

5.) SUBMISSION DOCUMENTS

**RESPONSE TO
REQUEST FOR PROPOSAL #TA-01
NEW YORK STATE EDUCATION DEPARTMENT**

Title: Evaluation of New York State interventions in Persistently Lowest Achieving(PLA)/Schools Under Registration Review (SURR) Schools and Differentiated Accountability (DA) System

To respond to the RFP, which is noted above, you must complete all the documents that are contained in this package, signing each individual document as required. Attach any other pertinent information that responds to the information requested in the RFP and mail the documents to ensure they are received by the due date that is stated on the cover of the RFP, in a sealed envelope labeled:

Submit each of the following documents in separately sealed envelope:

- Technical Proposal labeled **Technical Proposal - RFP #TA-01 Do Not Open**
- Cost Proposal labeled **Cost Proposal – RFP #TA-01 Do Not Open**
- CD-ROM containing technical/ cost proposal labeled **CD-ROM– RFP #TA-01 Do Not Open**
- M/WBE Documents labeled **M/WBE Documents—RFP #TA-01 Do Not Open**

To:

**NYS Education Department
Bureau of Fiscal Management
Contract Administration Unit
Attn: Lynn Caruso (TA-01)
89 Washington Avenue, Room 505W EB
Albany, NY 12234**

Index of Documents:

- | | | |
|-----|--|---------------------------|
| 1.) | Response Sheet to Bids | Signature Required |
| 2.) | Assurances: | Signature Required |
| | ◆ Non-collusion Certification | |
| | ◆ MacBride Certification | |
| | ◆ Certification-Omnibus Procurement Act of 1992 | |
| | ◆ Certifications Regarding Lobbying; Debarment and Suspension;
and Drug-Free Workplace Requirements | |
| | ◆ Offerer Disclosure of Prior Non-Responsibility Determinations | |
| 3.) | Mandatory Requirements Certification Form | Signature Required |
| 4.) | Non-Disclosure Agreement | Signature Required |
| 4.) | Bid Form – Cost Proposal | |
| 5.) | Detailed Budget - Schedule of Deliverables | |
| 5.) | Three Year Budget Summary | Signature Required |
| 6.) | Subcontracting Form | |
| 7.) | M/WBE Subcontracting/Supplier Form | |
| 8.) | M/WBE Documents | Signature Required |
| | • M/WBE Cover Letter | |
| | • M/WBE 100 Utilization Plan | |
| | • M/WBE 102 Notice of Intent to Participate | |
| | • EEO 100 Staffing Plan | |

Response Sheet for Bids

Please complete the bidder section on this sheet even if you choose not to bid. Read the detailed specifications, terms, and conditions, and submit this form along with your completed bid form and supporting materials.

Agency and Bid-Delivery Information

Bids may not be faxed. To ensure the confidentiality of your bid before the bid opening, enclose your bid within an envelope labeled

**Bid Proposal #TA-01
DO NOT OPEN**

Place this sealed envelope within another envelope labeled with the delivery information.

Bidder Information—Please Complete This Section

Please complete the following even if you are choosing not to bid; responses must be legible. By signing, you indicate your express authority to sign on behalf of yourself, or your company or other entity and full knowledge and acceptance of the terms and conditions of the bid. You also affirm that you understand and agree to comply with the procedures of the NYSED relative to permissible contacts as required by State Finance Law §139-j (3) and §139-j (6) (b).

<u>Name of Company Bidding</u>	<u>Employer's Federal Tax ID Number</u>

Address	<i>Street</i>	<i>City</i>	<i>State</i>	<i>Zip Code</i>

Check one of the following:

I certify that my organization has filed its Vendor Responsibility Questionnaire online via the New York State VendRep System and that the current questionnaire was certified within the past six months.

I am including a completed paper copy of the Vendor Responsibility Questionnaire with the bid proposal.

My entity is exempt based on the OSC listing.

Other, explanation: _____

I am **not** submitting a bid. Please complete and submit this sheet only; in addition, please indicate why you have chosen not to bid.

Bidder's Signature	<i>Date</i>	<i>E-mail</i>
	<i>Phone</i>	<i>Fax</i>

Print Name as Signed and Title

The New York State Education Department reserves the right to request any additional information deemed necessary to properly review bids.

