

# CHARTER SCHOOLS – QSO – REQUEST FOR PROPOSALS COHORT 2

## Main Tab Structure – subtabs as noted below

<a href="#">Overview</a>	<a href="#">Applicant Information</a>	<a href="#">Amendments</a>	<a href="#">FFATA</a>	<a href="#">General Information</a>	<a href="#">Program Specific</a>	<a href="#">Budget Pages</a>	<a href="#">Assurance Pages</a>	<a href="#">Submit</a>	<a href="#">Application History</a>	<a href="#">Page Lock Control</a>	<a href="#">Application Print</a>
--------------------------	---------------------------------------	----------------------------	-----------------------	-------------------------------------	----------------------------------	------------------------------	---------------------------------	------------------------	-------------------------------------	-----------------------------------	-----------------------------------

## OVERVIEW

<b>Program Overview</b>	
<b>Program:</b>	Charter School Program - Quality School Options (QSO)
<b>Purpose:</b>	<p>The purpose of this Request for Proposal (RFP) is to solicit from charter school design teams working with a school district, or from charter schools already in operation, proposals that meet the purposes of the federal public Charter Schools Program, which are listed below.</p> <ol style="list-style-type: none"> <li>1. Provide financial assistance for the program design and initial implementation of charter schools;</li> <li>2. Expand the number of high-quality and educationally diverse charter schools throughout the state by supporting the efforts of charter school design teams and organizers; and</li> <li>3. Evaluate the effects of charter schools, including their effects on students (in particular, on student academic achievement), staff, and parents.</li> </ol>
<b>Type of Submission:</b>	Application
<b>Application Type:</b>	Federal Competitive Grant
<b>Expected Number of Awards:</b>	Anticipated awards include up to 12 Program Design and Initial Implementation grants
<b>Total Grant Award:</b>	Estimated total program funding for fiscal year 2017 is \$7,025,000
<b>Award Range:</b>	<p>Funds for Program Design activities can be no more than \$150,000 for a maximum of 18 months. Funds for Implementation activities can be no more than \$400,000 per 12-month period for a maximum of 24 months. Combined, activities cannot exceed 36 months total. Individual grant awards will vary, depending on the needs addressed in the approved proposals and the total appropriation for the program. No more than 50% of the total grant award will be awarded to a specific geographical area, as defined by the Regional Area Statewide Map linked below, unless there are available funds. All grants are awarded based on a competitive process using peer reviewers.</p> <p><a href="#">Regional Area Statewide Map</a></p>
<b>CFDA Number:</b>	84.282A
<b>CSFA Number and Short Name:</b>	586-00-1155 Charter Schools
<b>GATA Requirements:</b>	<p><a href="#">Grant Accountability and Transparency Act (GATA) website</a>  <a href="#">GATA Rules</a>  <a href="#">GATA Legislation</a></p>
<b>2 CFR Part 200 Requirements:</b>	<a href="#">Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards</a>
<b>Federal Legislation:</b>	<a href="#">Title V, Part B, Subpart 1 of ESEA as amended (Section 5201-5211)</a>
<b>Federal Guidance:</b>	<a href="#">Charter Schools Program, Title V, Part B, Non-Regulatory Guidance</a>
<b>State Legislation:</b>	<a href="#">105 ILCS 5/27A - Charter Schools</a>
<b>State Rules:</b>	<a href="#">See 23 Illinois Administrative Code 650</a>
<b>ISBE Website:</b>	<a href="#">Charter Schools Home Page</a>
<b>Eligible Applicants:</b>	<p>Not-for-profit organizations that have submitted a charter proposal to the appropriate school district(s) or the Illinois State Charter Commission upon appeal and existing charter schools that are fully ISBE-certified within the first two years of operation are eligible to apply. Charter school agreements must be authorized by local boards of education or by the Illinois State Charter Commission upon appeal. Applicants interested in applying for more than one campus must complete the Multiple Schools Decision Worklist linked below.</p>
<b>Replicating Charters:</b>	<p>A charter school operator that has multiple charter campuses that are merely extensions of each other (i.e., one charter school with multiple campuses) must complete the Multiple Schools Decision Worklist and upload it as an attachment on the Charter Proposal Status tab of this application</p> <p><a href="#">Click here to access Multiple Schools Decision Worklist</a></p>
<b>Funding Note:</b>	<p><b>Payment under this grant is subject to passage of a sufficient appropriation by the General Assembly for the program. Obligations of the State Board of Education will cease immediately without further obligation should the agency fail to receive sufficient funds (i.e., state, federal, or other) for this program.</b></p> <p>Receiving continuation funding is contingent upon federal appropriation to ISBE as well as meeting substantial progress requirements. Implementation funding will not be awarded until a progress report is provided for Program Design activities, if appropriate.</p> <p>In the event the grantee's proposal is delayed or the charter school does not open, no additional funding will be disbursed after the official Authorizer notification to the grantee. Immediately contact Project Administrator Claudia Quezada for next steps at <a href="mailto:quezada@isbe.net">quezada@isbe.net</a>.</p>

