99.99	\$99.99
Social	The Foundry Era	1.00	\$99.99	\$99.99
Social	Alexander Hamilton & The Creation of the US	1.00	\$99.99	\$99.99
Social	Slavery & Abolition	1.00	\$99.99	\$99.99
Social	Abraham Lincoln	1.00	\$98.99	\$98.99
Social	American West	1.00	\$99.99	\$99.99
Social	Ken Burns: The Civil War (DVD)	1.00	\$84.99	\$84.99
Social	Gandhi (DVD)	1.00	\$13.71	\$13.71
Social	The Mission (DVD)	1.00	\$25.50	\$25.50
Social	The Men Who Built America (DVD)	1.00	\$18.46	\$18.46
Social	Man Kind: The Story of All of Us (DVD)	1.00	\$18.46	\$18.46
Social	The Plague (DVD)	1.00	\$9.07	\$9.07
Social	Thirteen Days (DVD)	1.00	\$13.60	\$13.60
Math	Mathematics Teacher (Grades 8-14) membership	1.00	\$90.00	\$90.00
Math	NY Coach Mastering the HS Standards - Algebra (25)	2.00	\$450.00	\$900.00
Math	NY Coach Mastering the HS Standards - Geometry (25)	2.00	\$450.00	\$900.00
Math	NY Coach Mastering the HS Standards - Algebra II (25)	2.00	\$450.00	\$900.00
Math	Ny Coach Master HS Standards Algebra Teacher Manual	2.00	\$29.99	\$59.98
Math	NY Coach Master HS Standards Geometry Teacher Manual	2.00	\$29.99	\$59.98
Math	NY Coach Master HS Standards Algebra II Teacher Manual	2.00	\$29.99	\$59.98
Math	Course Site License Common Core Geometry	1.00	\$250.00	\$250.00
Math	Course Site License Common Core Algebra	1.00	\$250.00	\$250.00
Math	Course Site License Common Core Algebra 2	1.00	\$250.00	\$250.00
Math	Course Site License Common Core Geometry for (June Subscription)	1.00	\$250.00	\$250.00
Math	Course Site License Common Core Algebra for (June Subscription)	1.00	\$250.00	\$250.00
Math	Course Site License Common Core Algebra 2 for (June Subscription)	1.00	\$250.00	\$250.00
Math	Course Site License Common Core Geometry for (August Subscription)	1.00	\$250.00	\$250.00
Math	Course Site License Common Core Algebra for (August Subscription)	1.00	\$250.00	\$250.00
Math	Course Site License Common Core Algebra 2 for (August Subscription)	1.00	\$250.00	\$250.00
Math	Common Core High School: Algebra Secrets	2.00	\$19.99	\$39.98

Math	Common Core High School: Function Secrets	2.00	\$19.99	\$39.98
Math	Common Core High School: Geometry Secrets	2.00	\$19.99	\$39.98
Math	Common Core High School: Number and Quantity Secrets	2.00	\$19.99	\$39.98
Math	Common Core High School: Statistics and Probability	2.00	\$19.99	\$39.98
Math	Common Core High School: Algebra Flashcard Study System	2.00	\$19.99	\$39.98
Math	Common Core High School: Geometry Flashcard study system	2.00	\$19.99	\$39.98
Math	Common Core High School: Number and Quantity Flashcard study system	2.00	\$19.99	\$39.98
Math	Common Core High School: Functions Flashcard Study System	2.00	\$19.99	\$39.98
Math	Common Core High School: Probability and statistics flashcard study system	1.00	\$18.99	\$18.99
Math	CALC SAFE Storage for TI 84 Graphing Calculators	6.00	\$76.00	\$456.00
Math	Math Graffiti/ Trigonometry/ Pre-Calculus Visual Word Wall	2.00	\$75.95	\$151.90
Math	Common Core Collaborative Cards - Number System	1.00	\$24.95	\$24.95
Math	Common Core Collaborative Cards - Expressions & Equations	1.00	\$24.95	\$24.95
Math	Common Core Collaborative Cards - Geometry	1.00	\$24.95	\$24.95
Math	Dice Activities for Mathematical Thinking	1.00	\$25.95	\$25.95
Math	Dice Activities for Algebraic Thinking	1.00	\$26.95	\$26.95
Math	Working with Algebra Tiles	2.00	\$16.95	\$33.90
Math	Algebra Lab Gear Student Pair Set	1.00	\$17.95	\$17.95
Math	Exploring Algebra and Pre-Algebra with Manipulatives	1.00	\$18.95	\$18.95
Math	Visual Thinking Activities	1.00	\$19.95	\$19.95
Math	Visual Math Dictionary	6.00	\$20.95	\$125.70
Math	6 inch clear plastic ruler	300.00	\$0.60	\$180.00
Math	Flipside XY Axis/Plain Dry Erase	18.00	\$45.49	\$818.82
Math	Staples Pre-Sharpended #2 Pencils - 4 dozen	10.00	\$9.99	\$99.90
Math	Dixon Pre-Sharpended Golf Pencils - 144	5.00	\$6.00	\$30.00
Math	Algebra 1 (Common Core) Combo Pack	200.00	\$4.95	\$990.00
Math	Geometry (Common Core) Combo Pack	100.00	\$4.95	\$495.00
Math	Algebra 2 (Common Core) Combo Pack	100.00	\$4.95	\$495.00
Math	Algebra 1 (Common Core) Combo Pack - JUNE	200.00	\$4.95	\$990.00
Math	Geometry (Common Core) Combo Pack - JUNE	100.00	\$4.95	\$495.00
Math	Algebra 2 (Common Core) Combo Pack - JUNE	100.00	\$4.95	\$495.00
Math	Algebra 1 (Common Core) Combo Pack - AUGUST	200.00	\$4.95	\$990.00

Math	Geometry (Common Core) Combo Pack - AUGUST	100.00	\$4.95	\$495.00
Math	Algebra 2 (Common Core) Combo Pack - AUGUST	100.00	\$4.95	\$495.00
Art	2 ECOLOR Scan Click Print Full Color Poster Printer	2.00	\$2,195.00	\$4,390.00
Security	Digital/analog model hand held portable walkie talkies	30.00	\$451.50	\$13,545.00
Music	Electric Keyboards and stands	20.00	\$285.00	\$5,700.00
Music	Weighted electric keyboard	1.00	\$425.00	\$425.00
Music	Mellophones	4.00	\$699.00	\$2,796.00
Music	Baritone Horns	4.00	\$559.00	\$2,236.00
Music	Sets of Nylon Guitar Strings	25.00	\$12.95	\$323.75
Tech	Smartboard	10.00	Smartboard=4,000 wall mount=550 instalation=750	\$53,000
TV	TV Studio		Items under \$5,000	\$131,973

TRAVEL EXPENSES			
Subtotal - Code 46			\$15,000
Position of Traveler	Destination and Purpose	Calculation of Cost	Proposed Expenditures
School Administration, Faculty and District Administration	To attend NYSED, National Technical Assistance Meetings, summer institutes and partner workshops/seminars	\$5,000 depending on conference or seminar	\$15,000

[illegible]

INDIRECT COST		
A.	Modified Direct Cost Base -- Sum of all preceding subtotals (codes 15, 16, 40, 45, 46, and 80 and excludes the portion of each subcontract exceeding \$25,000 and any flow through funds)	\$1,448,628
B.	Approved Restricted Indirect Cost Rate	2.80%
C.	Subtotal - Code 90	\$40,562

For your information, maximum direct cost base = \$1,806,228.63

To calculate Modified Direct Cost Base, reduce maximum direct cost base by the portion of each subcontract exceeding \$25,000 and any flow through funds.

EQUIPMENT			
Subtotal - Code 20			\$35,000
Description of Item	Quantity	Unit Cost	Proposed Expenditure
Hawkeye Wheel Alignment Machine	1.00	\$ 25,000.00	\$25,000.00
New 5'4" Baby Grand Piano in ebony polish finish. Includes all shipping, set up, first tuning, quilted cover and dolly.	1.00	\$ 10,000.00	\$10,000.00

BUDGET SUMMARY

SUBTOTAL	CODE	PROJECT COSTS
Professional Salaries	15	\$582,422
Support Staff Salaries	16	\$43,729
Purchased Services	40	\$682,700
Supplies and Materials	45	\$305,010
Travel Expenses	46	\$15,000
Employee Benefits	80	\$177,368
Indirect Cost	90	40561 \$40,562
BOCES Services	49	
Minor Remodeling	30	
Equipment	20	\$35,000
Grand Total		\$1,881,790

CHIEF ADMINISTRATOR'S CERTIFICATION

By signing this report, I certify to the best of my knowledge and belief that the report is true, complete, and accurate, and the expenditures, disbursements, and cash receipts are for the purposes and objectives set forth in the terms and conditions of the Federal (or State) award. I am aware that any false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to criminal, civil, or administrative penalties for fraud, false statements, false claims, or otherwise. (U.S. Code Title 18, Section 1001 and Title 31, Sections 3729-3730 and 3801-3812).

11/12/15
Date

Signature

Dr. Michael Yazurlo, Superintendent of Schools
Name and Title of Chief Administrative Officer

Agency Code: 662300-01-0000

Project #: 0564-16-0021

Contract #:

Agency Name: Yonkers City School District

FOR DEPARTMENT USE ONLY

Funding Dates:

7/1/2015 6/30/2016
From To

Program Approval:

Date:

11/13/15

Fiscal Year

First Payment

16

470447

Voucher #

First Payment

Finance: Logged

12/7/15

Approved

MIR

RECEIVED

DEC 01 2015

GRANTS FINANCE

The University of the State of New York
THE STATE EDUCATION DEPARTMENT

PROPOSED AMENDMENT FOR A
FEDERAL OR STATE PROJECT
FS-10-A (03/15)

☐ = Required Field

YPS CODE: 2015-2016 PSSG - 10728

Agency Name:	Yonkers City School District	Westchester
Mailing Address:	One Larkin Center - 4th Floor	County
	Yonkers, New York 10701	

Agency Code: 662300010000

Project Number: 0564-16-0021

Amendment #: 001

Contract #:

Contact Person: Roseann Collins-Judon

Tel: (914) 376-8086

E-mail Address: RCOLLINS-JUDON@YonkersPublicSchools.org

INSTRUCTIONS

- Submit the original and two copies directly to the same State Education Department office where budget was mailed. DO NOT submit this form to Grants Finance.
- This form need only be submitted for budget changes that require prior approval as follows:
 - Personnel positions, number and type
 - Equipment items having a unit value of \$5,000 or more, number and type
 - Minor remodeling
 - Any increase in a budget subtotal (professional salaries, purchased services, travel, etc.) by more than 10 percent or \$1,000, whichever is greater
 - Any increase in the total budget amount.
- Amendment # at top of this page must be completed.
- If extra room is needed for explanations, expand the rows using the row breaks on the left.
- Do not use the FS-10-A for requesting a project extension.

CHIEF ADMINISTRATOR'S CERTIFICATION

By signing this report, I certify to the best of my knowledge and belief that the report is true, complete, & accurate, & the expenditures, disbursements, & cash receipts are for the purposes & objectives set forth in the terms & conditions of the Federal (or State) award. I am aware that any false, fictitious, or fraudulent information, or the omission of any material fact may subject me to criminal, civil, or administrative penalties for fraud, false statements, false claims, or otherwise. (U.S. Code Title 18, Section 1001 and Title 31, Sections 3729-3730 and 3801-3812).

Date: 3/15/16

Signature: [Signature]

FOR DEPARTMENT USE ONLY

Program Approval: [Signature]

Date: 3-30-16

Finance: 4/15/16 TG

Logged

4/15/16
Approved

SUBTOTAL	EXPLANATION same detail as required in FS-10 Budget)	(Provide	SUBTOTAL INCREASE	SUBTOTAL DECREASE
15 - Professional Salaries	Due to the delayed hiring of staff the salary expenses were less than originally requested (reduced by \$71,939). Existing funds will be shared with feeder schools for professional development initiatives for which include Generation Ready, Brockport and Ed Consortium workshops. Substitute teachers at the contractual rate will also be shared for class coverage when teachers are required to participate in professional development opportunities.			\$71,939
16 - Support Staff Salaries	Additional funds have been requested for civil service overtime to support the professional development initiatives and after school programs.		\$25,000	
40 - Purchased Services	Professional development consultants will be shared with feeder schools which include Brockport and Ed Consortium. Additional funds have been requested for Generation Ready (20 days x \$1,700).		\$34,000	
45 - Supplies & Materials	Additional supplemental instructional materials (additional Calculators \$2,085 and 10 SmartBoards x \$4,145).		\$43,535	
46 - Travel Expenses	N/A			
80 - Employee Benefits	Requested adjustment in fringe benefits due to the decrease in professional salaries.			\$23,850
90 - Indirect Cost	N/A			
49 - Boces Services	N/A			
30 - Minor Remodeling	N/A			
20 - Equipment	Removed Baby Grand Piano			\$6,746
Total Increase or Decrease:		(+) \$	✓ 102,535	(-) \$ ✓ 102,535
Net Increase or Decrease:		\$	0 ✓	
Previous Budget Total:		\$	1,881,790 ✓	
Proposed Amended Total:		\$	1,881,790 ✓	

ENTER BUDGET >



Persistently Struggling Schools Grant (PSSG) Application
Education Law 211-f and Commissioner's Regulation 100.19
Funding Period: July 1, 2015 – March 31, 2017

Appendix A:
Persistently Struggling Schools Grant Application
For Planning Funds

COVER PAGE

School: J.H.S. 080 The Mosholu Parkway	BEDS Code: 321000010080
Address: 149 East Mosholu Parkway	
Program Contact Person: Sharon Rencher, Senior Advisor to the Chancellor State/Federal Education Policy and School Improvement Programs	Telephone: [REDACTED]
Address of Contact: [REDACTED]	
E-mail Address: SRenche@schools.nyc.gov	Fax: (212) 374-5760

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, and that the requested budget amounts are necessary for the implementation of this project.