NON-COLLUSIVE BIDDING CERTIFICATION

In accordance with Section 139-d of the State Finance Law and paragraph 7 of Appendix A (Standard Clauses for NYS Contracts), the bidder hereby affirms, under penalty of perjury:

By submission of this bid, each bidder and each person signing on behalf of any bidder certifies, and in the case of a joint bid each party thereto certifies as to its own organization, under penalty of perjury, that to the best of his knowledge and belief:

- (1) The prices in this bid have been arrived at independently without collusion, consultation, communication, or agreement, for the purpose of restricting competition, as to any matter relating to such prices with any other bidder or with any competitor;
- (2) Unless otherwise required by law, the prices which have been quoted in this bid have not been knowingly disclosed by the bidder and will not knowingly be disclosed by the bidder prior to opening, directly or indirectly, to any other bidder or to any competitor; and
- (3) No attempt has been made or will be made by the bidder to induce any other person, partnership or corporation to submit or not to submit a bid for the purpose of restricting competition.

The person signing on behalf of the bidder further affirms that he/she is authorized and responsible for signing this certificate.

Company Name: _____

Printed Name and Title of Authorized Representative:

Signature: _____

Date: _____

Proposal: _____

Commodity: _____

MacBride Certification

**"NONDISCRIMINATION IN EMPLOYMENT IN NORTHERN IRELAND:
MacBRIDE FAIR EMPLOYMENT PRINCIPLES**

In accordance with Chapter 807 of the laws of 1992 the bidder, by submission of this bid, certifies that it or any individual or legal entity in which the bidder holds a 10% or greater ownership, or any individual or legal entity that holds a 10% or greater ownership in the bidder, either:

(Answer Yes or No to one or both of the following, as applicable)

1. Has business operations in Northern Ireland:

_____ Yes _____ No

If yes:

2. Shall take lawful steps in good faith to conduct any business operations they have in Northern Ireland in accordance with the MacBride Fair Employment Principles relating to nondiscrimination in employment and freedom of workplace opportunity regarding such operations in Northern Ireland, and shall permit independent monitoring of compliance with such principles.

_____ Yes _____ No

Company Name: _____

Printed Name and Title of Authorized Representative:

Signature: _____

Date: _____

Proposal: _____

Commodity: _____

CERTIFICATION – OMNIBUS PROCUREMENT ACT OF 1992

The Omnibus Procurement Act of 1992 requires that by signing this RFP/bid proposal, contractors certify that whenever the total bid amount is greater than \$1 million:

1. The contractor has made reasonable efforts to encourage the participation of New York State Business Enterprises as suppliers and subcontractors on this project, and has retained the documentation of these efforts to be provided upon request to the State;
2. The contractor has complied with the Federal Equal Opportunity Act of 1972 (P.L. 92-261), as amended;
3. 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;
4. The contractor acknowledges notice that New York 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.

Name: _____

Title: _____

Company Name: _____

Date: _____

Required Assurances

CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS

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

1. LOBBYING

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

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

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

(c) The undersigned shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including sub-grants, contracts under grants and cooperative agreements, and subcontracts) and that all sub-recipients shall certify and disclose accordingly.

2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS

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

A. The applicant certifies that it and its principals:

- (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
- (b) Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal,

State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (2)(b) of this certification; and

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

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

3. DRUG-FREE WORKPLACE (GRANTEES OTHER THAN INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610 -

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an on-going drug-free awareness program to inform employees about:

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will:

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Director, Grants Policy and Oversight Professional, U.S. Department of Education, 400 Maryland Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted:

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, and zip code)

Check if there are workplaces on file that are not identified here.

**DRUG-FREE WORKPLACE
(GRANTEES WHO ARE INDIVIDUALS)**

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.610-

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Director, Grants Policy and Oversight Professional, Department of Education, 400 Maryland Avenue, S.W. (Room 3652, GSA Regional Office building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected grant.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications. The applicant will provide immediate written notice to the NYSED Contract Administration Unit if at any time the applicant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

NAME OF APPLICANT	PR/AWARD NUMBER AND / OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE
CONTRACT YEAR	CONTRACT NUMBER

Instructions: The attached form is to be completed and submitted by the individual or entity seeking to enter into a Procurement Contract. It shall be submitted to the State Education Department.