<b>Start Date:</b>	March 20, 2017
<b>End Date:</b>	August 31, 2017
<b>Grant Period:</b>	Program Design activities will have a term of no more than 18 months. Implementation activities will have a term of no more than 24 months. Successful applicants may receive funds in future fiscal years via continuing application (not to exceed 36 months in total). Funding in the subsequent years will be contingent upon a sufficient appropriation for the program and satisfactory progress in the preceding grant period.
<b>Application Deadline:</b>	Proposals must be submitted electronically by 4:00 p.m. on Monday, March 20, 2017. Late or substantively incomplete proposals may not be eligible for consideration.
<b>Expenditure Reports:</b>	Cumulative expenditure reports, submitted quarterly, and a final completion report are required.
<b>Program Performance Reports:</b>	Successful applicants are required to submit all requested ISBE reports in the prescribed format.
<b>Webinars:</b>	A Bidders' webinar titled Guidance on Developing and Submitting the Quality School Options RFP has been recorded and is available on the ISBE charter school website. Other previous webinars may also be found there.  <a href="https://www.isbe.net/Pages/Charter-Schools.aspx">Click here to go to https://www.isbe.net/Pages/Charter-Schools.aspx</a> and look under Grants and RFPs
<b>Fiscal Information:</b>	<a href="#">Requirements for Accounting, Budgeting, Financial Reporting, and Auditing</a> <a href="#">State and Federal Grant Administration Policy, Fiscal Requirements and Procedures</a>
<b>Applicant Questions:</b>	For more information on this RFP, contact Claudia Quezada by phone at 312/814-2220 or by email at <a href="mailto:cquezada@isbe.net">cquezada@isbe.net</a> .
<b>Intent to Apply Form:</b>	In order to access the online Request for Proposal, potential applicants must complete and return the Intent to Apply form available at the ISBE Charter Schools home page: <a href="#">Federal Charter School Program Grant section</a>

## APPLICANT INFORMATION

### Applicant Information

[Instructions](#)

#### Applicant Entity Information

Applicant/Organization Name\*

School Name\*

Administrator Last Name\*

Middle Initial

Administrator First Name\*

Address 1\*

Address 2

City\*

State\*

Zip + 4\*

Phone\*

Extension

Fax

Email\*

Applicant Entity Website Address

#### Program Contact Person:

Last Name\*

First Name\*

Middle Initial

Address 1\*

Address 2

City\*

State\*

Zip + 4 \*

Phone\*

Extension

Fax

Summer Phone \*

Extension

Email\*

☐ Check to indicate that the contact person for the budget is the same as the program contact person identified above.

#### Budget Contact Person:

Last Name

First Name

Middle Initial

Address 1

Address 2

City

State

Zip +4

Phone

Extension

Fax

Summer Phone

Extension

Email

☐ Check here to have all IWAS notices sent ONLY to the district administrator. Unless checked, all IWAS notices will be distributed to all the LEA personnel whose name(s) appear on the Application History page.

**Activity Period:\***

- ☐ Regular Project Year - activities completed through June 30, 2017. No new obligations/activities after June 30 except to pay outstanding obligations made prior to June 30 or to pay for teacher salaries (involved in start-up activities) for activities completed prior to June 30 (teachers paid on a 12-month basis, but working only 9 months).
- ☐ Extended Project Year - activities occurring between project begin date and August 31, 2017.

**Grant Period:**

Begin Date: March 20, 2017

End Date: 06/30/2017

(NOTE: To change the end date, select the other activity period above and SAVE the page.)

**General Education Provisions Act \***

Section 427 of GEPA (20 U.S.C. 1228a) affects all applicants submitting proposals under this program. This section requires each applicant to include in its proposal a description of the steps the applicant proposes to take to ensure equitable access to, and participate in, its federally assisted program for students, teachers, and other program beneficiaries with special needs.

This provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. The applicant should determine whether these or other barriers may prevent students, teachers, etc. from such access to, or participation in, the federally funded project or activity. The description of steps to be taken to overcome these barriers need not be lengthy; the school district may provide a clear and succinct description of how it plans to address those barriers that are applicable to its circumstances. In addition, the information may be provided in a single narration, or, if appropriate, may be discussed in connection with related topics in the application.

Section 427 is not intended to duplicate the requirements of the civil rights statutes, but rather to ensure that, in designing their programs, applicants for federal funds address equity concerns that may affect the ability of certain beneficiaries to fully participate in the program and to achieve high standards. Consistent with requirements and its approved proposal, an applicant may use the federal funds awarded to it to eliminate barriers it identifies.

**Describe the steps that will be taken to overcome barriers to equitable program participation of students, teachers, and other beneficiaries with special needs.**

(0 of 500 characters used)

Save Page

\*Required field

## AMENDMENTS

### Amendments

[Instructions](#)

Use this page to report any amendment details. If this is an initial application, you still need to respond to the first question, save the page, and continue to the Budget pages.

Is this an Original application or Amended application? \*

☐ Original Application ☐ Amended Application

#### Grant Changes

Provide a brief description of the changes as well as the function/object codes that have been amended in this submission. (Limited to 1,500 characters)  
(0 of 1500 maximum characters used)

\*Required field

[Save Page](#)

## FFATA

### Federal Funding Accountability and Transparency Act (FFATA)

[Instructions](#)

The Federal Funding Accountability and Transparency Act (31 U.S.C. 6102; P.L. 109-282, as amended by section 6202(a) of P.L. 110-252) requires a Prime Awardee, such as a state agency, to report an award of \$25,000 or more made to a subrecipient as of October 1, 2010 (also see 2 CFR part 170).