It is understood by the applicant that this application constitutes an offer and, if accepted by the NYS Education Department or renegotiated to acceptance, will form a binding agreement. It is also understood by the applicant that immediate written notice will be provided to the grant program office if at any time the applicant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

Authorized Signature of Chief School/Administrative Officer (in blue ink)

Typed Name:

Sharon Rencher, Senior Advisor to the Chancellor
State/Federal Education Policy and School
Improvement Programs
New York City Department of Education

Date:

11/12/2015

Directions: Superintendent Receivers can request planning funds (for a period of three months), equal to no more than 10% of a school's Persistently Struggling Schools Grant allocation, to be used for planning activities. To receive the planning funds, Superintendent Receivers will need to provide the Department with a school-specific budget (FS-10) and a completed the Persistently Struggling Schools Grant Planning Funds Application for each identified school.

Part I: Planning Funds Requirement Narrative

1. Please describe how the Superintendent Receiver will conduct a needs-assessment of the school and the community to determine what issues must be addressed to positively impact student achievement. If the Superintendent Receiver is choosing to use the results of the school's most recent DTSDE review (either district led or led by an Integrated Intervention Team) as the needs assessment, please provide evidence that this review has taken place within the last year. Provide information on the timeline for completing the needs assessment, identify the person(s) responsible for planning and conducting the needs assessment, and describe how the results of the needs assessment will be shared with the CET and the school community.

The New York City Department of Education (NYCDOE) conducted needs-assessments in spring 2015 for all of our Renewal Schools, which include all of our Persistently Struggling Schools except for 09X064, which is closing. The needs-assessment process was conducted with the American Institutes for Research (AIR). We will be conducting a similar process with 09X064; in addition, 09X064 had a DTSDE visit within the last year on January 28-29, 2015 and has a published report which is listed [here](#) on SED's website. The needs assessment for 09X064 will inform what is needed for students even after the school closes.

Overview

The School Renewal Assessments laid the groundwork for significant gains in student achievement through use of data to determine each school's strengths and needs across the NYCDOE Capacity Framework Elements, as well as contributed data towards each school's efforts to develop Community School models in the 2015-16 school year. Individual schools received collaboratively developed reports of findings, final reports with customized recommendations, and research-based tools and materials that they are using to support their action planning and improvement processes. Because the School Renewal Assessments are based on a highly collaborative and supportive process, they are helping to transform and unite individual school teams, and result in local ownership of the data and commitment to the change process.

Approach

The School Renewal Needs Assessment is a research-based process in which quantitative and qualitative data are collected from the school community, against an empirically-based framework – in this case, the Capacity Framework Elements. While all Framework elements are covered in this review, given the critical role effective instruction plays in student achievement, there is a special focus on examining the Common Core-aligned instructional program in each school.

Data Collection

With support from the American Institutes of Research (AIR), the NYCDOE Central office included the following data sources in the School Renewal Needs Assessments:

- **Classroom Visits:** A visit to every core content classroom across the school, utilizing the research-based Classroom Assessment Scoring System (CLASS) instrument to gather data on instructional practice (<http://teachstone.com/>).
- **Surveys of Enacted Curriculum:** A research-based and nationally validated online survey completed by classroom teachers that collects data on alignment of classroom instruction to content standards in English language arts and mathematics (<http://www.seconline.org/>).
- **Interviews:** Qualitative data gathered from teachers, instructional coaches or leaders, principals, school counselors, and parent coordinators/liaisons.
- **Document Review:** Review of school plans and documents related to the Capacity Framework elements. AIR does not evaluate individual documents, but gathers and summarizes data to further illuminate individual school survey, interview, and focus group feedback.
- **Surveys:** Survey data generated by the new NYCDOE survey, implemented in January 2015, as well as a brief online survey developed by AIR for community partners.
- **Focus Groups:** Up to four focus groups per school, including two for family members in all schools and up to two more for students in secondary schools.

As this is a school-level assessment and not in any way an assessment of individual teacher performance, all data is aggregated at the school level, with grade-level breakouts available only in schools with at least three teachers in each grade level so that individual teacher identity is not compromised.

Co-Interpretation

Once data were aggregated and analyzed, a series of data reports were delivered for co-interpretation with a diverse group of school community stakeholders identified by the principal, School Leadership Team (SLT), and superintendent—including classroom teachers, school and district administrators, parents, students (as appropriate), and Community-Based Organization (CBO) partners—who collectively determined key findings that point to strengths the school may leverage and challenges the school faces in implementing the Capacity Framework elements school-wide. From these key findings, each school received individualized final reports with research-based recommendations for improvement, which schools utilize in action planning for the 2015-16 school year. In addition to creating a sense of collegiality and a spirit of collaborative inquiry, the co-interpretation process gave schools ownership of the data and an active voice in determining not only the areas in which they need to improve but also the strengths already present that allow them to tackle those improvements.

Following the co-interpretation meetings held at each school, the school is now convening their Community Engagement Team (CET) and the needs-assessment results will be shared and revisited at their regular meetings. CETs are revisiting the findings from the needs assessments, revisiting their SCEP, SIG, or SIF plans, and determining how the PSSG funding can support school improvement strategies outlined in the plans.

2. Please describe how the Superintendent Receiver is planning to engage local stakeholders (the CET, community based organizations, etc.) in the creation of a new SCEP or revision of an existing Department approved plan. Please include a list of engagement activities, a timeline for engagement, and identify the person(s) responsible for planning and conducting the engagement activities.

The NYCDOE has begun engaging local stakeholders in the creation of a revised SCEP, SIG or SIF plan, as outlined in the previously submitted Chancellor's Receivership Community Engagement Plan, and is submitting these plans to SED. Acting on behalf of the Chancellor as School Receiver, the following NYCDOE offices coordinate their efforts to support the implementation of receivership interventions:

- The Office of State/Federal Education Policy and School Improvement Programs, under the leadership of Senior Advisor to the Chancellor Sharon Rencher, is responsible for coordinating with other Central offices to guide the implementation and progress monitoring of school receivership requirements.
- NYCDOE Community and High School Superintendents, with support from their Directors of School Renewal (DSRs), are responsible for supervising principals and CETs in the implementation of school improvement plans and receivership interventions.
- The Office of Renewal Schools, under the leadership of Executive Superintendent Aimee Horowitz, and the Office of Community Schools, under the leadership of Executive Director Chris Caruso, are responsible for providing guidance and professional development to superintendents, DSRs, and schools to support the effective implementation of Renewal School/receivership interventions.

Below are two sections included in our Chancellor's Receivership Community Engagement Plan, with updates, on engagement activities and associated timelines. Additional information follows on activities after the parent notification and public hearings.

Process for Stakeholder Consultation in the Development of the Community Engagement Plan

- Beginning in July 2015, the NYCDOE engaged in regular consultation with the Chancellor's Parent Advisory Council (CPAC) and with the leadership of its collective bargaining units representing teachers—United Federation of Teachers (UFT), and school supervisors—Council of School Supervisors and Administrators (CSA) regarding the construct of receivership and related requirements.
- In early September, the NYCDOE presented a draft of its formalized community engagement plan, including the schedule and protocols for conducting the public hearings at each of the 62 struggling and persistently struggling schools, to the leaders of these stakeholder groups for their input and feedback.
- Finalized drafts were shared with these stakeholder groups prior to submission to the Commissioner for approval.

Parent Notification and Public Hearings

- During the first week of the 2015-16 school year, written notice was sent to the parents of, or persons in parental relation to, all students attending a struggling or a persistently struggling school that the school has been so designated and may be placed into receivership.

- The NYCDOE conducted a public hearing for 61/62 of the identified Struggling and Persistently Struggling Schools by September 30, 2015 (one hearing was rescheduled to mid-October due to extraordinary circumstances), in accordance with Education Law section §211-f, for the purposes of discussing the performance of the school and the concept of receivership, and soliciting input through public engagement regarding recommendations for improving the school.
- These public hearings were held at each school from September 21 through September 30, 2015, inclusive of the following dates: Monday, 9/21; Friday, 9/25; Saturday, 9/26; Monday, 9/28; Tuesday, 9/29, and Wednesday, 9/30. Thursday, 10/15 was the date of the rescheduled public hearing.

Once the school's hearing was held, a summary of recommendations was provided to the school based on commentary from speakers captured in a transcript of the public hearing, a recommendations form provided to participants at the hearing, an online survey on our NYCDOE website, any email feedback received to our receivership@schools.nyc.gov email address, or by mail. The following activities were shared with the school with school-specific deadlines for Superintendent and Principal follow-up:

- Deadline for the public to submit comments and school improvement recommendations.
- Summary of public comments forwarded by Central Office to the Principal for review by the SLT/CET in making their school improvement recommendations to the Superintendent.
- SLT/CET meets to review public input and finalize school improvement recommendations.
- SLT/CET submits school improvement recommendations to the Superintendent.
- Superintendent, acting on behalf of the Chancellor as Receiver:
 - Determines which CET recommendations will be accepted and incorporated into the SCEP/RSCEP/SIG-SIF Plan;
 - Determines, and justifies, which recommendations will not be implemented; and
 - Shares with the CET the decision making regarding which of the CET's school improvement recommendations will, and will not, be accepted and incorporated into the SCEP/RSCEP/SIG-SIF Plan.
- CET revises the SCEP/RSCEP/SIG-SIF Plan to reflect the additional school improvement interventions accepted by the Superintendent, and resubmits the SCEP/RSCEP/SIG-SIF Plan to DOE and SED via iPlan.
- DOE Central Office confirms the resubmission of SCEP/RSCEP/SIG-SIF Plan in iPlan.
- Deadline for selection of Demonstrable Improvement Metrics.

The engagement activities with local stakeholders will inform how the NYCDOE and its schools leverage the PSSG resources in support of the revised SCEP, SIG, or SIF plan.

3. Please describe how the Superintendent Receiver will begin conversations with local collective bargaining units regarding any elements of the SCEP or other department-approved plan that require changes to the collective bargaining agreement. Please include a timeline for engagement with local collective bargaining units, and identify the person(s) responsible for planning and conducting the engagement activities.

As discussed above and as part of the Chancellor's Receivership Community Engagement Plan, beginning in July 2015, the NYCDOE engaged in regular consultation with the leadership of its collective bargaining units representing teachers – United Federation of Teachers (UFT) – and school supervisors – Council of School Supervisors and Administrators (CSA) – regarding the construct of receivership and related requirements. NYCDOE is considering any elements of the revised SCEP, SIG, or SIF plans that require changes to the collective bargaining agreements, for example mandatory participation of all school staff in summer professional development activities.

The timeline for engagement with local collective bargaining units is the 2015-16 school year for implementation in the 2016-17 school year. Larry Becker, NYCDOE CEO of Human Resources and Labor, is planning and conducting the engagement activities with UFT and CSA. Following our engagement process, the NYCDOE will determine what changes may need to be made to collective bargaining agreements.

Part II: Description of Planning Activities

Directions: Please complete the chart below. Add rows to the chart as necessary to list and describe all activities proposed under the planning grant.

- **Proposed Activity:** Please provide a brief description describing the planning activity.
- **Progress Monitoring Process and Timeline:** The school must provide information on the specific timeline for implementation of the activity, and describe how it will monitor implementation and impact.
- **Budgeted Amount and Budget Code:** The school must provide the amount of PSSG funding (no more than 10% of total PSSG allocation) that will be used to support the activity, and the FS-10 code.