Offerer Disclosure of Prior Non-Responsibility Determinations

Name of Individual or Entity Seeking to Enter into the Procurement Contract:

Address: _____

Name and Title of Person Submitting this Form: _____

Contract RFP Number: _____

Date: _____

1. Has any Governmental Entity made a finding of non-responsibility regarding the individual or entity seeking to enter into the Procurement Contract in the previous four years? (Please circle):

No Yes

If yes, please answer the next questions:

2. Was the basis for the finding of non-responsibility due to a violation of State Finance Law §139-j (Please circle):

No Yes

3. Was the basis for the finding of non-responsibility due to the intentional provision of false or incomplete information to a Governmental Entity? (Please circle):

No Yes

4. If you answered yes to any of the above questions, please provide details regarding the finding of non-responsibility below.

Governmental Entity: _____

Date of Finding of Non-responsibility: _____

Basis of Finding of Non-Responsibility: _____

(Add additional pages as necessary)

5. Has any Governmental Entity or other governmental agency terminated or withheld a Procurement Contract with the above-named individual or entity due to the intentional provision of false or incomplete information? (Please circle):

No Yes

6. If yes, please provide details below.

Governmental Entity: _____

Date of Termination or Withholding of Contract: _____

Basis of Termination or Withholding: _____

(Add additional pages as necessary)

Offerer certifies that all information provided to the Governmental Entity with respect to State Finance Law §139-k is complete, true and accurate.

By: _____ Date: _____

Signature

Name: _____

Title: _____

Mandatory Requirements Certification Form

Evaluation of New York State interventions in Persistently Lowest Achieving (PLA)/Schools Under Registration Review (SURR) Schools and Differentiated Accountability (DA) System

By signing this form, the undersigned agrees it can provide and/or meet all of the requirements listed below:

The vendor must agree to adhere to all of the below referenced Mandatory Requirements. If the vendor fails to meet any of these mandatory requirements, their proposal will be disqualified and removed from further consideration.

Mandatory Bid Requirements

1. Vendors must bid on all aspects of the implementation and impact evaluations of PLA/SURR schools and DA system.
2. A Project Director must be assigned to manage the project.
3. Any proprietary materials considered confidential by the bidder must specifically be so identified, and the basis for such confidentiality must be specifically set forth in the proposal.
4. For those activities that will be subcontracted, vendor names, M/WBE status, specific services, and costs must be specifically indicated on the Subcontracting Form located in the Submission Documents section of this RFP.
5. The bidder must include with the submission of the technical proposal, at least three current professional references to substantiate qualifications. Current shall mean references for whom the vendor has performed work within the last three years. Do not use NYSED staff as references.
6. All bidders must sign and return the Mandatory Requirements Certification located in "5.) Submission Documents." Proposals that do not include the signed Mandatory Requirements Certification will be disqualified and removed from further consideration.
7. All of the evaluations for the implementation and impact must be in accordance with the guidelines described in this RFP.
8. The vendor shall reproduce, use, display, and include copies of NYSED's trademarks, trade name, logos, copyrights, and other intellectual property (collectively, the "Marks") on all copies of materials produced for NYSED. The vendor acknowledges that the Marks are owned solely and exclusively by NYSED, and nothing contained in the resulting contract shall give the vendor any ownership right or interest in such Marks.
9. All vendors must adhere to NYSED's security protocols regarding the transmission of secure materials (Attachment 1). Electronic transfer via e-mail, Internet, or facsimile (FAX) of information is not permitted unless authorized by NYSED.
10. All materials are to be held strictly confidential and must not be copied, duplicated, or disseminated in any manner or discussed with anyone other than persons authorized by NYSED.
11. The vendor and all of its subcontractors performing work on the contract resulting from this RFP must sign a Non-Disclosure Agreement (Attachment 2) provided by NYSED, assuring the confidentiality of all work and discussions carried out under this contract after the contract is awarded. These signed agreements must be submitted to NYSED within thirty days after the contract has been executed.