To fulfill reporting requirements, provide a brief but succinct description of how the funding received will support the activities and actions to meet the purpose and goals of the federal grant. If there are multiple funding actions, provide a description for each funding action.\*

#### Example of project description:

*Funds will be used to provide professional development for teachers in order to improve academic achievement for students, to make data-informed decisions using test scores to close the achievement gap, and for parent and community engagement activities.*

#### Project Description (do not use the & symbol):

(0 of 255 maximum characters used)

Agency DUNS Number \*:

[Click here for additional DUNS information](#)

OR

[Click here if you do not have a DUNS number](#)

#### Agency's Annual Gross Revenues\*:

☐ Yes ☒ No In the previous fiscal year, this organization (including parent organizations, all branches, and all affiliates worldwide) received (a) 80 percent or more of annual gross revenues in U.S. federal contracts, subcontracts, loans, grants, subgrants, and/or cooperative agreements;

#### AND

(b) \$25,000,000 or more in annual gross revenues from U.S. federal contracts, subcontracts, loans, grants, subgrants, and/or cooperative agreements.

Select the Yes button ONLY if both (a) and (b) are true.

\* Required field

[Save Page](#)

v8.15

### If Yes on Agency's Annual Gross Revenues:

#### Agency's Annual Gross Revenues\*:

☒ Yes ☐ No In the previous fiscal year, this organization (including parent organizations, all branches, and all affiliates worldwide) received (a) 80 percent or more of annual gross revenues in U.S. federal contracts, subcontracts, loans, grants, subgrants, and/or cooperative agreements;

#### AND

(b) \$25,000,000 or more in annual gross revenues from U.S. federal contracts, subcontracts, loans, grants, subgrants, and/or cooperative agreements.

Select the Yes button ONLY if both (a) and (b) are true.

If yes, please provide the names and the total compensation package (using the preceding fiscal year's compensation to the top five (5) highest-paid individuals within your organization, regardless of the funding source\*).

Provide the names and the total compensation package (using the preceding fiscal year's compensations) of the top five highest-paid individuals within your organization, regardless of the funding source\*.

[Regulations for Reporting Executive Compensation and First Tier Subcontract Awards \(JUL 2010\)](#)

Name:	Total Compensation:
1. <input type="text"/>	<input type="text"/>
2. <input type="text"/>	<input type="text"/>
3. <input type="text"/>	<input type="text"/>
4. <input type="text"/>	<input type="text"/>
5. <input type="text"/>	<input type="text"/>

\* Required field

[Save Page](#)

v8.15



## GENERAL INFORMATION – 6 PAGES

### Background

#### Background

Article 27A of the Illinois School Code, known as the Charter Schools Law, creates opportunities within the public school system of Illinois for the development of innovative and accountable teaching techniques and educational programs. The U.S. Department of Education (ED) currently makes funding available under Title V, Part B of the No Child Left Behind Act of 2001 for the Charter Schools Program. This funding provides support for the program design and initial implementation of charter schools.

#### The purpose of this Request for Proposal (RFP) is to:

Solicit from charter school design teams working with a school district, or from charter schools already in operation, proposals that meet the purposes of the federal public Charter Schools Program, which are listed below.

- A. Provide financial assistance for the program design and initial implementation of charter schools;
- B. Expand the number of high-quality and educationally diverse charter schools throughout the state by supporting the efforts of charter school design teams and organizers; and
- C. Evaluate the effects of charter schools, including their effects on students (in particular, on student academic achievement), staff, and parents.

#### Grant award numbers and amounts:

Funds for Program Design activities can be no more than \$150,000 for a maximum of 18 months. Funds for Implementation activities can be no more than \$400,000 per 12-month period for a maximum of 24 months. Individual grant awards to fund highly qualified programs will vary, depending on the needs addressed in the approved proposals and the total federal award for the program. No more than 50% of the total grant award will be awarded to a specific geographical area, as defined by the Regional Area Statewide Map linked on the Overview page, unless there are available funds.

#### The purpose of charter schools is to:

- A. Improve pupil learning by creating schools with high, rigorous standards for pupil performance;
- B. Increase learning opportunities for all pupils, with special emphasis on expanded learning experiences for at-risk pupils, consistent, however, with an equal commitment to increase learning opportunities for all other groups of pupils in a manner that does not discriminate on the basis of disability, race, creed, color, gender, national origin, religion, ancestry, marital status, or need for special education services;
- C. Encourage the use of teaching methods that may be different in some respects than others regularly used in the public school system;
- D. Allow the development of new, different, or alternative forms of measuring pupil learning and achievement;
- E. Create new professional opportunities for teachers, including the opportunity to be responsible for the learning program at the school site;
- F. Provide parents and pupils with expanded choices within the public school system;
- G. Encourage parental and community involvement with public schools; and
- H. Hold charter schools accountable for meeting rigorous school content standards and provide those schools with the opportunity to improve accountability.

Charter schools operate largely free from the requirements imposed by the School Code, ISBE's administrative rules, and local board policies. In return for this degree of flexibility, charter schools are directly accountable for their performance, both to the families who choose them and to the public in general through their charters, which specify the schools' contractual obligations. Charter schools funded with money from the federal Public Charter Schools Program are required to demonstrate over time that their students are achieving at the promised levels of performance. If a school fails to deliver on its promises, then families can decide to send their students elsewhere, thus removing financial support for the charter school. The entity issuing the charter can also elect not to renew the charter when the agreement expires.

The Charter Schools Law permits the creation of up to 120 charter schools statewide, including 70 in the City of Chicago and 45 in the remainder of the state. In addition to these charter schools, up to but no more than five charter schools devoted exclusively to re-enrolled high school dropouts may operate in the City of Chicago. Each of these "dropout charters" may operate up to 15 campuses within the city. Any of these dropout charters may have a maximum of 1,875 enrollment seats, with any single attendance center that is part of the charter having a maximum of 165 enrollment seats. Each attendance center of the dropout charter must be operated by the same legal entity as that for which the charter is approved and certified. A charter school operator that has multiple charter campuses that are merely extensions of each other (i.e., one charter school with multiple campuses) must complete the Multiple Schools Decision Worklist (form linked on Overview page) and upload it as an attachment on the Charter Proposal Status tab of this application.