Proposed Activity	Progress Monitoring Process and Timeline	Budgeted Amount and Budget Code
<u>Activity</u> Public hearings to inform the school community about the purpose of receivership and to solicit recommendations on changes at the school-level to improve student outcomes.	Central-based staff as well as superintendent teams were present at the public hearings. The feedback from the public hearings is utilized by the CET to make adjustments to the SCEP, SIG, or SIF plan. This work is monitored by the Office of State/Federal Education Policy & School Improvement Programs. 61 out of 62 hearings took place in September 2015; one rescheduled hearing took place in mid-October.	\$538 - Purchased Services (Code 40) \$976 - Purchased Services (Code 40) \$103 - Purchased Services (Code 40) \$1829 - Purchased Services (Code 40) \$17 - Purchased Services (Code 40) \$2300 - Purchased Services (Code 40) \$114 - Supplies & Materials (Code 45) \$105 - Travel Expenses (Code 46) \$102 - Travel Expenses (Code 46)

Activity

(1) CETs meet to review public input from the hearings and formulate recommendations to provide to the Chancellor (Superintendent) as the Receiver.

(2) Throughout the planning process, CETs receive professional development support to assist them in using the demonstrable improvement metrics and revised plans to assess student achievement and progress towards their goals.

(3) The CET utilizes the recommendations from the hearings and the Chancellor (Superintendent) as the Receiver to make changes to the SCEP, SIG, or SIF plan. The CET will support the development of the PSSG activities to improve student outcomes.

Principals hold CET meetings; Superintendent representative(s) serve on the CET. Superintendents review CET revisions. During the planning process, CET meetings inclusive of the principal will be held bi-monthly to support the proposed planning activities.

The quarterly reporting process is the progress monitoring process. The next report is due February 1, 2016.

\$4,260 - Salaries for Professional Staff (Code 15)
\$547 - Salaries for Professional Staff (Code 15)
\$547 - Salaries for Professional Staff (Code 15)
\$1200 - Purchased Services (Code 40)
\$220 - Travel Expenses (Code 46)
\$1000 - Supplies & Materials (Code 45)
\$1076 - Purchased Services (Code 40)
\$206 - Purchased Services (Code 40)
\$68 - Purchased Services (Code 40)
\$210 - Travel Expenses (Code 46)

UPDATE D
- received
3-28-16

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

RFP # and Title: Persistently Struggling Schools Grant (PSSG)

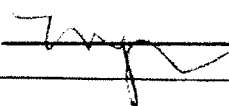
Applicant Name: J.H.S. 080 The Mosholu Parkway (10X080)

In accordance with the provisions of Article 15-A of the NYS Executive Law, S 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	
Mary Doyle	
Typed or Printed Title/Position of Authorized Representative of the Firm	
Executive Director, State Portfolio Planning	
Signature/Date	
 3/2/2016	

M/WBE Documents

M/WBE Goal Calculation Worksheet
(This form should reflect Multi-Year Budget Summary Totals)

RFP # and Title: Persistently Struggling Schools Grant (PSSG)**Applicant Name:** J.H.S. 080 The Mosholu Parkway (10X080)

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

Please complete the following table to determine the dollar amount of the M/WBE goal for

	Budget Category	Amount budgeted for items excluded from M/WBE calculation	Totals
1	Total Budget		\$ 1,358,921
2	Professional Salaries	\$ 456,257	
3	Support Staff Salaries	\$ -	
4	Fringe Benefits	\$ 68,729	
5	Indirect Costs	\$ 45,385	
6	Rent/Lease/Utilities	\$ -	
7	Sum of lines 2, 3, 4, 5, and 6		\$ 570,370
8	Line 1 minus Line 7		\$ 788,551
9	M/WBE Goal percentage (30%)		30%
10	Line 8 multiplied by Line 9 =MWBE goal amount		\$ 236,565.26

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: J.H.S. 080 The Moshulu Parkway (10X080)
Address: 149 EAST MOSHULU PKWY
City, State, Zip: BRONX, NY 10467

Telephone/Fax: 718-405-6300 / Erolanco2@schools.nyc.gov
Federal ID No.: 13-6400434
RFI No.: RFP Number: PSS6

Certified M/WBE	Classification (check all applicable)	Description of Work (Subcontracts/Supplies/Services)	Accumulated Dollars Value of
NAME: Keleher & Associates, LLC. ADDRESS: 3220 N ST NW PMB249 CITY, ST, ZIP: WASHINGTON, DC 20007 PHONE/E-MAIL: (202) 309-4596 / JULIA.KELEHER@KELEHERASSOCIATES.COM FEDERAL ID No. 141966413	NYS ESD Certified M/WBE _____ WBE _____ X _____	The school will partner with vendor Keleher & Associates LLC for receipt of independent evaluation services. Vendor Keleher & Associates, LLC will perform work tasks may include but are not limited to: on-site visits to schools implementing the PSSG and other NYCDOE offices; the development and administration of surveys; interviews with stakeholders e.g. parents/guardians, community-based organization staff, school staff, etc.; engaging in ongoing communication with NYCDOE project leads; analysis and summary of data findings; and the creation of written reports. The assessment of program implementation will begin as soon as possible and continue on an on-going basis throughout the life of the PSSG. As assessment of program implementation will occur in two parts to assess year one (12/29/2016-6/30/2016) and year two (7/1/2016-3/31/2017) of the PSSG. A report of program implementation will be produced to assess each period. The reports will be shared with the Receiver to inform implementation. (\$200 per hour x 382.34 hours = \$76,467).	Year 1 \$ 76,467 Year 2 \$ 76,467 Year 3 Year 4 Year 5 TOTAL \$ 152,934

PREPARED BY (Signature) _____ DATE 3/2/2016

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

NAME AND TITLE OF PREPARED: Mary Doyle, Executive Director/Phyllis Steele, Fiscal Director
TELEPHONE/E-MAIL: 212-374-2762 / mdoyle5@schools.nyc.gov / psteele2@schools.nyc.gov

DATE:

M/WBE 100

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

**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: J.H.S. 080 The Mosholu Parkway (10X080) Federal ID No.: 13-6480434
Address: 149 EAST MOSHOLU PKWY Phone No.: 718-405-6300
City, State, Zip: BRONX, NY 10467 E-mail: EPolanco2@schools.nyc.gov

Signature of Authorized Representative of Bidder/Applicant's firm
Date: 3/2/2016
Print or Type Name and Title of Authorized Representative of Bidder/Applicant's Firm
Enmanuel Polanco, Principal

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

Name of M/WBE: Keleher & Associates, LLC Federal ID No.: #
Address: 3220 N ST NW PMB249 Phone No.: (202) 309-8595
City: WASHINGTON State: DC Zip Code: 20007 E-mail: JULIA.KELEHER@KELEHERASSOCIATES.COM

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

The school will partner with vendor Keleher & Associates LLC for receipt of independent evaluation services. Vendor Keleher & Associates, LLC will perform work tasks that are not limited to: on-site visits to schools implementing the PSSG and other NYCDOE offices; the development and administration of surveys; interviews with stakeholders e.g. parents/guardians, community-based organization staff, school staff, etc.; engaging in ongoing communication with NYCDOE project leads; analysis and summary of data findings; and the creation of written reports. The assessment of program implementation will begin as soon as possible and continue on an on-going basis throughout the life of the PSSG. As assessment of program implementation will occur in two parts to assess year one (12/29/2015-6/30/2016) and year two (7/1/2016-

DESIGNATION: _____ MBE Subcontractor _____ WBE Subcontractor _____ MBE Supplier _____ X _____ 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 (M/WBEO).

☒ The undersigned has applied to New York State's Division of Minority and Women-Owned Business Development (M/WBEO) 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 MYS EDUCATION DEPARTMENT.

The estimated dollar amount of the agreement:

\$ 157,934

Date:

2/29/16

Signature of Authorized Representative of M/WBE Firm

JULIA KALEXER

Printed or Typed Name and Title of Authorized Representative

EQUAL EMPLOYMENT OPPORTUNITY - STAFFING PLAN

Applicant's Name/Address: J.H.S. 080 The Mosholu Parkway (100080)
 Name of M/WBE: Kehler & Associates, LLC
 Address: 3220 N ST NW PMB249
 City, State, Zip: WASHINGTON, DC 20007

Telephone/Fax: (202) 398-8595 / J.H.S. Kehler & Associates, LLC
 Federal ID No.: # 13-640-434
 Project No./REF: PSSG

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		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	
Executives/Senior Level Officials and Managers	1																		
First/Mid-Level Officials and Managers																			
Professionals																			
Technicians																			
Sales Workers																			
Administrative Support Workers																			
Craft Workers																			
Operatives																			
Laborers and Helpers																			
Service Workers																			
TOTAL																			

DATE 2/29/16

TELEPHONE/FAX:

PREPARED BY: [Signature]

NAME AND TITLE OF PREPARER:

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: J.H.S. 080 The Moshulu Parkway (10X080)
Address: 149 EAST MOSHOLU PKWY
City, State, Zip: BRONX, NY 10457

Telephone/Email: 718-405-6300 / Epolanco2@schools.nyc.gov
Federal ID No.: 13-6400434
RFP No.: RFP Number: TA-16

Certified M/WBE	Classification (check all applicable)	Description of Work (Subcontracts/Supplies/Services)	Annual Dollar Value of																		
NAME: METAMORPHOSIS TEACHING LEARNING COMMUNITIES ADDRESS: 165 PARK ROW, #18A CITY, ST, ZIP: NEW YORK, NY 10038 PHONE/E-MAIL: 212-766 2120 / lucy@lucywestpd.com FEDERAL ID No. 043713795	NYS ESD Certified MBE _____ WBE <input checked="" type="checkbox"/>	Vendor Metamorphosis Teaching Learning Communities will provide differentiated coaching for groups of teachers that have between 1-3 years' as well as all grade level teacher to support classroom instruction, through targeted support in curriculum, assessment, instruction and collaborative inquiry. This would be job embedded for a group of 20 new teachers as well as all staff.	<table border="0"> <tr> <td>Year 1</td> <td>\$</td> <td>115,063</td> </tr> <tr> <td>Year 2</td> <td>\$</td> <td>121,455</td> </tr> <tr> <td>Year 3</td> <td></td> <td></td> </tr> <tr> <td>Year 4</td> <td></td> <td></td> </tr> <tr> <td>Year 5</td> <td></td> <td></td> </tr> <tr> <td>TOTAL</td> <td>\$</td> <td>236,518</td> </tr> </table>	Year 1	\$	115,063	Year 2	\$	121,455	Year 3			Year 4			Year 5			TOTAL	\$	236,518
Year 1	\$	115,063																			
Year 2	\$	121,455																			
Year 3																					
Year 4																					
Year 5																					
TOTAL	\$	236,518																			

PREPARED BY (Signature)  DATE 3/2/2016

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

NAME AND TITLE OF PREPARER: Mary Doyle, Executive Director / Phyllisia Steele, Fiscal Director
TELEPHONE/E-MAIL: 212-374-2762 / mdoyle5@schools.nyc.gov / psteele2@schools.nyc.gov
DATE:

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

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: J.H.S. 080 The Moshulu Parkway (10X080)

Address: 149 EAST MOSHOLU PKWY

City, State, Zip: BRONX, NY 10467

Federal ID No.: 13-6400434

Phone No.: 718-405-6300

E-mail: EPolanco2@schoools.nyc.gov

Signature of Authorized Representative of Bidder/Applicant's Firm

Date: 3/2/2016

Print or Type Name and Title of Authorized Representative of Bidder/Applicant's Firm
Emmanuel Polanco, Principal

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

Name of M/WBE: METAMORPHOSIS TEACHING LEARNING COMMUNITIES

Federal ID No.: 043713795

Address: 165 PARK ROW, #18A

Phone No.: 212-766-2120

City: NEW YORK

State: NY

Zip Code: 10038

E-mail: lucy@lucywestpd.com

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

Vendor Metamorphosis Teaching Learning Communities will provide differentiated coaching for groups of teachers that have between 1-3 years' as well as all grade level teacher to support classroom instruction, through targeted support in curriculum, assessment, instruction and collaborative inquiry. This would be job embedded for a group of 20 new teachers as well as all staff.

DESIGNATION: _____ MBE Subcontractor _____ WBE Subcontractor _____ MBE Supplier _____ X _____ 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:

\$ 236,518

Date: 2/29/2016

Signature of Authorized Representative of M/WBE Firm

Vitachak Francis, Chief Operating Officer

Printed or Typed Name and Title of Authorized Representative

EQUAL EMPLOYMENT OPPORTUNITY - STAFFING PLAN

Applicant's Name/Bidder's Name: J.H.S. 080 The Moshulu Parkway (10X080)
Name of M/WBE: METAMORPHOSIS TEACHING LEARNING CO.
Address: 165 PARK ROW, #18A
City, State, Zip: NEW YORK, NY 10038

Telephone/Email: 212-766-2120 / lucy@lucywestpd.com
Federal ID No.: 043713795
Project No./RFP#: TA-16

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.