- 12. All invoices submitted for payment must include dates of services and an itemized list of activities and costs consistent with the approved Schedule of Deliverables contained in the executed contract. Payment(s) for subcontractor(s) must list the subcontractor's name(s), payment amount(s), and nature of services provided separately on the invoice submitted. Invoices with incomplete information will be returned to the vendor.
- 13. The vendor must retain and update records and accounts on a monthly basis and must be able to prepare and submit statistical, narrative, and/or financial summaries related to this contract as requested by NYSED.
- 14. The vendor agrees to cooperate with NYSED with respect to any questions regarding the analysis of the data.
- 15. All draft technical reports and other deliverables must be subject to careful and complete editing by the contractor's editors and proofreaders before the vendor submits them to NYSED for review and approval.
- 16. Any vendor staff travel must be in accordance with the approved NYS rates. New York State rates are available at: <http://www.gsa.gov/>
- 17. Bidders must comply with NYSED's M/WBE requirements.

Proposals that do not include the signed Mandatory Requirements Certification will be disqualified and removed from further consideration.

Vendor Signature		Date	
Printed Name			
Company Name			
Company Address			

Attachment 2

**NON-DISCLOSURE AGREEMENT
New York State Education Department
Office of Accountability (OA)**

Name: _____

Title: _____

Organization: _____

Type of work to be performed: _____

Date(s) of work to be performed: _____

By signing this agreement, you agree to abide by the following security restrictions and ownership provisions. Please retain a copy of this non-disclosure agreement for your records.

Secure and Confidential Information

I acknowledge that information provided by OA or developed by me or my organization related to the work described above includes secure and confidential information that is the property of the New York State Education Department (“Department”). I acknowledge that such secure and confidential information includes many items, including but not limited to the following information types:

- a) any reports, prior to public release by the Department;
- b) the results of any analyses or studies, whether provided to me by OA or developed by me or my organization, prior to public release by the Department;
- c) any individual student data or information; and
- d) any other confidential information that has not been made available to the general public by the Department.

By signing this agreement, I agree to maintain and honor the confidentiality of all information and to abide by the following restrictions:

- 1) I agree not to disclose any secure or confidential materials, information, or technical reports, whether in draft or final form, to anyone other than OA staff or other person(s) participating in the work described above, unless specifically authorized to do so by OA. I also agree not to disclose such materials to any Department staff other than OA staff without the prior permission of OA.

- 2) If I am responsible for supervising other staff or subcontractors, I agree to limit the access and use of secure and confidential materials to only those individuals who have a legitimate need to access such materials in order to perform the work described above.
- 3) I agree to provide appropriate training, guidance, and oversight to any staff or subcontractors under my supervision who may work with secure or confidential materials in order to maintain the security of such materials.
- 4) Upon completion of the work described above, I agree to securely store or return all secure and confidential materials provided to or prepared by me, including all copies thereof and all notes prepared by me, in accordance with the instructions given to me by OA.
- 5) I understand that secure and confidential materials are not to be copied or duplicated in any way, shared with or discussed with anyone other than OA staff or other person(s) participating in the work described above, unless specifically authorized to do so by OA.
- 6) I agree to immediately report to OA if I learn of or suspect any potential misuse of secure and confidential information.

Ownership and Return of Secure Materials

All materials are the property of the Department, including all materials prepared by me in the course of my participation in the work described above. All such materials prepared by me are being commissioned by the Department and shall be works made for hire as defined by the United States Copyright Law. In the event that such materials prepared by me are deemed not to be works made for hire, I hereby assign to the Department any and all right, title and interest I may have, including but not limited to any copyright, in the work commissioned by the Department.

I, _____, have read the non-disclosure agreement above and agree to abide by the security restrictions and ownership provisions described herein.

Signature: _____

Please Print: Date: _____

Name: _____

Title: _____

Address: _____

City: _____ State: _____ Zip: _____

Telephone: (_____) _____

E-mail: _____

BID FORM
NYS Education Department
Evaluation of New York State interventions in Persistently Lowest Achieving (PLA)/Schools Under Registration Review (SURR) Schools and Differentiated Accountability (DA) System
COST PROPOSAL (Whole dollar figures only)

Staff Resources – Employees (Titles/ Hourly Rates)	Est HRs	Projected Cost
Total Staff Costs	N / A	\$

Fringe Benefits	Rate	Projected Cost
		\$

Purchased Services – Non-Employees		
Consultants (including travel, etc.)		\$
Other (Describe)		\$
Total Purchased Services		

Non Personal Service Items	Projected Cost
Supplies and Materials	
Employee Travel	
Total Non Personal Service	\$

Other Costs (attach list if necessary)	Projected Cost
Indirect Costs (Rate %)	\$

	Total Cost
Total Project Costs	\$

Vendor Signature		Date:	
Printed Name			
Company Name			
Company Address			

Subcontracting is limited to ___% of non-employee direct personal services and related incidental expenses, including travel.