#### Specific ISBE objectives for the federal public Charter Schools Program are listed below:

- A. Support the development of charter schools, especially in communities outside of Chicago.
- B. Encourage the development of public charter schools designed to assist at-risk and other educationally disadvantaged students, especially these students at the secondary level, to meet the Illinois Learning Standards, and to assist these students to remain in school through graduation.
- C. Conduct broad outreach activities to make grant opportunities available to current and potential charter school operators.

In order to encourage the formation of charter schools that accomplish these objectives, ISBE will give priority consideration to those proposals designed to achieve related results (see Criteria for Review and Approval of Proposals section). For instance, a rapidly growing school district might consider a charter school as a way to address infrastructure inadequacies for its expanding student population. Likewise, a school district with a school that is failing to meet state standards could convert that school into a charter school, thus providing students and their families with a high-quality educational choice.

D. Encourage the development and operation of high-quality charter schools as defined below.

A high-quality charter school shows evidence of strong academic results for the past three years (or over the life of the school, if the school has been open for fewer than three years), based on the following factors:

1. Increased student academic achievement and attainment (including, if applicable and available, high school graduation rates and college and other postsecondary education enrollment rates) for all students, including, as applicable, educationally disadvantaged students served by the charter school;
2. Either -
  - a. Demonstrated success in closing historic achievement gaps for the subgroups of students described in section 1111(b)(2)(C)(v)(II) of the ESEA (20 U.S.C. 6311(b)(2)(C)(v)(II)) at the charter school; or
  - b. No significant achievement gaps between any of the subgroups of students described in section 1111(b)(2)(C)(v)(II) of the ESEA (20 U.S.C. 6311) at the charter school and significant gains in student academic achievement for all populations of students served by the charter school;
3. Results (including, if applicable and available, performance on statewide tests, annual student attendance and retention rates, high school graduation rates, college and other postsecondary education attendance rates, and college and other postsecondary education persistence rates) for low-income and other educationally disadvantaged students served by the charter school that are above the average academic achievement results for such students in the state;
4. Results on a performance framework established by the state or authorized public chartering agency for the purpose of evaluating charter school quality; and
5. No significant compliance issues, particularly in the areas of student safety, financial management, and equitable treatment of students.

**Links to state and federal legislation and guidance documents (also found on the Overview page):**

[Federal Legislation](#)

[Federal Guidance](#)

[State Legislation](#)

[State Rules](#)

[ISBE Charter Schools Home Page](#)



## **Eligibility**

### **Eligibility Criteria**

Not-for-profit organizations that submitted a charter proposal to the appropriate school district(s) or the Illinois State Charter Commission upon appeal are eligible to apply. Charter school agreements must be authorized by local boards of education or by the Illinois State Charter Commission upon appeal.

To be eligible for program design and initial implementation funding, design teams must have submitted a proposal/application to the authorizer where a new school is to be opened.

A charter school operator that has multiple charter campuses that are merely extensions of each other (i.e., one charter school with multiple campuses) must complete the Multiple Schools Decision Worklist (see form linked on the Overview page) and upload it as an attachment on the Charter Proposal Status tab of this application.

## Program Components

### Required Program Components

Each program funded must include the components listed below.