BEO - Job Categories	Race/Ethnicity - report employees in only one category																	
	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	3		1								2							
First/Mid-Level Officials and Managers	1		1															
Professionals	31	2	6								19	2		2				
Technicians																		
Sales Workers																		
Administrative Support Workers	4	1									1	2						
Craft Workers																		
Operatives																		
Laborers and Helpers																		
Service Workers																		
TOTAL	39	12	8								22	4		2				

PREPARED BY (Signature)

NAME AND TITLE OF PREPARER:

Yitzchak Francis

001 033

DATE 2/29/2014

TELEPHONE/E-MAIL: 212-233-0419
vitz@metamorphosistlc.com

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: J.H.S. 080 The Mosholu Parkway (10X080)
Address: 149 EAST MOSHOLU PKWY
City, State, Zip: BRONX, NY 10467

Telephone/Email: 718 405-6300 / EPolanco2@schools.nyc.gov
Federal ID No.: 13-6400434
RFP No. RFP Number: PSSG

Certified M/WBE	Classification (check all applicable)	Description of Work (Subcontracts/Supplies/Services)	Annual Dollar Value of
NAME: METAMORPHOSIS TEACHING LEARNING COMMUNITIES ADDRESS: 165 PARK ROW, #18A CITY, ST, ZIP: NEW YORK, NY 10038 PHONE/E-MAIL: 212-766 2120 / lucy@lucywestpd.com FEDERAL ID No. 043713795	NYS ESD Certified MBE _____ WBE _____ X _____	Vendor Metamorphosis Teaching Learning Communities will provide professional development services for school staff and provide support for teachers across the district from Metamorphosis in Math to further support needs identified from the 10x080. The vendor's deliverables will include: a 3 full-day institutes for a total of 40 teachers and coaches. In addition to vendor will provide learning communities. In which the vendor will work with coaches and teachers within the schools on planning, co-teaching and reflecting on unit lessons.	Year 1 \$ 125,869 Year 2 \$ 125,000 Year 3 Year 4 Year 5 TOTAL \$ 250,869

PREPARED BY (Signature) M. Doyle DATE 3/20/16

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

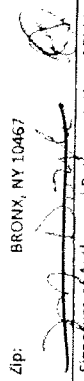
NAME AND TITLE OF PREPARER: Mary Doyle, Executive Director/Phyllisia Steele, Fiscal Director
TELEPHONE/E-MAIL: 212-374-2762 / mdoyle@schools.nyc.gov / psteele2@schools.nyc.gov
DATE:

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

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: J.H.S. 080 The Mosholu Parkway (10x080)		Federal ID No.: 13-6400434
Address:	149 EAST MOSHOLU PKWY	Phone No.: 718-405-6300
City, State, Zip:	BRONX, NY 10467	E-mail: EPolanco2@schools.nyc.gov
 Signature of Authorized Representative of Bidder/Applicant's Firm		Emmanuel Polanco, Principal
Date: 3/22/12 Print or Type Name and Title of Authorized Representative of Bidder/Applicant's Firm		

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

Name of M/WBE: METAMORPHOSIS TEACHING LEARNING COMMUNITIES		Federal ID No.: 043713795
Address:	165 PARK ROW, #18A	Phone No.: 212-766-2120
City:	NEW YORK	E-mail: lucy@lucywestpd.com
	State: NY	Zip Code: 10038

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

Vendor Metamorphosis Teaching Learning Communities will provide professional development services for school staff and provide support for teachers across the district from Metamorphosis in Math to further support needs identified from the 10x080. The vendor's deliverables will include: a 3 full-day institutes for a total of 40 teachers and coaches. In addition to vendor will provide learning communities, in which the vendor will work with coaches and teachers within the schools on planning, co-teaching and reflecting on unit lessons.

DESIGNATION:	<input type="checkbox"/> MBE Subcontractor	<input type="checkbox"/> WBE Subcontractor	<input checked="" type="checkbox"/> MBE Supplier	<input checked="" type="checkbox"/> 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:

\$ 250,869

Date

03/26/2016

Signature of A Authorized Representative of M/WBE Firm

Yitahak Francis

Printed or Typed Name and Title of Authorized Representative

EQUAL EMPLOYMENT OPPORTUNITY - STAFFING PLAN

Applicant's Name/Address: J.H.S. 080 The Mostholu Parkway (10X080)
 Name of M/WBE: METAMORPHOSIS TEACHING LEARNING COMMUNITIES
 Address: 155 PARK ROW, #18A
 City, State, Zip: NEW YORK, NY 10038

Telephone/E-mail: 212-766-2120 / kuy@kuywestpd.com
 Federal ID No.: 043713795
 Project No./RFP#: TA-16

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	Race/Ethnicity - report employees in only one category													
	Hispanic or Latino							Not Hispanic or Latino						
	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 or Native Hawaiian or Other Pacific Islander	Asian	American Indian or Alaska Native
Executive/Senior Level Officials and Managers	3		1								2			
First/Mid-Level Officials and Managers	1		1								19	2	2	
Professionals	31	2	6											
Technicians														
Sales Workers														
Administrative Support Workers	4	1									1	2		
Craft Workers														
Operatives														
Laborers and Helpers														
Service Workers														
TOTAL	39	1	2	8							22	4	2	

PREPARED BY (Signature) _____ DATE 2/24/2016

NAME AND TITLE OF PREPARER: Yitzhak Francis

TELEPHONE/E-MAIL: 212-233-0419

yitz@metamorphosistlc.com

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: J.H.S. 080 The Mosholu Parkway (10X080)
Address: 149 EAST MOSHOLU PKWY
City, State, Zip: BRONX, NY 10467
Telephone/Email: 718-405-6300 / EPolanco2@schools.nyc.gov
Federal ID No.: 13-6400434
RFP No./RFP Number: PSSG

Certified M/WBE	Classification (check all applicable)	Description of Work (Subcontracts/Supplies/Services)	Annual Dollar Value of
NAME: LEARNER CENTERED INITIATIVES ADDRESS: 249-02 JERICHO, #203 CITY, ST, ZIP: FLORAL PARK, NY 11001 PHONE/E-MAIL: (516) 502-4231 / MARIANNE@LCITD.ORG FEDERAL ID No. 113271081	NYS ESO Certified MBE <input checked="" type="checkbox"/> WBE <input type="checkbox"/>	Vendor: LEARNER CENTERED INITIATIVES (LCI) will provide professional development services. These professional development services will provide support for teachers across the district from LCI to further support needs identified from the LCI's deliverables will include: 1 coach from LCI for 10 days.	Year 1 \$ 25,000 Year 2 \$ 25,000 Year 3 Year 4 Year 5 TOTAL \$ 50,000

PREPARED BY (Signature) _____ DATE 3/2/2016

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-L, NYCRR PART 143 AND THE ABOVE REFERENCE SOLICITATION. FAILURE TO SUBMIT COMPLETE AND ACCURATE INFORMATION MAY RESULT IN A FINDING OF NONCOMPLIANCE AND/OR PROPOSAL/APPLICATION DISQUALIFICATION.

NAME AND TITLE OF PREPARER: Mary Doyle, Executive Director/Phyllisia Steele, Fiscal Director
TELEPHONE/E-MAIL: 212-374-2762 / mdoyle5@schools.nyc.gov / psteele2@schools.nyc.gov

DATE:

M/WBE 100

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

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

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

Bidder/Applicant Name: J.H.S. 080 The Mosholu Parkway (10X080)

Address: 149 EAST MOSHOLU PKWY

City, State, Zip: BRONX, NY 10467

Federal ID No.: 13-6400434

Phone No.: 718-405-6300

E-mail: EPolanco2@schools.nyc.gov

Signature of Authorized Representative of Bidder/Applicant's Firm

Date: 3/2/2016

Print or Type Name and Title of Authorized Representative of Bidder/Applicant's Firm
Emmanuel Polanco, Principal

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

Name of M/WBE: LEARNER CENTERED INITIATIVES

Address: 249-02 JERICHO, #203

City: FLORAL PARK

State: NY

Zip Code: 11001

Federal ID No.: ##

Phone No.: (516) 502-4231

E-mail: MARIANNEM@LCILTD.ORG

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

Vendor: LEARNER CENTERED INITIATIVES (LCI) will provide professional development services. These professional development services will provide support for teachers across the district from LCI to further support needs identified from the 10X080. LCI's deliverables will include: 1 coach from LCI for 10 days.

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:

\$ 50,000

Date: 2/29/16



Signature of Authorized Representative of M/WBE Firm

Giselle Martin-Kniapp, President

Printed or Typed Name and Title of Authorized Representative

M/WBE 102

EQUAL EMPLOYMENT OPPORTUNITY - STAFFING PLAN

Applicant's Name/Bidder's Name: J.H.S. 080 The Moshulu Parkway (10X080)
 Name of M/WBE: LEARNER CENTERED INITIATIVES
 Address: 825 East Gate Blvd, Suite 204
 City, State, Zip: Garden City, NY 11530

Telephone/Email: (516) 502-4231 / MARIANNEM@CLILD.ORG
 Federal ID No.: 11-3271081
 Project No./REF#: PSSG

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	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
Executive/Senior Level Officials and Managers	2	1	1									1			
First/Mid-Level Officials and Managers															
Professionals	4											3	1		
Technicians															
Sales Workers															
Administrative Support Workers	4											3			
Craft Workers															
Operatives															
Laborers and Helpers															
Service Workers															
TOTAL	10		1									7	1		1

PREPARED BY (Signature)

DATE 2/29/16

NAME AND TITLE OF PREPARER: Giselle Martin-Kniep, President Learner Centered Initiatives TELEPHONE/E-MAIL: 516 502-4231/gisellamk@clild.org

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: J.H.S. 080 The Moshulu Parkway (10X080) Telephone/Email: 718-405-6300 / EPolanco2@schools.nyc.gov
Address: 149 EAST MOSHULU PKWY Federal ID No.: 11-3271081
City, State, Zip: BRONX, NY 10467 RFP No: RFP Number: PSSG

Certified M/WBE	Classification (check all applicable)	Description of Work (Subcontracts/Supplies/Services)	Annual Dollar Value of
NAME: LEARNER CENTERED INITIATIVES ADDRESS: 825 East Gate Blvd, Suite 204 CITY, ST, ZIP: Garden City, NY 11530 PHONE/E-MAIL: (516) 502-4231 / MARIANNEM@LCILTD.ORG FEDERAL ID No. 113271081	NYS ESD Certified MBE <input checked="" type="checkbox"/> WBE <input checked="" type="checkbox"/>	Vendor LEARNER CENTERED INITIATIVES (LCI) will provide professional development services, including differentiated coaching for groups of teachers that have between 1-3 years as well as all grade level teacher to support classroom instruction, through targeted support in curriculum, assessment, instruction and collaborative inquiry. This would be job embedded for a group of 20 teachers, new teacher, as well as all staff.	Year 1 \$ 25,000 Year 2 \$ 25,000 Year 3 Year 4 Year 5 TOTAL \$ 50,000

PREPARED BY (Signature) _____ DATE 3/2/2016

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

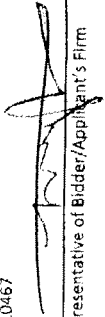
NAME AND TITLE OF PREPARER: Mary Doyle, Executive Director/Phylasia Steele, Fiscal Director
TELEPHONE/E-MAIL: 212-374-2762 / mdoyle5@schools.nyc.gov / psteele2@schools.nyc.gov
DATE:

M/WBE 100

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

**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: J.H.S. 080 The Mosholu Parkway (10X080)		Federal ID No.: 11-3271081
Address: 149 EAST MOSHOLU PKWY		Phone No.: 718-405-6300
City, State, Zip: BRONX, NY 10467		E-mail: EPolanco2@schools.nyc.gov
Signature of Authorized Representative of Bidder/Applicant's Firm		Print or Type Name and Title of Authorized Representative of Bidder/Applicant's Firm
Date: 3/2/2012		Emmanuel Polanco, Principal

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

Name of M/WBE: LEARNER CENTERED INITIATIVES	Federal ID No.: 11-3271081
Address: 825 EAST GATE BLVD, SUITE 204	Phone No.: (516) 502-4231
City: GARDEN CITY	E-mail: MARIANNEM@LCILTD.ORG
State: NY	Zip Code: 11530

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

Vendor LEARNER CENTERED INITIATIVES (LCI) will provide professional development services, including differentiated coaching for groups of teachers that have between 1-3 years' as well as all grade level teacher to support classroom instruction, through targeted support in curriculum, assessment, instruction and collaborative inquiry. This would be job embedded for a group of 20 teachers, new teacher, as well as all staff.