Annual Schedule of Deliverables for PLA/SURR & DA

Year 1: September 1, 2011 – August 31, 2012

Please include the following components for each deliverable¹:

- Total Staff Cost
- Total Fringe Benefit Cost
- Total Purchased Services (non-employee consultants, subcontractors² and related travel)
- Total Non-Personal Services (supplies and materials, employee travel, printing, etc.)
- Other Costs (indirect costs, overhead, etc.)

ACTIVITY/DELIVERABLES			MONTH		COST
Detailed 12 month initial evaluation plan with timeline, study methodology, data collection instruments and plan, and analysis and reporting plans to implement the evaluation and finalize the work plan provided in the project narrative and work plan sections of the bidders response.			September 2011 – November 2011		
Total Staff Cost	Total Fringe Benefit Cost	Total Purchased Services	Total Non-Personal Services	Other Costs	
Quarterly work plan/time table of study Milestones: Work towards 1) annual preliminary evaluation findings of implementation of models adopted by PLA/SURR districts and schools & required interventions in DA; 2) preliminary analysis of effects of implementation of intervention models on student achievement of PLA/SURR districts and schools; and 3) effects of implementation of intervention of DA phase and category requirements on student achievement.			December 2011 – February 2012		
Total Staff Cost	Total Fringe Benefit Cost	Total Purchased Services	Total Non-Personal Services	Other Costs	

¹ Vendors should be prepared to show how they derived the amounts listed in each column for each activity should they be subject to audit by NYSED or the NYS Office of the State Comptroller.

² Subcontracting is defined as non-employee direct personal services and related incidental expenses, including travel.

Year 1: September 1, 2011– August 31, 2012 (Continued)

ACTIVITY			MONTH		COST
Quarterly work plan/time table of study Milestones: Work towards 1) annual preliminary evaluation findings of implementation of models adopted by PLA/SURR districts and schools & required interventions in DA; 2) preliminary analysis of effects of implementation of intervention models on student achievement of PLA/SURR districts and schools; and 3) effects of implementation of intervention of DA phase and category requirements on student achievement.			March 2012 – May 2012		
Total Staff Cost	Total Fringe Benefit Cost	Total Purchased Services	Total Non-Personal Services	Other Costs	
Quarterly work plan/time table of study Milestones: Work towards 1) annual preliminary evaluation findings of implementation of models adopted by PLA/SURR districts and schools & required interventions in DA; 2) preliminary analysis of effects of implementation of intervention models on student achievement of PLA/SURR districts and schools; and 3) effects of implementation of intervention of DA phase and category requirements on student achievement.			June 2012 – August 2012		
Total Staff Cost	Total Fringe Benefit Cost	Total Purchased Services	Total Non-Personal Services	Other Costs	
Preliminary 12-month evaluation and analysis. Report outlining methodologies and strategies used to collect and analyzed data collected through the first 12 months.			August 2012		
Total Staff Cost	Total Fringe Benefit Cost	Total Purchased Services	Total Non-Personal Services	Other Costs	

**Annual Schedule of Deliverables for PLA/SURR and DA
Year 2: September 1, 2012– August 31, 2013**

ACTIVITY			MONTH		COST
Quarterly work plan/time table of study Milestones: Work towards 1) annual preliminary evaluation findings of implementation of models adopted by PLA/SURR districts and schools & required interventions in DA; 2) preliminary analysis of effects of implementation of intervention models on student achievement of PLA/SURR districts and schools; and 3) effects of implementation of intervention of DA phase and category requirements on student achievement.			September 2012 – November 2012		
Total Staff Cost	Total Fringe Benefit Cost	Total Purchased Services	Total Non-Personal Services	Other Costs	
Submit formative analysis of: 1) the implementation of intervention models in PLA/SURR districts and schools; 2) the implementation of required interventions in DA schools; 3) the impact on student achievement in PLA/SURR districts and schools and 4) implementation of intervention of DA phase and category requirements on student achievement. The analysis must include recommendations for possible areas of improvement districts and schools may make within the course of the evaluation study that could have a positive impact on student achievement, equity and accountability.			November 2012		
Total Staff Cost	Total Fringe Benefit Cost	Total Purchased Services	Total Non-Personal Services	Other Costs	