- A. A description of the educational program to be implemented by the proposed charter school, including:
  - 1. How the program will enable all students to meet challenging state student academic achievement standards;
  - 2. The curriculum and instructional practices to be used;
  - 3. Educational innovations and rigorous accountability mechanisms; and
  - 4. How the curriculum will be aligned to the Illinois Learning Standards.
- B. A description of how the charter school will be managed, including a description of the financial model that will allow for long-term financial solvency.
- C. A description of:
  - 1. The objectives of the charter school;
  - 2. The methods by which the charter school will determine its progress toward achieving those objectives; and
  - 3. How the charter school will address low-performing subgroups.
- D. A description of the administrative relationship between the charter school and the authorized public chartering agency, including a description of clear separation of the governance of the charter school from local educational agency (LEA) oversight.
- E. A description of how parents and other members of the community will be involved in the program design and implementation of the charter school.
- F. A description of how the authorized public chartering agency will provide for continued operation of the school once the federal grant has expired, if such agency determines that the school has met the objectives described in C.1. above.
- G. A request and justification for waivers of any federal statutory or regulatory provisions that the eligible applicant believes are necessary for the successful operation of the charter school, and a description of any state or local rules, generally applicable to public schools, that will be waived for or otherwise not apply to the school.
- H. A description of how the subgrant funds or grant funds, as appropriate, will be used, including a description of how such funds will be used in conjunction with other federal programs administered by the Secretary.
- I. A description of the student lottery (if applicable) and how students in the community will be:
  - 1. Recruited and informed about the charter school; and
  - 2. Given an equal opportunity to attend the charter school.
- J. A description of the thoroughness of the approach to attract, recruit, admit, enroll, retain, and serve at-risk and other educationally disadvantaged students and the plans for meeting the needs of those who may be underserved in more traditional environments, including the number of students to be served by the school.
- K. A description of the recruitment and retention strategy that will attract highly qualified staff that represent the diversity of the community being served and will meet the needs of all students.
- L. A description of how a charter school that is considered an LEA under state law, or an LEA in which a charter school is located, will comply with sections 613(a)(5) and 613(e)(1)(B) of the Individuals with Disabilities Education Act.
- M. A description of proposed Multi-tiered System of Support (MTSS) Strategies, including:
  - 1. The creation of a Leadership Team and other structure(s);
  - 2. Completion of an MTSS self-assessment;
  - 3. Participation in foundational systems training (including work with Illinois CSI and MTSS Network);
  - 4. Development of a multi-year MTSS Implementation plan; and
  - 5. Participation in regular professional development, technical assistance, and coaching to build and sustain capacity for MTSS.
- N. A description of how the charter school is/will be of high quality. A high-quality charter school shows evidence of strong academic results for the past three years (or over the life of the school, if the school has been open for fewer than three years), based on the following factors:
  - 1. Increased student academic achievement and attainment (including, if applicable and available, high school graduation rates and college and other postsecondary education enrollment rates) for all students, including, as applicable, educationally disadvantaged students served by the charter school;
  - 2. Either -
    - a. Demonstrated success in closing historic achievement gaps for the subgroups of students described in section 1111(b)(2)(C)(v)(II) of the Elementary and Secondary Education Act (ESEA) (20 U.S.C. 6311(b)(2)(C)(v)(II)) at the charter school; or
    - b. No significant achievement gaps between any of the subgroups of students described in section 1111(b)(2)(C)(v)(II) of the ESEA (20 U.S.C. 6311) at the charter school and significant gains in student academic achievement for all populations of students served by the charter school;
  - 3. Results (including, if applicable and available, performance on statewide tests, annual student attendance and retention rates, high school graduation rates, college and other postsecondary education attendance rates, and college and other postsecondary education persistence rates) for low-income and other educationally disadvantaged students served by the charter school that are above the average academic achievement results for such students in the state;
  - 4. Results on a performance framework established by the state or authorized public chartering agency for the purpose of evaluating charter school quality; and
  - 5. No significant compliance issues, particularly in the areas of student safety, financial management, and equitable treatment of students.
- O. A description of how the charter school will ensure it will operate as a high-quality charter school as defined in the background section of this Request for Proposal.
- P. A description of the need for the charter school, based on a needs assessment, and how the proposed program will support the identified need(s).
- Q. A description of any private or community-based resources that will be available to support the charter school's programs.
- R. A description of the facility that will house the charter school, including any major renovations or modifications needed to serve all students.
- S. A description of the transportation arrangements that will be available for students attending the charter school.
- T. A description of the mechanisms to be used to assess student achievement (beyond the state required assessment) and the ongoing plan to respond to data gathered from the student assessments.

## Fiscal Information

### Fiscal Information

The total amount of available funding in FY2017 for grant awards under this RFP is \$7,025,000. Of this amount, it is anticipated that up to 12 Program Design and Initial Implementation awards will be funded.

Eligible applicants may receive up to 36 months of funding under the federal public Charter Schools Program, contingent upon available funds. Up to 18 months may be devoted to the Program Design activities of the charter school, and not more than 24 months to its Implementation activities (36 months maximum for both Program Design and Implementation). Grantees will receive an initial Program Design award. Funding beyond the 18-month maximum of an initial Program Design award would be considered an Implementation award. Funding for subsequent initial implementation funds will be available to grantees via a continuation application. Continuation funding after the grant term will be contingent upon satisfactory progress on activities funded with the preceding grant award and upon available federal funding.

Charter schools in Illinois draw their funding from the school districts in which their students reside, receiving between 75 percent and 125 percent of the respective district's average per-capita tuition for each student enrolled, plus a proportionate share of any state and federal categorical resources for which their students may be eligible. They have no taxing authority similar to that exercised by school districts, and the relatively short term of an initial charter (five to 10 years) may make obtaining financial loans difficult. The experience of charter school operators in other states has shown that the absence of a funding source for planning and initial implementation makes it very difficult to bring the development of a charter school to fruition.

The federal public Charter Schools Program has been structured to address this problem by providing a source of initial funding. Grant funds are available for Program Design and/or Initial Implementation to assist with expenses that a charter school cannot meet from other state or local sources. The following conditions apply:

1. Funds may only be used for costs associated with the Program Design and initial Implementation of a charter school.
2. In general, grantees may not use grant funds for normal operating costs. Under certain circumstances, written approval from ISBE based on justification may be entertained.
3. Grant funds may not be used for the administrative fees or expenses of the school district with which the applicant is working unless the applicant voluntarily enters into a mutually agreed upon arrangement with the school district for the provision of administrative services.
4. Grant funds may not be used for Americans with Disabilities Act (ADA) compliance, building construction or renovation, or for related salaries and benefits.
5. In all cases, normal operating expenses including, but not limited to, salaries, benefits, postage, ADA compliance and utilities, are not allowable grant expenditures. The Implementation grant, however, does contain a short-term provision for salaries and benefits as detailed below.
6. In the event the grantee's proposal is delayed or the charter school does not open, no additional funding will be disbursed after the official Authorizer notification to the grantee. Immediately contact Project Administrator Claudia Quezada for next steps at [cquezada@isbe.net](mailto:cquezada@isbe.net).

The New Uniform Guidance effective December 2014 replaces OMB Circulars. All grantees are required to follow the regulations and the Grant Accountability and Transparency Act (GATA).