DESIGNATION:	<input checked="" type="checkbox"/> MBE Subcontractor	<input checked="" type="checkbox"/> WBE Subcontractor	<input type="checkbox"/> MBE Supplier	<input type="checkbox"/> WBE Supplier
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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:

\$ 50,000

Date: 2/29/15

Signature of Authorized Representative of M/WBE Firm

Giselle Martin-Krieg, President

Printed or Typed Name and Title of Authorized Representative

EQUAL EMPLOYMENT OPPORTUNITY - STAFFING PLAN

Applicant's Name/ bidder's Name: J.H.S. 080 The Mosholu Parkway (10X080)
Name of M/WBE: LEARNER CENTERED INITIATIVES

Address: 825 East Gate Blvd, Suite 204
City, State, Zip: Garden City, NY 11530

Report Includes:

Telephone/Email: (516) 502-4231 / MARIANNE@LCILTD.ORG
Federal ID No.: 11-3271081
Project No./RFP#: PSSG

☐ 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	Race/Ethnicity - report employees in only one category																		
	Hispanic or Latino		Male										Not-Hispanic or Latino						
													Female						
	Total Work Force	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	2	1									1								
First/Mid-Level Officials and Managers																			
Professionals	4										3	1							
Technicians																			
Sales Workers																			
Administrative Support Workers	4										3						1		
Craft Workers																			
Operatives																			
Laborers and Helpers																			
Service Workers																			
TOTAL	10	1									7	1							

PREPARED BY (Signature) _____

DATE 2/29/16

NAME AND TITLE OF PREPARER: Giselle Martin-Kneip, President Learner Centered Initiatives TELEPHONE/E-MAIL: 516 502-4231/gisellemk@icild.org

Local Agency Information

Funding Source: Persistently Struggling Schools Grant (PSSG) – Year 1 (Implementation)

Report Prepared By: Mary Doyle, Executive Director/Phylesia Steele, Fiscal Director

Agency Name: NYCDOE - 10X080: J.H.S. 080 The Mosholu Parkway (PSS)

Mailing Address: 52 Chambers Street, Room 213

	Street	
New York	NY	10007
City	State	Zip Code

Telephone #: 212-374-2762 County: Bronx

E-mail Address: mdoyle5@schools.nyc.gov / psteele2@schools.nyc.gov

Project Operation Dates: 1 / 1 / 2016 6 / 30 / 2016
Start End

INSTRUCTIONS

v

Submit the original budget and the required number of copies along with the completed application directly to the appropriate State Education Department office as indicated in the application instructions for the grant program for which you are applying. DO NOT submit this form to the Grants Finance.

v Enter whole dollar amounts only.

v Prior approval by means of an approved budget (FS-10) or budget amendment (FS-10-A) is required for:

- Personnel positions, number and type
- Equipment items having a unit value of \$5,000 or more, number and type
- Minor remodeling
- Any increase in a budget subtotal (professional salaries, purchased services, travel, etc.) by more than 10 percent or \$1,000, whichever is greater
- Any increase in the total budget amount.

v Certification on page 8 must be signed by Chief Administrative Officer or properly authorized designee.

v High quality computer generated reproductions of this form may be used.

v For further information on budgeting, please refer to the Fiscal Guidelines for Federal and State Aided Grants which may be accessed at www.oms.nysed.gov/cafe/ or call Grants Finance at (518) 474-4815.

SALARIES FOR PROFESSIONAL PERSONNEL: Code 15

Include only staff that are employees of the agency. Do not include consultants or per diem staff. Do not include central administrative staff that are considered to be indirect costs, e.g., business office staff. One full-time equivalent (FTE) equals one person working an entire week each week of the project. Express partial FTE's in decimals, e.g., a teacher working one day per week equals .2 FTE.

10X080			
Specific Position Title	Full-Time Equivalent	Annualized Rate of Pay	Project Salary
F-Status Teacher per diem (rate per day) for At-Risk Mentoring	509	306.67	156,184
Teacher Per Session (rate per hour) for PD for Teachers	1,086	44.12	47,935
Teacher Per Session (rate per hour) for PD for Teachers	428	44.12	18,876
Teacher Per Session (rate per hour) for PD for Teachers	848	44.12	37,404
Teacher Per Session (rate per hour) for Curriculum and Program Offerings	342	44.12	15,101
Social Worker Per Session for Extended Learning Time (ELT)	738	47.43	35,000
Guidance Counselor Per Session for Extended Learning Time (ELT)	738	47.43	35,000
Teacher Per Session (rate per hour) for Curriculum and Program Offerings	1,377	44.12	60,757
Subtotal - Code 15			406,257

Central			
Specific Position Title	Full-Time Equivalent	Annualized Rate of Pay	Project Salary
Subtotal - Code 15			0

SALARIES FOR NONPROFESSIONAL PERSONNEL: Code 16

Include salaries for teacher aides, secretarial and clerical assistance, and for personnel in pupil transportation and building operation and maintenance. Do not include central administrative staff that are considered to be indirect costs, e.g., account clerks.

10X080			
	Specific Position Title	Full-Time	Annualized
			Project
Subtotal - Code 16			0

Central			
	Specific Position Title	Full-Time	Annualized
			Project
Subtotal - Code 16			0

PURCHASED SERVICES: Code 40

Include consultants (indicate per diem rate), rentals, tuition, and other contractual services. Copies of contracts may be requested by the State Education Department. Purchased Services from a BOCES, if other than applicant agency, should be budgeted under Purchased Services with BOCES, Code 49.

10X080			
Description of Item	Provider of Services	Calculation of Cost	Proposed Expenditure
689 - Curriculum & Staff Development	WEDIKO CHILDREN'S SERVICES INC.		25,000
689 - Curriculum & Staff Development	TEQUIPMENT, INCORPORATED		40,000
689 - Curriculum & Staff Development	Apple		25,000
689 - Curriculum & Staff Development	METAMORPHOSIS TEACHING LEARNING		115,063
689 - Curriculum & Staff Development	SALVADORI EDUCATIONAL CENTER ON		60,000
689 - Curriculum & Staff Development	TEACHING MATTERS, INCORPO		24,000
685 - Educational Consultant	WEDIKO CHILDREN'S SERVICES INC.		50,000
685 - Educational Consultant	Aspira		22,000
689 - Curriculum & Staff Development	LEARNER CENTERED INITIATIVES		25,000
689 - Curriculum & Staff Development	METAMORPHOSIS TEACHING LEARNING		125,869
689 - Curriculum & Staff Development	GENERATION READY, INC.		86,000
689 - Curriculum & Staff Development	LEARNER CENTERED INITIATIVES		25,000
689 - Curriculum & Staff Development	WEDIKO CHILDREN'S SERVICES INC.		75,000
Subtotal - Code 40			697,932

Central			
Description of Item	Provider of Services	Calculation of Cost	Proposed Expenditure
System-wide Evaluation Services	Keleher & Associates, LLC.		76,467
Subtotal - Code 40			76,467

SUPPLIES AND MATERIALS: Code 45

Beginning with the 2005-06 year include computer software, library books and equipment items under \$5,000 per unit.
For earlier years include computer software, library books and equipment items under 1,000 per unit.

10X080			
Description of Item	Quantity	Unit Cost	Proposed
Computer and Printers under \$5,000 per unit			40,000
Educational Software			34,177
Subtotal - Code 45			74,177

Central			
Description of Item	Quantity	Unit Cost	Proposed
Subtotal - Code 45			0

TRAVEL EXPENSES: Code 46

Include pupil transportation, conference costs and travel of staff between instructional sites. Specify agency approved mileage rate for travel by personal car or school-owned vehicle.

10X080			
Position of Traveler	Destination	Calculation	Proposed
Subtotal - Code 46			0

Central			
Position of Traveler	Destination	Calculation	Proposed
Subtotal - Code 46			0

EMPLOYER CONTRIBUTION FOR EMPLOYEE BENEFITS: Code 80

Rates used for project personnel must be the same as those used for other agency personnel.

Benefit		Proposed
Social Security		
Retirement	New York State Teachers	
	New York State Employees	
	Other	
Health Insurance		
Worker's Compensation		
Unemployment Insurance		
Other (Identify)		
FRINGE - School Subtotal		58,704
F-Status Teacher per diem (rate per day) for At-Risk Mentoring		12,729
Teacher Per Session (rate per hour) for PD for Teachers		9,611
Teacher Per Session (rate per hour) for PD for Teachers		3,785
Teacher Per Session (rate per hour) for PD for Teachers		7,499
Teacher Per Session (rate per hour) for Curriculum and Program Offerings		3,028
Social Worker Per Session for Extended Learning Time (ELT)		2,853
Guidance Counselor Per Session for Extended Learning Time (ELT)		7,018
Teacher Per Session (rate per hour) for Curriculum and Program Offerings		12,182
FRINGE - Central Subtotal		0
Subtotal - Code 80		58,704

INDIRECT COST: Code 90

- A. Modified Direct Cost Base - Sum of all preceding subtotals (Codes 15, 16, 40, 45, 46, and 80 and excludes the portion of each subcontract exceeding \$25,000 and any flow through funds)
- B. Approved Restricted Indirect Cost Rate
- C. (A) x (B) Total Indirect Cost Dollar Amount Subtotal - Code 90

\$1,313,536	(A)
3.0%	(B)
39,406 \$45,385	(C) <i>W</i>

PURCHASED SERVICES WITH BOCES: Code 49

10X080			
Description of Services	Name of BOCES	Calculation	Proposed
Subtotal - Code 49			0

Central			
Description of Services	Name of BOCES	Calculation	Proposed
Subtotal - Code 49			0

MINOR REMODELING: Code 30

Allowable costs include salaries, associated employee benefits, purchased services, and supplies and materials related to alterations to existing sites.

Description of Work	Calculation	Proposed
Subtotal - Code 30		0

EQUIPMENT : Code 20

Beginning with the 2005-06 year all equipment to be purchased in support of this project with a unit cost of \$5,000 or more should be itemized in this category. Equipment items under \$5,000 should be budgeted under Supplies and Materials, Code 45. Repairs of equipment should be budgeted under Purchased Services, Code 40.

Description of Item	Quantity	Unit Cost	Proposed
Subtotal - Code 20			0

BUDGET SUMMARY

FS-10 Page 7

N4e Document #. 650610B
msc

SUBTOTAL	CODE	PROJECT COSTS
Professional Salaries	15	406,257
Support Staff Salaries	16	0
Purchased Services	40	774,399
Supplies and Materials	45	74,177
Travel Expenses	46	0
Employee Benefits	80	58,704
Indirect Cost	90	45,385
BOCES Services	49	0
Minor Remodeling	30	0
Equipment	20	0
GRAND TOTAL		1,358,921
		1,352,943

CHIEF ADMINISTRATOR'S CERTIFICATION

By signing this report, I certify to the best of my knowledge and belief that the report is true, complete, and accurate, and the expenditures, disbursements, and cash receipts are for the purposes and objectives set forth in the terms and conditions of the Federal (or State) award. I am aware that any false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to criminal, civil, or administrative penalties for fraud, false statements, false claims, or otherwise. (U.S. Code Title 18, Section 1001 and Title 31, Sections 3729.3730 and 3801-3812).

3/30/2016
DATE

Ling Tan
NAME/TITLE - CHIEF ADMINISTRATIVE OFFICER

Agency Code: 3 2 1 0 0 0 0 1 0 0 8 0

Project #: 0564 16 16 13

Tracking/Contract #:

Federal Employer ID #:

(New non-municipal agencies only)

NYCDOE - 10X080: J.H.S. 080 The Moshulu Parkway (PSS)

Agency Name:

FOR DEPARTMENT USE ONLY

Funding Dates: 1 / 1 / 2016 6 / 30 / 2016

Program Approval:

Date: 4-7-16

Fiscal Year 16

Amount Budgeted 330,235

First Payment

Voucher # 330,235

First Payment

Finance: 4/14/16 4/15/16

Log Approved

MIR

The University of the State of New York
THE STATE EDUCATION DEPARTMENT
(see instructions for mailing address)

**PROPOSED AMENDMENT FOR
A FEDERAL OR STATE PROJECT**
FS-10-A (03/15)

Agency Name and Address

NYCDOE - 10X080: JHS 80 MOSHOLU PARKWAY (PSS)
52 Chambers Street, Room 213
New York City, NY 10007

Bronx
County

Agency Code
(School BEDS Code):

3	2	1	0	0	0	0	1	0	0	0	0
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Amendment #:

1

Project #:

0	5	6	4	1	6	1	0	1	3
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Contact #:

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Contact Person: Mary Doyle, Executive Director/Phylesia Steele, Fiscal Director

Telephone #: 212-374-2762

E-mail Address: mdoyle5@schools.nyc.gov / psteele2@schools.nyc.gov

INSTRUCTIONS

- ❖ Submit the original and two copies directly to the same State Education Department office where budget was mailed.
DO NOT submit this form to Grants Finance.
- ❖ Enter whole dollar amounts only.
- ❖ This form need only be submitted for budget changes that require prior approval as follows:
 - Personnel positions, number and type
 - Equipment items having a unit value of \$5,000 or more, number and type
 - Minor remodeling
 - Any increase in a budget subtotal (professional salaries, purchased services, travel, etc.) by more than 10 percent or \$1,000, whichever is greater
 - Any increase in the total budget amount.
- ❖ Amendment # at top of this page must be completed.
- ❖ Do not use the FS-10-A for requesting a project extension.