Year 2: September 1, 2012 – August 31, 2013 (Continued)					
ACTIVITY			MONTH		COST
Quarterly work plan/time table of study Milestones: Work towards 1) annual preliminary evaluation findings of implementation of models adopted by PLA/SURR districts and schools & required interventions in DA; 2) preliminary analysis of effects of implementation of intervention models on student achievement of PLA/SURR districts and schools; and 3) effects of implementation of intervention of DA phase and category requirements on student achievement.			December 2012 – February 2013		
Total Staff Cost	Total Fringe Benefit Cost	Total Purchased Services	Total Non-Personal Services	Other Costs	
Preliminary report of: 1) the implementation of intervention models in PLA/SURR districts and schools; 2) the implementation of required interventions in DA schools; 3) the impact on student achievement in PLA/SURR districts and schools and 4) implementation of intervention of DA phase and category requirements on student achievement.			January 2013		
Total Staff Cost	Total Fringe Benefit Cost	Total Purchased Services	Total Non-Personal Services	Other Costs	
Quarterly work plan/time table of study Milestones: Work towards 1) annual preliminary evaluation findings of implementation of models adopted by PLA/SURR districts and schools & required interventions in DA; 2) preliminary analysis of effects of implementation of intervention models on student achievement of PLA/SURR districts and schools; and 3) effects of implementation of intervention of DA phase and category requirements on student achievement.			March 2013 – May 2013		
Total Staff Cost	Total Fringe Benefit Cost	Total Purchased Services	Total Non-Personal Services	Other Costs	

Year 2: September 1, 2012 – August 31, 2013 (Continued)					
ACTIVITY			MONTH		COST
Final Report: 1) the implementation of intervention models in PLA/SURR districts and schools; 2) the implementation of required interventions in DA schools; 3) the impact on student achievement in PLA/SURR districts and schools and 4) implementation of intervention of DA phase and category requirements on student achievement. The report must include an Executive Summary for each of the above.			March 2013		
Total Staff Cost	Total Fringe Benefit Cost	Total Purchased Services	Total Non-Personal Services	Other Costs	
Quarterly work plan/time table of study Milestones: Work towards 1) annual preliminary evaluation findings of implementation of models adopted by PLA/SURR districts and schools & required interventions in DA; 2) preliminary analysis of effects of implementation of intervention models on student achievement of PLA/SURR districts and schools; and 3) effects of implementation of intervention of DA			June 2013 – August 2013		
Total Staff Cost	Total Fringe Benefit Cost	Total Purchased Services	Total Non-Personal Services	Other Costs	
Preliminary 12-month evaluation and analysis. Report outlining methodologies and strategies used to collect and analyzed data collected through the first 12 months.			August 2013		
Total Staff Cost	Total Fringe Benefit Cost	Total Purchased Services	Total Non-Personal Services	Other Costs	

**Annual Schedule of Deliverables for PLA/SURR and DA
Year 3: September 1, 2013 – September 23, 2014**

ACTIVITY			MONTH		COST
Quarterly work plan/time table of study Milestones: Work towards 1) annual preliminary evaluation findings of implementation of models adopted by PLA/SURR districts and schools & required interventions in DA; 2) preliminary analysis of effects of implementation of intervention models on student achievement of PLA/SURR districts and schools; and 3) effects of implementation of intervention of DA			September 2013 - November 2014		
Total Staff Cost	Total Fringe Benefit Cost	Total Purchased Services	Total Non-Personal Services	Other Costs	
Submit formative analysis of: 1) the implementation of intervention models in PLA/SURR districts and schools; 2) the implementation of required interventions in DA schools; 3) the impact on student achievement in PLA/SURR districts and schools and 4) implementation of intervention of DA phase and category requirements on student achievement.			November 2013		
Total Staff Cost	Total Fringe Benefit Cost	Total Purchased Services	Total Non-Personal Services	Other Costs	
Quarterly work plan/time table of study Milestones: Work towards 1) annual preliminary evaluation findings of implementation of models adopted by PLA/SURR districts and schools & required interventions in DA; 2) preliminary analysis of effects of implementation of intervention models on student achievement of PLA/SURR districts and schools; and 3) effects of implementation of intervention of DA			December 2013 – February 2014		
Total Staff Cost	Total Fringe Benefit Cost	Total Purchased Services	Total Non-Personal Services	Other Costs	