[The Uniform Guidance is available here](#)

[The GATA legislation is available here](#)

#### Key Financial Management Requirements

- A. Maintain proper stewardship of taxpayer dollars
- B. Maintain effective internal controls and fund accountability procedures
- C. Expend funds only on activities consistent with the approved application and only during the approved project period
- D. Follow cost principles (see Section 200, Subpart E, Cost Principles)
- E. Follow procurement standards (see Section 200.318, General procurement standards)
- F. Costs charged to a federal grant must be:
  1. Allowable - either permitted or not specifically prohibited and necessary for project success
  2. Allocable - expended for a particular purpose or time period that benefits the grant
  3. Reasonable - costs that would be incurred by an reasonably prudent person.

#### Allowable Expenditures

**Program Design Funds:** Applicants who have an authorized charter agreement, or who have submitted a charter agreement to an authorizing entity, and have schools that are not yet ready to open for operation may use the funds for activities associated with post-grant award design of the educational program, including the following:

1. Refinement of the desired educational results and of the methods for measuring progress toward achieving those results;
2. Development and refinement of the curriculum; and
3. Professional development for teachers and other staff who will work in the charter school.

**Implementation Funds:** Applicants who have an authorized charter agreement and have new schools that are open for student attendance may use funds for activities and expenses during the initial start-up of a charter school. In general, the expenditures should be one-time costs that help the charter school achieve the goals outlined in its original application. Following the Uniform Guidance, these costs may include the following:

1. Informing the community about the school;
2. Acquiring necessary equipment and educational materials and supplies;
3. Acquiring or developing curriculum materials; and
4. Other initial operational costs that are necessary to meet the goals of the charter school, such as establishing a media center, computer lab, or cafeteria, and the salary and benefits of the Chief Administrator for start-up activities prior to the opening of the charter school.

To assist with the accurate completion of a proposed budget, and timing of payment reimbursements, applicants are encouraged to familiarize themselves with the ISBE handbooks:

[State and Federal Grant Administration Policy, Fiscal Requirements and Procedures](#)  
[Requirements for Accounting, Budgeting, Financial Reporting, and Auditing](#)

For purposes of compliance with Section 511 of PL 101-166 (the Stevens Amendment), applicants are advised that 100 percent of the funds for this program are derived from federal sources.

**NOTE: General administrative costs, which are any costs in function 2300 - General Administration, 2520 - Fiscal, and any indirect costs claimed are limited to 5% of the total approved budget.**



## Review Criteria

### Review Criteria

Each proposal will be reviewed and evaluated according to the criteria listed below for each grant category. Final selection for grant awards will be made by the State Superintendent of Education and will be based upon recommendations resulting from the review process used to determine the extent to which each proposal meets the criteria listed below. Reviewers may include proven charter school operators, staff of Illinois charter school organizations, and ISBE program staff.

#### **Program Design/Implementation Proposals (100 Points)**

<b>Educational Program:</b>	The quality of the charter school's proposed educational program, including accountability mechanisms, alignment to the Illinois Learning Standards, and the number of students to be served. (25 points possible)
<b>Budget:</b>	The extent to which the proposed budget is consistent with the proposal's activities and appears to be cost-effective. (25 points possible)
<b>Underserved Populations:</b>	The thoroughness of the applicant's approach to attracting at-risk and other educationally disadvantaged students and the plans for meeting the needs of those who may be underserved in more traditional educational environments. (25 points possible)
<b>Diversity and Community:</b>	The level of diversity and the degree to which the members of the planning partnership represent the community to be served and the scope and thoroughness of its approach to involving parents and community members in the proposed charter school. (15 points possible)
<b>Governance and Finance:</b>	The strength of the proposed governance system and the financial model to ensure that charter school resources are used effectively. (10 points possible)

#### **Bonus Points (10 points maximum)**

Applicants proposing, and including evidence of, at least one of the priority activities listed below will receive 10 bonus points in addition to those received under each criterion above.

- 1) Operate a charter school outside of the City of Chicago;
- 2) Assist students to remain in or, in the case of dropouts, to return to school through grade 12; and/or
- 3) Serve educationally disadvantaged students in rural areas.

#### **Merit-Based Review and Selection Process for Competitive Grants**

ISBE has designed and adopted a merit-based review and selection process for competitive grant applications. The merit-based review process is incorporated herein by reference. The full text of the ISBE merit-based review policy can be found at

<https://www.isbe.net/Documents/ISBE-merit-based-review.pdf>

Applicants are advised to refer to the policy document for complete information regarding the merit-based review and appeal processes. Below is a brief summary of the processes:

All competitive grant applications submitted will be reviewed for eligibility requirements and for completion of all documents.

All grant applications will be reviewed by an evaluation committee. The evaluation committee will consist of a minimum of three members. An evaluation committee member may not be a grant applicant. An evaluation committee member may not have any conflicts of interest or apparent conflicts of interest. Confidentiality Agreement and Conflict of Interest Disclosure will be signed by all committee members. Evaluation committee members will be assigned a code for confidentiality purposes.

The grant applications will be scored based on the criteria for review listed in this RFP.

Each evaluation committee member will score independently from the whole committee on an individual score sheet. The scores of the committee members will be averaged. Any significant or substantial variance between evaluator scores will be reviewed and documented, including the revision of any individual score. A summary score sheet will show the comparative scores and the resulting finalist(s). Grant applications will be ranked from high score to low score. Funds will be applied to these grant applications based on rank order and available funding.

The grantee must complete the prequalification, fiscal and administrative Internal Control Questionnaire (ICQ), and programmatic risk assessment before any grant can be awarded. Merit-based award finalists will be sent a Notice of State Award Finalist form to identify outstanding requirements, if any, that must be completed prior to a grant award.

An award shall be made pursuant to a written determination based on the evaluation criteria set forth in the grant application and successful completion of finalist requirements.