CHIEF ADMINISTRATOR'S CERTIFICATION

By signing this report, I certify to the best of my knowledge and belief that the report is true, complete, and accurate, and the expenditures, disbursements, and cash receipts are for the purposes and objectives set forth in the terms and conditions of the Federal (or State) award. I am aware that any false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to criminal, civil, or administrative penalties for fraud, false statements, false claims, or otherwise. (U.S. Code Title 18, Section 1001 and Title 31, Sections 3729-3730 and 3801-3812).

DATE: 5/2/2016

SIGNATURE: _____

Chief Administrative Officer

FOR DEPARTMENT USE ONLY

Program Approval: *L.A. Costello*

Date: 5-6-16

Finance: 5/11/16 TG

Log

Approved EH

SUBTOTAL		EXPLANATION (Provide same detail as required in FS-10 Budget)	SUBTOTAL INCREASE	SUBTOTAL DECREASE
15	Professional Salaries			
16	Support Staff Salaries			
40	Purchased Services	(+\$5,805) 686 - Professional Services (VENDOR KELEHER & ASSOCIATES): The DOE would like to increase their approved allocation for Vendor Keleher & Associates, LLC from \$76,467 to \$82,272. These additional funds would be used to support additional independent system-wide program evaluation services for an additional 29 hours x \$200 per hr. This increase will result in no impact to the current level of support planned for these services.	\$5,805	\$0
40	Purchased Services			
45	Supplies & Materials			
46	Travel Expenses			
80	Employee Benefits			
90	Indirect Cost	(+\$173) Indirect Cost: This slight increase in indirect cost is associated with the in program evaluation services noted in Code 40 (see above). This would result in increasing the approved indirect cost allocation from \$39,407 to \$39,580.	\$173	\$0
90	Indirect Cost			
49	BOCES Services			
30	Minor Remodeling			
20	Equipment			

Total Increase or Decrease:	\$5,978	\$0
Net Increase or Decrease:		\$5,978
Previous Budget Total:		\$1,352,943
Proposed Amended Total:		\$1,358,921

Appendix B:
Persistently Struggling Schools Grant Application
For Full Allocation or Remaining Funds

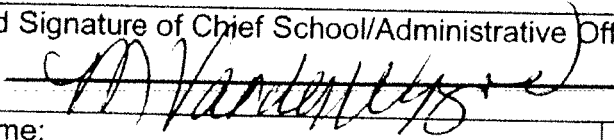
COVER PAGE

School: Hackett Middle School	BEDS Code: 0101000010030
Address: 45 Delaware Ave Albany, NY 12202	
Program Contact Person: Marguerite Vanden Wyngaard, Ph.D.	Telephone: [REDACTED]
Address of Contact: [REDACTED]	
E-mail Address: mvanden@albany.k12.ny.us	Fax: 518-475-6014

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, and that the requested budget amounts are necessary for the implementation of this project.

It is understood by the applicant that this application constitutes an offer and, if accepted by the NYS Education Department or renegotiated to acceptance, will form a binding agreement. It is also understood by the applicant that immediate written notice will be provided to the grant program office if at any time the applicant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

Authorized Signature of Chief School/Administrative Officer (in blue ink)



Typed Name:
Marguerite Vanden Wyngaard, Ph.D.

Date:
11/12/2015

Part I: Evidence of Planning

1. Please describe how the Superintendent Receiver conducted a needs-assessment of the school and the community to determine what issues must be addressed to positively impact student achievement. If the Superintendent Receiver used the results of the school's most recent DTSDE review (either district led or led by an Integrated Intervention Team) as the needs assessment, please provide evidence that this review has taken place within the last year. Please describe how the results of the needs assessment were shared with the CET and the school community.

The City School District of Albany (CSDA) and Hackett Middle School (HMS) are using HMS' DTSDE Final Report with Recommendations as the needs assessment for the school and community to determine what issues must be addressed to positively impact student achievement. The most recent review occurred on October 7-8, 2014 and was led by an SED Integrated Intervention Team (IIT). HMS received a rating of "Developing" for each of the Tenets 2-6 on the Final Report. The HMS Principal shared and reviewed the Final Report with building faculty and staff at a staff meeting during winter 2015. The Final Report was shared with the Community Engagement Team (CET) at the October 28, 2015 CET meeting. A copy of this Final Report is on file with NYSED.

2. Please describe how the Superintendent Receiver has engaged local stakeholders (the CET, community based organizations, etc.) in the creation of a new SCEP or revision of an existing Department approved plan (SCEP, SIG Continuation, SIF, or Out of Time Plan). Please include a list of engagement activities undertaken, and the results of the engagement.

Since being identified as a Persistently Struggling School, the CSDA and the Superintendent Receiver have engaged local stakeholders to help meet improvement targets in the following ways:

- Formation and support for a Community Engagement Team (CET): The majority of the HMS engagement activities have occurred through the CET. Since August 2015, the CET has met at least once per month (sometimes twice per month). The CET is comprised of over 50 CSDA staff and community stakeholders to support the HMS Continuation Plan. Members include representation from building leadership, teachers, support staff, Board of Education, City of Albany, parents, and various human services organizations. Since the formation of the CET, members have documented the process for recruitment and membership, as well as role and functions. In addition, the CET created a recommendation list of priority activities related to HMS' Continuation Plan.

- **Revision of the SIG Continuation Plan:** As a requirement of Receivership identification, the CSDA shared HMS' 2015-2016 1003(g) School Improvement Grant (SIG) Continuation Plan with the CET for review. Through CET conversations and input from the community, the CET provided recommendations to be included in an updated Continuation Plan. A copy of this Continuation Plan is attached and on file with NYSED.
- **Connection with and public support from local leaders:** On October 28, 2015, the Superintendent Receiver and a broad group of local leaders announced their collective partnership to support HMS. Among the partners joining the Superintendent Receiver are the CSDA Board of Education President, Albany Mayor Kathy Sheehan, Albany County Executive Dan McCoy, Albany County District Attorney David Soares, Albany County Sheriff Craig Apple, Assembly representatives Pat Fahy and John McDonald, and representatives from community organizations and churches.

3. Please describe how the Superintendent Receiver has engaged with local collective bargaining units regarding any elements of the SCEP or other department-approved plan that require changes to the collective bargaining agreement. Please include a list of engagement activities undertaken, and the results of the engagement.

The Superintendent Receiver successfully engaged in negotiations with the unions (APSTA and APSUE) at HMS. Engagement activities included monthly meetings during May-August 2015. Additionally a meeting with the building principal, district representation and bargaining unit occurred in September to review the draft MOA relative to the identified areas requiring changes to the collective bargaining agreement.

As a result, the Superintendent Receiver negotiated executed memorandums of agreement (MOA) at HMS to: increase the school day by an additional 30 minutes daily; implement one additional period for enrichment and expansion of the curricular learning opportunities; provided clarity as to the purpose of previously established common planning time; and agreement on the availability and criteria of evidence of planning.

Part II: Proposed Activities Narrative

Proposed Activity	Connection to Needs Assessment	Connection to Demonstrable Improvement Metrics	Progress Monitoring Process	Timeline for Implementation	Plan Page Reference	Budgeted Amount and Budget Code(s)
Compensate 65 APSTA positions (teachers) for 30 minutes of extended school day.	Tenet 3: Curriculum Development and Support	Indicators #1, 33, 39, 19	Review student data such as NWEA, VADIR, grades, and attendance to identify impact of extended school day on student achievement and behavior.	Sept 2015-June 2016 Daily, Mon-Fri	Continuation Plan, p. 9	65 positions x rate per APSTA contract \$630,611 Code 15
Hire 1 School Improvement Supervisor to plan and coordinate all activities associated with the Transformation model.	N/A	All Selected Indicators	Review and refer to Continuation Plan, Receivership Leading Indicator, and PSSG-funded activities to ensure that leadership efforts are effective and on-track with Receivership efforts.	Jan-June 2016 Daily, Mon-Fri	N/A	1.0 FTE \$66,459 Code 15
Hire 1 Data Coach to access and analyze data to make timely and appropriate decisions about curriculum, assessment and instruction as they relate to Transformational model interventions and activities.	N/A	All Selected Indicators	Use various presentations, Data Briefs, and other data reports as evidence of effective retrieval, analysis, and communication of student data which serves as overall progress monitoring for implementation of Receivership activities.	Jan-June 2016 Daily, Mon-Fri	N/A	1.0 FTE \$37,900 Code 15
Compensate Building Principal with stipend to support the additional work and responsibilities required under Receivership.	N/A	All Selected Indicators	Review and refer to Continuation Plan, Receivership Leading Indicator, and PSSG-funded activities to ensure that leadership efforts are effective and on-track with Receivership efforts.	Sept 2015-June 2016 Daily, Mon-Fri	N/A	Stipend \$15,000 Code 15
Compensate 2 Building Assistant Principals with stipend to support the additional work and responsibilities required under Receivership.	N/A	All Selected Indicators	Review and refer to Continuation Plan, Receivership Leading Indicator, and PSSG-funded activities to ensure that leadership efforts are effective and on-track with Receivership efforts.	Sept 2015-June 2016 Daily, Mon-Fri	N/A	Stipend x 2 positions @ \$10,000 each \$20,000 Code 15

Recruit, train, and compensate 6, part-time community outreach workers to build positive connections between family-school.	Tenet 6: Family and Community Engagement	Indicator #6	Review student data such as NWEA, VADIR, grades, and attendance to identify impact of family involvement and engagement on student achievement and behavior.	Jan-June 2016 As needed, Sun-Sat	Continuation Plan, p. 15	6 positions @ .5 FTE x \$12,500 each \$75,000 Code 16
Compensate 11 APSUE positions (hall monitors, TAs, typists) for 30 minutes of extended school day.	Tenet 3: Curriculum Development and Support	Indicators #1, 5, 31, 39, 4, 19	Review student data such as NWEA, VADIR, grades, and attendance to identify impact of extended school day on student achievement and behavior.	Sept 2015-June 2016 Daily, Mon-Fri	Continuation Plan, p. 9	11 positions x rate per APSUE contract \$34,000 Code 16
Contract with UAlbany CHSR for required independent evaluator.	N/A	N/A	Monitor agreed-upon outcomes and measurable results outlined in approved contract.	Nov 2015-June 2016 On-going	N/A	Per contracted rate \$40,000 Code 40
Contract with In Our Own Voices to deliver PD for all faculty and students about cultural awareness and competency.	Tenet 4: Teacher Practices and Decisions	Indicator #4, 5	Monitor agreed-upon outcomes and measurable results outlined in approved contract.	Jan-June 2016	Continuation Plan, p. 17	Per contracted rate \$16,880 Code 40
Contract with Albany Peace Project's Mindful Moments (APPM) to use quick quiet-time-strategies, stress management techniques and mindfulness guides for the entire building.	Tenet 5: Student Social and Emotional Developmental Health	All Selected Indicators	Monitor agreed-upon outcomes and measurable results outlined in approved contract.	Jan-June 2016 Mon-Fri, Daily	Continuation Plan, p. 11	Per contracted rate, annual consultant fee \$3,000 Code 40
Contract with UAlbany for college student assistants for academic support.	Tenet 3: Curriculum Development and Support	Indicators #1, 33, 39, 4, 19	Monitor agreed-upon outcomes and measurable results outlined in approved contract.	Feb-June 2016 Mon-Thurs	Continuation Plan, p. 3	5 students x \$5,000 each \$25,000 Code 40
Contract with National School Climate Center to deliver services related to administration of a school culture and climate survey	Tenet 5: Student Social and Emotional Developmental Health	Indicator 6	Review student data such as NWEA and grades to identify impact of school culture and climate on student academic achievement; review VADIR and attendance data as indicators of positive school culture and climate.	Spring 2016	Continuation Plan, p. 13	Per contracted rate \$3,000 Code 40

Purchase books and related supplies to deliver Mindful Moments.	Tenet 5: Student Social and Emotional Developmental Health	All Selected Indicators	Refer to progress monitoring process for Contract with Albany Peace Project.	Jan-June 2016	Continuation Plan, p. 11	15 books x \$25 (\$375) + supplies (\$500) \$875 Code 45
Fringe benefits associated with Personnel costs.	N/A	N/A	N/A	Sept 2015-June 2016	N/A	\$242,312 Code 80
Indirect Costs @ 1.8%	N/A	N/A	N/A	N/A	N/A	\$19,531 Code 90
Total Funds Requested, Year One						\$1,119,568

Part III: Evaluation

1. How will the district select an independent evaluator to assess program implementation?

The CSDA is selecting UAlbany's Center for Human Services Research (CHSR) to conduct independent evaluation of PSSG activities.