Year 3: September 1, 2013 – September 23, 2014					
ACTIVITY			MONTH		COST
Preliminary report of: 1) the implementation of intervention models in PLA/SURR districts and schools; 2) the implementation of required interventions in DA schools; 3) the impact on student achievement in PLA/SURR districts and schools and 4) implementation of intervention of DA phase and category requirements on student achievement.			January 2014		
Total Staff Cost	Total Fringe Benefit Cost	Total Purchased Services	Total Non-Personal Services	Other Costs	
Quarterly work plan/time table of study Milestones: Work towards 1) annual preliminary evaluation findings of implementation of models adopted by PLA/SURR districts and schools & required interventions in DA; 2) preliminary analysis of effects of implementation of intervention models on student achievement of PLA/SURR districts and schools; and 3) effects of implementation of intervention of DA			March 2014 – May 2014		
Total Staff Cost	Total Fringe Benefit Cost	Total Purchased Services	Total Non-Personal Services	Other Costs	
Final Report: 1) the implementation of intervention models in PLA/SURR districts and schools; 2) the implementation of required interventions in DA schools; 3) the impact on student achievement in PLA/SURR districts and schools and 4) implementation of intervention of DA phase and category requirements on student achievement. The report must include an executive summary for each of the above.			March 2014		
Total Staff Cost	Total Fringe Benefit Cost	Total Purchased Services	Total Non-Personal Services	Other Costs	

Year 3: September 1, 2013 – September 23, 2014 (Continued)					
ACTIVITY			MONTH		COST
Quarterly work plan/time table of study Milestones: Work towards 1) annual preliminary evaluation findings of implementation of models adopted by PLA/SURR districts and schools & required interventions in DA; 2) preliminary analysis of effects of implementation of intervention models on student achievement of PLA/SURR districts and schools; and 3) effects of implementation of intervention of DA			June 2014- August 2014		
Total Staff Cost	Total Fringe Benefit Cost	Total Purchased Services	Total Non-Personal Services	Other Costs	
Cummulative Report including executive summaries of findings.			August 2014		
Total Staff Cost	Total Fringe Benefit Cost	Total Purchased Services	Total Non-Personal Services	Other Costs	
Three-year tend analysis of data, lessons learned and recommendation for sustainability and transportability of improvements. The report must include an executive summary of the three year trend analysis of the data collected.			September 2014		
Total Staff Cost	Total Fringe Benefit Cost	Total Purchased Services	Total Non-Personal Services	Other Costs	

**Evaluation of New York State interventions in Persistently Lowest Achieving
(PLA)/Schools Under Registration Review (SURR) Schools
and
Differentiated Accountability (DA) System**

**Three Year Budget Summary
September 1, 2011 – September 23, 2014**

Category	Projected Amount
1. Total Staff Costs	
2. Fringe Benefits	
3. Total Purchased Services	
4. Total Non Personal Service	
5. Other Costs	
Three Year Grand Total (09/1/11-09/23/14)	

The Financial Criteria portion of the RFP will be scored based upon the grand total of the Three Year Budget Summary.

Vendor Signature		Date:	
Printed Name			
Company Name			
Company Address			

SUBCONTRACTING FORM NYS Education Department

Evaluation of New York State interventions in Persistently Lowest Achieving (PLA)/Schools Under Registration Review (SURR) Schools and Differentiated Accountability (DA) System

Subcontracting For Year One - (September 1, 2011 – September 31, 2012)

This form must be updated annually and submitted to NYSED.