A Notice of State Award (NOSA) will be issued to the merit-based finalists that have successfully completed all grant award requirements. Based on the NOSA, the merit-based finalist will be positioned to make an informed decision to accept the grant award. The NOSA shall include:

- a. The terms and conditions of the award.
- b. Specific conditions assigned to the grantee based on the fiscal and administrative ICQ and programmatic risk assessment.

The grant award(s) will be published on the [grants.illinois.gov](http://grants.illinois.gov) website and on [isbe.net](http://isbe.net). A written Notice of Denial will be sent to the applicants not receiving an award.

**Appeal Process (see link above for complete appeal process)**

Competitive grant appeals are limited to the evaluation process. Evaluation scores may not themselves be protested. Only the evaluation process is subject to appeal.

**Submission of Appeal**

- a. An appeal must be submitted in writing and mailed as indicated below.
- b. An appeal must be received within 14 calendar days after the date that the first grant award notice has been published on grants.illinois.gov.
- c. The written appeal shall include at a minimum the following:
  - The name and address of the appealing party.
  - Identification of the grant.
  - A statement of reasons for the appeal.
  - The appealing party must supply any additional information requested by ISBE within the time period set in the request.

**Resolution**

- a. ISBE will resolve the appeal by means of a written determination.
- b. The determination shall include, but not be limited to:
  - Review of the appeal
  - Appeal determination
  - Rationale for the determination

**Mail a hard copy of the appeal to:**

Appeals Review Officer  
c/o State Superintendent of Education  
Illinois State Board of Education  
100 North First Street S-405  
Springfield, IL 62777-0001

## **Reporting Requirements**

### **Program Evaluation and Reporting Participation Requirements**

Pursuant to Section 27A-12 of the School Code [105 ILCS 5/27A-12], ISBE must compile evaluations of charter school authorizers and prepare a biennial report to the General Assembly and the Governor.

As part of the grant program evaluation, each grantee will be required to annually submit at a minimum the following information:

1. Demographic information about the community that the charter school serves or intends to serve;
2. Student achievement data, particularly results on state assessments for reading and mathematics, from the surrounding schools and, once the charter school is open, from the charter school;
3. Rates of attendance, graduation, transfers, and other similar information;
4. Information about prospective students on waiting lists for the newly opened school;
5. Information about parent and community participation;
6. Summary evaluation information for all events administered with grant funds;
7. A description of all activities completed with grant funds and an analysis of their impact on the design and/or operation of the charter school; and
8. Additional information as is required by ISBE Rule 650.55 (23 Ill Adm Code 650.55) and Section 27A-12 of the School Code.



## PROGRAM SPECIFIC – 7 PAGES

### Charter Proposal Status

#### Charter Proposal Status Information

[Instructions](#)

##### 1. Provide the requested information below.

- Anticipated Opening Date\*
- Anticipated grades/age ranges to be served\*
- Anticipated number of students to be served\*
- Anticipated number of teachers\*
- Anticipated number of other staff\*

##### 2. Upload a copy of formal authorizer approval or evidence of submission of a charter proposal.\* This could include a copy of the board action or letter from the board approving the charter or a copy of the submission letter that includes a date and a cover page of the charter proposal.

##### 3. Program Design and Initial Implementation - two phases. Provide the information for each phase.

###### A. Program Design - not to exceed 18 months

- Start Date
- End Date
- Total requested Program Design funding

*NOTE: Final report on Program Design activities must be submitted and approved before Implementation funding can commence.*

###### B. Initial Implementation - not to exceed 24 months; no more than 36 months of Program Design and Implementation in total.

- Months 1-12 Start Date
- Months 1-12 End Date
- Total requested Implementation funding - Months 1-12 only
- Months 13-24 Start Date
- Months 13-24 End Date
- Total requested Implementation funding - Months 13-24 only
- Total requested Implementation funding
- Grand total requested funds for Program Design and Initial Implementation

##### 4. Upload a copy of the Multiple Schools Decision Worklist, if applicable.

##### 5. Provide any necessary comments or explanations related to uploaded files below.

**NOTE: Do NOT upload a copy of the entire charter proposal or contract.**

#### WHAT TO NAME YOUR DOCUMENTS:

For original submissions, use the applicant's name and/or RCDT, followed by a hyphen, followed by the name of the document being uploaded.

For revised submissions/amendments, use the applicant's name and/or RCDT, followed by a hyphen, followed by the name of the document being uploaded, followed by a hyphen, followed by REV, followed by a hyphen, followed by the revision date without hyphens in MMddyyyy format.

Example: JonesCharterSchool88-888-8888-88-AuthorizerApproval

Example: JonesCharterSchool88-888-8888-88-MultiSchoolWorklist

Example: JonesCharterSchool88-888-8888-88-AuthorizerApproval-REV-01022017

Example: JonesCharterSchool88-888-8888-88-MultiSchoolWorklist-REV-01032017

Any uploaded files will appear to the left.

Files may be deleted before submission to ISBE by clicking in the checkbox next to the file name in the green box above and clicking on the Delete Selected Files button. After submission to ISBE, files cannot be deleted. Only revised, renamed files can be submitted to update information.

\* Required field

**Abstract**

**Proposal Abstract**

[Instructions](#)

**Describe the general purpose, activities and major outcomes of the proposal.\***  
(0 of 7000 maximum characters used)

[Save Page](#)

\*Required field

## Narrative

### Proposal Narrative

[Instructions](#)

**A. Describe the educational program to be implemented by the proposed charter school, including:\***

1. How the program will enable all students to meet challenging state student academic achievement standards;
2. The curriculum and instructional practices to be used;
3. Educational innovations and rigorous accountability mechanisms; and
4. How the curriculum will be aligned to the new Illinois Learning Standards.