The CSDA has an established history of contracting with CHSR for a variety of federal, state-funded, and local projects, including Magnet Schools Assistance Program, 21st Century Community Learning Centers, and the School Improvement Grants (SIG 1003g) for Albany High School and Hackett Middle School. In addition, for 2015-2016, the CSDA awarded a contract to CHSR to provide program evaluation and data analysis services for all schools in the district. Contracts for each of these evaluation services were awarded through a competitive RFP process in accordance with the CSDA's procurement policy.

Any PSSG evaluation activities will need to be in alignment with both the CSDA's on-going program evaluation and HMS SIG evaluation efforts. Therefore, the CSDA believes that utilizing CHSR to conduct PSSG evaluation provides continuity and consistency of evaluation services in terms of access to data and methodology. As a result of experience with working with the CSDA, CHSR evaluators have access to, and are fluent in working with CSDA data systems such as PowerSchool and VADIR.

The CSDA will amend the existing contract it currently has with CHSR to include PSSG-funded evaluation.

2. What is the estimated cost of the independent evaluator?

The estimated cost of the CHSR's PSSG evaluation services will be \$40,000 for year one. Contracted services include personnel and fringe benefits for a Principal Investigator and other members of the evaluation team such as a Research Project Assistants and a supervisory Director.

PSSG funds will also support a Data Coach for HMS to assist with evaluation and serve as a liaison with CHSR. This newly created, 10-month, full-time position will serve as the primary resource for collecting, analyzing, and using student achievement data to guide appropriate decisions about curriculum, assessment, and instruction for all efforts at HMS. The Data Coach will work closely with CHSR evaluators by providing access to student data, sharing uniform sets of data, monitoring effectiveness of activities through data analysis, and disseminating results to all levels of stakeholders. The total cost of the Data Coach plus related fringe benefits (prorated for year one) is \$55,208. The cost of CHSR and Data Coach is \$95,208 and meets the minimum of 5% of year one grant funds used towards evaluation.

3. When will the independent evaluator assess program implementation?

Since many of the proposed HMS PSSG-funded activities are already aligned with priorities identified by the CSDA, and included in HMS' own Continuation Plan, CHSR has already begun conducting some evaluation activities which are facilitating ongoing feedback as new program components are implemented. CHSR evaluators have been accessing existing CSDA data systems such as PowerSchool and VADIR.

Given the existing relationship between program administrators and CHSR, as well as the alignment of activities with existing initiatives, CHSR is well positioned to assess program implementation as soon as activities are launched, as well as work with the Data Coach.

CHSR and the Data Coach will assess program implementation on an on-going basis throughout the year, as new initiatives are rolled out to inform continuous quality improvement. All procedures described below will be fully implemented at the outset of programming, and will be tracked monthly, quarterly, or seasonally, depending on the nature of the data.

4. How will the independent evaluator assess program implementation?

The evaluation will include both process and outcome measures. Process measures will focus on documenting timely completion of proposed contracts and staff additions. Outcome measures have been identified, and are consistent with leading indicators for Demonstrable Improvement that were chosen for HMS' Receivership Plan. The table below specifies these indicators, identifies a data source for each, and briefly describes a progress monitoring process. In some cases, the monitoring process involves the use of related data sources that will periodically provide information to estimate progress towards a year-end goal.

Hackett Middle School Outcome Evaluation

Indicator	Data Source(s)	Progress Monitoring
AYP status for all subgroups	NYSED test data	Use NWEA fall and winter scores as benchmarks to track growth
# of weighted VADIR incidents	NYS VADIR database	Provide monthly VADIR summaries
ELA Mean Growth Percentile	NYSED test data	Use NWEA fall and winter scores, as well as quarterly grades to assess progress
Math Mean Growth Percentile	NYSED test data	Use NWEA fall and winter scores, as well as quarterly grades to assess progress
NWEA Reading Growth	MAPs database	Use NWEA fall and winter scores as benchmarks to track growth
NWEA Math Growth	MAPs database	Use NWEA fall and winter scores as benchmarks to track growth

Teacher Attendance (%)	PowerSchool	Calculate monthly attendance and identify possible interventions
% students with out-of-school suspension	NYS VADIR database	Provide monthly VADIR summaries
Rating on DTSDE Parent and Community Engagement tenet	2016 DTSDE review	Document activities of Hackett's Community Engagement Team
% LEP students Level 2+ in Math	NYSED test data	Use fall and winter NWEA Math scores, as well as 2015 NYSED performance to estimate growth
Course passing rate for Grade 8	PowerSchool	Analyze quarterly grades to assess progress and identify students for possible intervention

5. How will the independent evaluator inform the School Receiver of the results of the assessment?

CHSR will inform the School Receiver of the results of the assessment on an on-going basis with periodic reports and updates. Evaluators will prepare and deliver presentations, Data Briefs, and other data reports according to an established schedule, and in response to specific requests and funder requirements. All reports will be presented in user-friendly formats, based on stakeholder needs. Data reports will also be formatted so that targeted interventions can be identified in areas where progress is not meeting expectations.

Sharing results with the School Receiver and articulating data findings as continual feedback is vital to the implementation, on-going development, and quality improvement of HMS activities. As data collection and analyses continue over time, CHSR evaluators and the Data Coach will be able to monitor trends and share findings in order to manage and improve quality of services. Interpreting metrics in various domains and will help decision-makers understand where the school stands in relationship to the achievement of performance indicators. Results will also be shared with district-level Cabinet, the HMS Building Leadership Team, principal, teachers, CET, and the community. CHSR and the Data Coach will attend and present, as necessary at HMS monthly CET meetings.

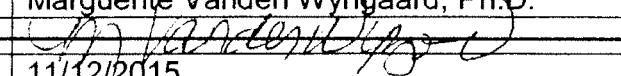
Appendix C:
Sustained Activities Certification

Additional Staff Positions:

Proposed Staff Position(s)	Description of Need for the Position(s)	Plan to Sustain Position(s) after 2016-17 school year and Funding Source
65 Teachers	Existing positions, compensation for 30 minutes of extended school day, Mon-Fri.	Per bargaining unit, only 1-year MOA. To be reviewed annually with labor managements to determine continuation.
11 Teacher Assistants, Hall Monitors, and Typists	Existing positions, compensation for 30 minutes of extended school day, Mon-Fri.	Per bargaining unit, only 1-year MOA. To be reviewed annually with labor managements to determine continuation.
School Improvement Supervisor	1.0 FTE to plan and coordinate all activities associated with the Transformation model.	CSDA General Fund
Data Coach	1.0 FTE to access and analyze data to make timely and appropriate decisions about curriculum, assessment and instruction as they relate to Transformational model interventions and activities.	CSDA General Fund
Building Principal	Existing position, stipend compensation to support additional work and responsibilities required under Receivership.	CSDA General Fund
2 Building Assistant Principals	Existing positions, stipend compensation to support additional work and responsibilities required under Receivership.	CSDA General Fund

Certification:

I, Marguerite Vanden Wyngaard, Ph.D., Superintendent Receiver of Hackett Middle School, certify that the activities described within this grant application will be sustained in the 2016-17 and 2017-18 school years, even without additional State funding. The funds from the PSSG allocation will not be used to supplant activities or services at the school, and will only be used to fund supplemental activities and services.

Superintendent Name:	Marguerite Vanden Wyngaard, Ph.D.
Superintendent Signature:	
Date:	11/12/2015

PSSG SUBMISSION CHECKLIST – Full Allocation (Option 2) or Remaining Funds Applications

Documents for Submission	Checked – applicant	Checked – SED
Appendix B – PSSG Full Allocation Application (with original signatures in <u>blue ink</u>)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Grant Application Checklist – Full Allocation or Remaining Funds Application	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Revised SCEP, SIG, OR SIF Plan, with revisions or additions highlighted in yellow.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Appendix C – Sustained Activities Certification	<input checked="" type="checkbox"/>	<input type="checkbox"/>
FS-10 Form. FS-10 available here: http://www.ops.nySED.gov/cafe/forms/ FS-10 form submitted is for the 1st year period of 7/1/15-6/30/16	<input checked="" type="checkbox"/>	<input type="checkbox"/>

M/WBE Documents Package (containing original signatures)			
<input type="checkbox"/> Full Participation <input type="checkbox"/> Request Partial Waiver <input type="checkbox"/> Request Total Waiver			
Type of Form	Full Participation	Request Partial Waiver	Request Total Waiver
M/WBE Cover Letter	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
M/WBE 100 Utilization Plan	<input type="checkbox"/>	<input type="checkbox"/>	N/A
M/WBE 102 Notice of Intent to Participate	<input type="checkbox"/>	<input type="checkbox"/>	N/A
EEO 100 Staffing Plan and Instructions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
M/WBE 105 Contractor's Good Faith Efforts	N/A	<input type="checkbox"/>	<input type="checkbox"/>
M/WBE 101 Request for Waiver Form and Instructions	N/A	<input type="checkbox"/>	<input type="checkbox"/>
SED Comments: Has the applicant submitted all of the documents listed above? <input type="checkbox"/> Yes <input type="checkbox"/> No			
Reviewer: _____		Date: _____	

M/WBE Documents

M/WBE Goal Calculation Worksheet

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

RFP # and Title: Persistently Struggling Schools Grant

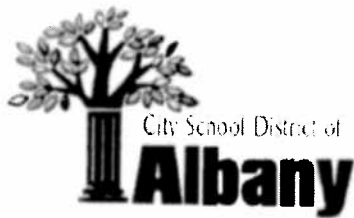
Applicant Name: City School District of Albany, Hackett Middle School

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

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

	Budget Category	Amount budgeted for items excluded from M/WBE calculation	Totals
1.	Total Budget		<u>\$1,119,568</u>
2.	Professional Salaries	<u>\$659,970</u>	
3.	Support Staff Salaries	<u>\$109,000</u>	
4.	Fringe Benefits	<u>\$242,313</u>	
5.	Indirect Costs	<u>\$19,531</u>	
6.	Rent/Lease/Utilities*	<u>\$0</u>	
7.	Sum of lines 2, 3, 4, 5, and 6		<u>\$1,030,814</u>
8.	Line 1 minus Line 7		<u>\$88,754</u>
9.	M/WBE Goal percentage (30%)		0.30
10.	Line 8 multiplied by Line 9 = M/WBE goal amount		<u>\$26,626</u>

*If not included in #5



OFFICE OF GRANTS AND PROGRAM DEVELOPMENT

*Eileen Leffler, Administrator
Rachel Hye Yonn Rupright, Grant Writer
Melinda Griffith, Senior Account Clerk
Carol Roberson, Administrative Assistant*

November 12, 2015

New York State Education Department (NYSED)
Attn: Office of Accountability
Accountability, Policy and Administration Team
55 Hanson Place
Brooklyn, New York 11217

The purpose of this letter is to provide accompanying information to the City School District of Albany (CSDA)'s M/WBE Participation Goals.

The CSDA intends to comply with NYSED's M/WBE policy for the Persistently Struggling Schools Grant Application. However, due to internal procurement policies and timeline of Board of Education approval for all contracted services, the CSDA is requesting deferred compliance. Within thirty days of the date of notice of award, the CSDA will submit the required information and documentation (as noted on page 50 of the RFP) for stating which method of compliance and respond satisfactorily to any follow-up questions from NYSED.

If additional information is needed or for further questions at this time, please contact me.

Sincerely,

Eileen Leffler
Administrator for Grants and Program Development

The University of the State of New York
THE STATE EDUCATION DEPARTMENT

PROPOSED BUDGET FOR A
FEDERAL OR STATE PROJECT
FS-10 (03/15)

☐ = Required Field

Local Agency Information

Funding Source:	Persistently Struggling Schools Grant, 15-17		
Report Prepared By:	Marguerite Vanden Wyngaard, Ph.D.		
Agency Name:	City School District of Albany (Hackett Middle School)		
Mailing Address:	1 Academy Park		
	Street		
	Albany	NY	12207
	City	State	Zip Code
Telephone # of Report Preparer:	518-476-6081	County:	Albany
E-mail Address:	eleflier@albany.k12.ny.us		
Project Funding Dates:	7/1/2015	6/30/2016	
	Start	End	

INSTRUCTIONS

- Submit the original FS-10 Budget and the required number of copies along with the completed application directly to the appropriate State Education Department office as indicated in the application instructions for the grant program for which you are applying. DO NOT submit this form to Grants Finance.
- The Chief Administrator's Certification on the Budget Summary worksheet must be signed by the agency's Chief Administrative Officer or properly authorized designee.
- An approved copy of the FS-10 Budget will be returned to the contact person noted above. A window envelope will be used; please make sure that the contact information is accurate and confined to the address field without altering the formatting.
- For information on budgeting refer to the Fiscal Guidelines for Federal and State Aided Grants at <http://www.oms.nysed.gov/cafe/guidance/>.