Name of Subcontractor	M/WBE or SBE*	Work Description & Estimated Hours/Days	Projected Cost

***Indicate with an "X" which subcontractors are either M/WBE or SBE.**

Total Subcontracting Cost	Total Project Budget	Percent of Subcontracting to Total Budget

Subcontracting (3 Years)	Total Year 1 09//01/11 – 08/31/12	Total Year 2 09//01/12 - 08/31/13	Total Year 3 09//01/13 - 09/23/14	<u>Grand Total</u> <u>Subcontracting For</u> <u>3 Years</u>
Percent of Subcontracting to Annual Budget				

Subcontracting is limited to twenty-five percent (25%) of the annual contract budget. Subcontracting is defined as non-employee direct personal services and related incidental expenses, including travel.

M/WBE Purchases For Year One

Evaluation of New York State interventions in Persistently Lowest Achieving (PLA)/Schools Under Registration Review (SURR) Schools and Differentiated Accountability (DA) System (whole dollar figures only)

Table 1-- Minority Business Enterprise

Name of Vendor	Type of Services or Supplies	Cost
Total Year 1 MBE Costs		
Total Year 1 Budget		
Total Year 1 MBE Costs divided by Total Year 1 Budget (%)		

Table 2-- Women-Owned Business Enterprise

Name of Vendor	Type of Services or Supplies	Cost
Total Year 1 WBE Costs		
Total Year 1 Budget		
Total Year 1 WBE Costs divided by Total Year 1 Budget (%)		

M/WBE Purchases (5 Years)	Year 1	Year 2	Year 3	Grand Total For 3 Years
% MBE Purchases to Budget				
% WBE Purchases to Budget				

M/WBE Documents

M/WBE COVER LETTER

Minority & Woman-Owned Business Enterprise Requirements

NAME OF FIRM _____

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 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. The goals are 17% Minority Business Enterprise (MBE) and 12% Women-Owned Business Enterprise (WBE). These participation goals shall be applicable to the contract as a whole and will be monitored by NYSED M/WBE Program Unit for compliance.

Bidders are required to respond to the participation goals by completing and submitting **M/WBE 100**, Utilization Plan, **M/WBE 102**, Notice of Intent to Participate and **EEO 100**, Staffing Plan in this RFP or at www.oms.nysed.gov/fiscal/MWBE/forms.html.

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

M/WBE UTILIZATION PLAN

INSTRUCTIONS: All bidders submitting responses to this procurement must complete this M/WBE Utilization Plan 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 _____ Telephone: _____
 Address _____ Federal ID No.: _____
 City, State, Zip _____ Solicitation 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'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.

RFP #TA-01

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

TELEPHONE/E-MAIL _____

DATE _____

M/WBE 100

FOR AUTHORIZED USE ONLY	
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/Contractor. 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: _____ Federal ID No.: _____

Address: _____ Phone No.: _____

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

Signature of Authorized Representative of Bidder's Firm _____

Name and Title of Authorized Representative of Proposer's Firm _____

Date: _____

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

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

The estimated dollar amount of the agreement \$ _____

Signature of Authorized Representative of M/WBE Firm

Date

Name and Title of Authorized Representative

M/WBE 102

EQUAL EMPLOYMENT OPPORTUNITY - STAFFING PLAN

Instructions on Page 2

Bidder Name: _____

Telephone: _____

Address: _____

Federal ID No.: _____

City, State, ZIP: _____

Solicitation No: _____

Report includes:

Reporting Entity:

Work force to be utilized on this contract

Contractor

Contractor/Subcontractor's total work force

Subcontractor - Name: _____

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																			

RFP #TA-01

Technicians																			
Sales Workers																			
Administrative Support Workers																			
Craft Workers																			
Operatives																			
Laborers and Helpers																			
Service Workers																			
TOTAL																			

PREPARED BY (Signature): _____

DATE: _____

NAME AND TITLE OF PREPARER: _____

TELEPHONE/EMAIL: _____

(print or type)

EEO 100

STAFFING PLAN INSTRUCTIONS

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

Instructions for Completing:

1. Enter the Solicitation number that this report applies to, along with the name, address, and federal ID number of the Bidder.
2. Check off the appropriate box to indicate if the work force being reported is just for the contract or the Bidder'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 Designated Contact(s) for the solicitation if you have any questions.
6. Enter the name, title, phone number and/or email address for the person completing the form. Sign and date the form in designated areas.

RACE/ETHNIC IDENTIFICATION

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

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

EEO 100