SALARIES FOR PROFESSIONAL STAFF			
Subtotal - Code 15			\$659,970
Specific Position Title	Full-Time Equivalent	Annualized Rate of Pay	Project Salary
Teachers, compensation for 30 minutes of extended school day	65 teachers	Per APSTA contract	\$530,611
School Improvement Supervisor, 12 month	1.00	\$112,918	\$56,459
Data Coach, 10 month	1.00	\$63,167	\$37,900
Principal	Stipend	\$15,000	\$15,000
Assistant Principals (x2)	Stipend	\$10,000 each x 2	\$20,000

SALARIES FOR SUPPORT STAFF			
Subtotal - Code 16			\$109,000
Specific Position Title	Full Time Equivalent	Annualized Rate of Pay	Project Salary
Community Outreach Workers			\$75,000
Hall monitors, teacher assistants (TA), and typists; compensation for 30 minutes of extended school day	11 hall monitors, TAs, and typists	Per APSUE contract	\$34,000

PURCHASED SERVICES			
Subtotal - Code 40			\$87,880
Description of Item	Provider of Services	Calculation of Cost	Proposed Expenditure
Independent, external evaluation	UAlbany, Center for Human Services Research	\$40,000.00	\$40,000
Professional development for faculty and students about cultural awareness and competency	In Our Own Voices	\$16,880.00	\$16,880
Purchase Mindful Momenets: Quiet-time strategies, stress management techniques, and mindfulness guides for faculty and students	Albany Peace Project	\$3,000.00	\$3,000
College student assistants for academic support to HMS students 4x/week during extended day	UAlbany	5 student assistants x \$5,000 each	\$25,000
Services related to delivery and administration of a school culture and climate survey	National School Climate Center	\$3,000.00	\$3,000

SUPPLIES AND MATERIALS			
Subtotal - Code 45			\$875
Description of Item	Quantity	Unit Cost	Proposed Expenditure
Books and related supplies to deliver Mindful Moments	15.00	\$25.00	\$375
Related supplies to deliver Mindful Moments	Varies	Varies	\$500

Employee Benefits		
Subtotal - Code 80		\$242,312
Benefit		Proposed Expenditure
Social Security		\$58,826
Retirement	New York State Teachers	\$87,512
	New York State Employees	\$20,383
	Other - Pension	
Health Insurance		\$57,904
Worker's Compensation		\$11,535
Unemployment Insurance		\$6,152
Other (Identify)		

INDIRECT COST		
A.	Modified Direct Cost Base -- Sum of all preceding subtotals (codes 15, 16, 40, 45, 46, and 80 and excludes the portion of each subcontract exceeding \$25,000 and any flow through funds) **Manual Entry	\$1,085,038
B.	Approved Restricted Indirect Cost Rate	1.80%
C.	Subtotal - Code 90	\$19,531

For your information, maximum direct cost base = \$1,100,037.00

To calculate Modified Direct Cost Base, reduce maximum direct cost base by the portion of each subcontract exceeding \$25,000 and any flow through funds.

BUDGET SUMMARY

SUBTOTAL	CODE	PROJECT COSTS
Professional Salaries	15	\$659,970
Support Staff Salaries	16	\$109,000
Purchased Services	40	\$87,880
Supplies and Materials	45	\$875
Travel Expenses	46	
Employee Benefits	80	\$242,312
Indirect Cost	90	\$19,531
BOCES Services	49	
Minor Remodeling	30	
Equipment	20	
Grand Total		\$1,119,568

Agency Code: 010100010000

Project #: 0564-16-0001

Contract #:

Agency Name: City School District of Albany

CHIEF ADMINISTRATOR'S CERTIFICATION

By signing this report, I certify to the best of my knowledge and belief that the report is true, complete, and accurate, and the expenditures, disbursements, and cash receipts are for the purposes and objectives set forth in the terms and conditions of the Federal (or State) award. I am aware that any false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to criminal, civil, or administrative penalties for fraud, false statements, false claims, or otherwise. (U.S. Code Title 18, Section 1001 and Title 31, Sections 3729-3730 and 3801-3812).

11/12/15
Date

Signature

Arguerite Vanden Wyngaard, Ph.D., Superintendent
Name and Title of Chief Administrative Officer

FOR DEPARTMENT USE ONLY

Funding Dates:

7/1/15
From6/30/16
To

Program Approval:

Date:

11/13/15

Fiscal YearFirst PaymentLine #

16

279,892

Voucher #

First Payment

RECEIVED

DEC 14 2015

GRANTS FINANCE

Receivership and Non-Receivership Schools

2016-17 Continuation Plan Guidance

School Improvement Grant (SIG) School Innovation Fund (SIF),
and Persistently Struggling Schools Grant (PSSG)

Maximum Funding Available

Funding is to be commensurate to the needs of the school, number of students served, phase of implementation, and inclusive of district-level (central office) costs. All grants, regardless of type or dollar amount, are subject to further review, monitoring, and audit to ensure compliance. NYSED has the right to recoup funds if the approved activities are not performed and/or the funds are expended inappropriately.

2016-17:

Grant	16-17 YEAR	16-17 Award	Carryover Option	Budget Period Dates
SIF Cohort 3	3rd year/final	\$250,000	No	7/1/16 – 6/30/17
PSSG	2 nd year/final	Varies	Yes (2016-17 only)	7/1/16 – 3/31/17
SIG Cohort 3	5 th year/final	\$250,000	No	9/1/16 - 8/31/17
SIG Cohort 4	4th year	\$500,000	No	9/1/16 - 8/31/17
SIG Cohort 5	3rd year	\$500,000	No	7/1/16 – 6/30/17
SIG Cohort 6	2nd year	\$500,000	Yes (2016-17 only)	7/1/16 – 6/30/17

Tentative funding amounts for future fund years are as follows:

2017-18:

SIG Cohort 4 – 5th year - \$250,000
SIG Cohort 5 – 4th year - \$500,000
SIG Cohort 6 – 3rd year - \$500,000

2018-19:

SIG Cohort 5 – 5th year - \$250,000
SIG Cohort 6 – 4th year - \$250,000

2019-20:

SIG Cohort 6 – 5th year - \$250,000

Application Submission and Approval Timeline

3 rd Quarter Report and Continuation plan issued:	March 22, 2016
Complete plans/reports due:	April 29, 2016
NYSED review:	May 2 to May 13, 2016
May Performance Review Calls:	Weeks of May 16 to 27, 2016

Documents due April 29, 2016 unless otherwise specified

- ☐ 3rd Quarter Report/Continuation Plan or Mid-Year Report and Continuation Plan
- ☐ Budget narrative (schools with SIG 3, 4, 5, 6, or SIF 3, and/or PSSG)
- ☐ 2016-2017 FS-10 for each school (SIG 3, 4, 5, 6, or SIF 3, and/or PSSG)
- ☐ Attachment D: Budget Summary Chart (SIG 3, 4, 5, 6, or SIF 3, and/or PSSG)
- ☐ Attachment B: Performance Target Chart (Non-ReceiverShip SIG 3, 4, 5, 6 and SIF 3 Schools). Due to OISR@NYSED.gov no later than August 31, 2016.
- ☐ Draft MOU for EPO/lead partner (SIG Restart model, SIF 3, SIG 6 Innovation Framework Schools) Finals will be due June 1, 2016. MOUs are to be in effect 7/1/16 – 6/30/17.
- ☐ Sustained Activities Certification (PSSG schools only)

Allowable and Non-Allowable Costs (SIG, SIF, PSSG)

All proposed SIG, SIF, PSSG costs for the 2016-17 project period must be reasonable, directly connected and aligned to the implementation of the plan and model. All plans must contain a clear explanation and strong justification for how costs are directly connected to building the capacity of the teachers, leaders, staff, and stakeholders in the school, or to providing student access to high quality instruction and/or academic enrichment.

LEAs are discouraged from budgeting for supplies and materials (e.g., smart boards, I-pads, computers, computer software, general office supplies, etc.) that appear to be independent or ancillary to the organizational or pedagogical functioning of the plan, or that appear to be budgeted merely as a means to draw down funds or that could be conceived as supplanting local funds.

If an LEA chooses to budget for supplies and materials (e.g., smart boards, I-pads, computers, computer software, etc.), it must demonstrate the cost to be inextricably linked to identified needs, direct capacity building for adults, and/or instructional access and opportunity for students.

Non-Allowable:

- The purchase of equipment (defined as equipment items having a unit value of \$5,000 or more with a useful life of more than one year) is not allowed.
- Funds provided through a Persistently Struggling Schools Grant may not be used to fund, in whole or in part, existing programs and services, including but not limited to existing staff salaries.

Allowable:

- **SIG 3, 4, 5, 6/SIF 3** funding directed at district-level administration and support activities may be no greater than ten percent (10%) of the total funding for project period.
- **SIG 3, 4, 5, 6/SIF 3** funding for Supplies/Materials may be no greater than ten percent (10%) of the total funding for project period.
- **PSSG** must set aside a portion of the grant (no less than 5%) to pay for an external evaluator to assess program implementation in Year 2.

NYSED Office of Innovation and School Reform (OISR) Review and Approval Process

Staff from NYSED OISR will review the 3RD Quarter Report/Continuation Plan and the Mid-Year Report/Continuation Plan to ensure the fidelity of the proposed activities to the original plan to determine if the budgeted costs are reasonable and appropriate. During the May progress monitoring calls with district staff, NYSED OISR may request that LEAs provide additional program and/or budget clarification or justification prior to approval. NYSED OISR staff will eliminate any budgeted costs that are determined to be unreasonable, non-allowable or too loosely connected to the 2016-17 plan, which will be reflected in the approved budget amount in the grant award notice issued by the NYSED Grants Finance Office.

Submission

Complete reports/plans must be submitted electronically to OISR@NYSED.GOV; with additional electronic submission sent to your OISR liaison. In addition, one original plan plus one copy must be mailed by postal service to:

New York State Education Department
Office of Innovation and School Reform – 5N EB Mezzanine
89 Washington Ave
Albany, New York 12234
Attn: Report/Continuation Plan



THE STATE EDUCATION DEPARTMENT / THE UNIVERSITY OF THE STATE OF
NEW YORK / ALBANY, NY 12234

Dr. Cheryl L. H. Atkinson, Assistant Commissioner
Office of Innovation and School Reform
5N EB Mezzanine
Telephone: (518)473-8852
Fax: (518)473-4502

TO: Persistently Struggling Schools' Superintendent Receivers and Grant Managers

FROM: Dr. Cheryl Atkinson, Assistant Commissioner

DATE: June 9, 2016

RE: Persistently Struggling Schools Grants - Access to unexpended Year 1 funds for schools removed from Receivership for the 2016-17 school year

Recently, the New York State Education Department informed you that those Persistently Struggling Schools that will receive Year 2 Persistently Struggling Schools Grant funds (those that remain Persistently Struggling in 2016-17) will be able to use unexpended Year 1 funds during Year 2.

Understandably, superintendent receivers and district-level grant managers have questioned whether or not those Persistently Struggling Schools removed from Receivership for 2016-17 will also have access to any unexpended Year 1 Persistently Struggling Grant funds.

Unfortunately, this matter is still pending approval by the New York State Division of Budget. We will be certain to inform you as soon as we are notified.

If you have any questions, please contact me or LoriAnn Curtin by phone at 518-473-8852 or via email at Cheryl.Atkinson@nysed.gov or LoriAnn.Curtin@nysed.gov.

Thank you.



July 28, 2016

VIA OVERNIGHT MAIL

Robert Mujica
Director of the Budget
New York State Division of Budget
State Capitol
Albany, NY 12224

Dear Mr. Mujica:

We write on behalf of parents in schools that received the first year of the Persistently Struggling School Grant ("PSSG"), and in the spring of 2016 were deemed not longer to be "persistently struggling" or "persistently failing" by the State Education Department.

The spokesman for the Division of Budget was quoted in a May 23 Times Union article as saying, in reference to the allotment of second year of the PSSG to these schools, "[t]o suggest that these schools should remain eligible for the funding even though they were removed from the program is contrary to the law." See:

<http://www.timesunion.com/local/article/Extra-aid-for-New-York-state-schools-in-dispute-7941171.php>

We are writing to request that you advise as to whether the Division of Budget will release funding under the PSSG grant to these schools for the 2016-17 school year. Given the necessity to plan for the upcoming school year, these funds must be promptly released to the affected schools. If you or your Office does not respond to our request within ten days, we will deem that failure as a statement by the Division of Budget that it is withholding funding under the PSSG from these schools for the 2016-17 school year.

Thank you for your attention to this matter. If you have any questions or would like to discuss further, please do not hesitate to contact me.

Sincerely,

A handwritten signature in black ink, appearing to be 'W. Lecker', with a long horizontal stroke extending to the right.

Wendy Lecker
Senior Attorney
Education Law Center
60 Park Place, Ste 300
Newark, NJ 07102

cc: Dr. Betty Rosa,
Chancellor, NYS Board of Regents
Mr. Billy Easton,
Executive Director, Alliance for Quality Education