^

v

**B. Describe how the charter school will be managed, including a description of the financial model that will allow for long-term financial solvency.\***

^

v

**C. Describe the objectives of the charter school, and the methods by which the charter school will determine its progress toward achieving those objectives.\***

^

v

**D. Describe how the charter school will address the low-performing subgroups.\***

^

v

**E. Describe the administrative relationship between the charter school and the authorized public chartering agency, including a description of clear separation of the governance of the charter school from LEA oversight.\***

^

v

[Save Page](#)

\* Required Field

## Narrative 2

### Proposal Narrative 2

[Instructions](#)

**F. Describe how parents and other members of the community will be involved in the planning, program design, and implementation of the charter school.\***

^

v

**G. Describe how the authorized public chartering agency will provide for continued operation of the school once the federal grant has expired, if such agency determines that the school has met its objectives. Include a description of the funding arrangements with the local district.\***

^

v

**H. Indicate whether any waivers of federal statutory or regulatory provisions will be sought, what federal or state statutes or regulations are to be waived, and a justification for the request. If none, enter Not Applicable.\***

^

v

**I. Describe how the funds will be used, including how they will be used in conjunction with any other federal funds.\***

^

v

[Save Page](#)

\* Required Field

### Narrative 3

#### Proposal Narrative 3

[Instructions](#)

**J. Describe the student lottery process and how students in the community will be:\***

1. Recruited and informed about the charter school, and
2. Given an equal opportunity to attend the charter school.

**K. Describe the approach to attract, recruit, admit, enroll, retain, and serve at-risk and other educationally disadvantaged students and the plans for meeting the needs of those who may be underserved in more traditional environments.\***

**L. Describe the recruitment and retention strategy that will attract highly qualified staff that represent the diversity of the community being served and will meet the needs of all students.\***

**M. Describe how a charter school that is considered an LEA under state law or LEA in which a charter school is located will comply with sections 613(a)(5) and 613(e)(1)(B) of the Individuals with Disabilities Education Act.\***

**N. Provide a narrative self-assessment of the capacity of the proposed or existing school for implementing a Multi-tiered System of Support (MTSS) and demonstrating a commitment of resources to implement MTSS within the school.\* Activities that implement MTSS practices within charter schools include:**

1. The creation of a Leadership Team and other structure(s);
2. Completion of an MTSS self-assessment;
3. Participation in foundational systems training (including work with Illinois CSI and MTSS Network);
4. Development of a multi-year MTSS Implementation plan; and
5. Participation in regular professional development, technical assistance, and coaching to build and sustain capacity for MTSS.

**O. Provide a description of how the charter school will ensure it will operate as a high-quality charter school as defined in the background section of this Request for Proposal.\***

**P. Provide a description of the need for the charter school, based on a needs assessment, and how the proposed program will support the identified need(s).\***

[Save Page](#)

\* Required Field

## Narrative 4

### Proposal Narrative 4

[Instructions](#)

**Q. Provide a description of any private or community based resources and/or funding that have been secured and how they will be used to support the charter school's programs.\***

**R. Provide a description of the facility that will house the charter school, including the major renovations/modifications and timelines for the work needed to meet the vision, mission, and goals of the school to meet the needs of all students.\***

**S. Provide a description of the transportation arrangements that will be available for students attending the charter school.\***

**T. Provide a description of the mechanisms to be used to assess student achievement (beyond the state required assessment) and the ongoing plan to respond to data gathered from the student assessments.\***

[Save Page](#)

\* Required Field

Note: the symbol displaying in Q. above is due to the preview mode of the screen shot snip-it and will not appear on the published page in eGMS.

nity based resources ar  
school's programs.



## Goals – up to 6 sets of Goals information can be included

### Goals, Activities, Timelines and Evaluations

[Instructions](#)

Enter at least one set of Goal Information (Goal, Activity, Timeline, and Evaluation). Click on the Add Additional Entries button to add Goal sets. Up to five additional sets of information may be added, for a total of six.

#### Goal Number 1

**Goal: Describe the intention or purpose to be met.\***

(0 of 1500 maximum characters used)

^

v

**Activity: List the programs and/or describe the activities that are planned to meet the identified goal.\***

(0 of 1500 maximum characters used)

^

v

**Timeline: Indicate when activities will take place.\***

(0 of 1500 maximum characters used)

^

v

**Evaluation: Indicate how the applicant will evaluate the effectiveness of the program in meeting the identified goal. Include measurable outcomes.\***

(0 of 1500 maximum characters used)

^

v

[Add Additional Entries](#)[Save Page](#)

\*Required field

## BUDGET PAGES – 5 PAGES

### Program Design Budget

#### Program Design Budget

[Instructions](#)

A. Provide the budget plan by broad categories as listed below, including a description of the activities to be completed and the amount of total funds by category (at least one description is required)\*. For information on which category to use for planned expenditures, click on the link below.

[See the category descriptions linked here](#)

BUDGET CATEGORY AND DESCRIPTION	AMOUNT
Salaries (Obj 100)	
Benefits (Obj 200)	
Purchased Services (Obj 300)	
Supplies & Materials (Obj 400)	
Equipment (Obj 500)	
Other Objects (Obj 600)	
Noncapitalized Equipment (Obj 700)	
Total Program Design Budgeted	

Maximum award for 36-month period, subject to legislative limits for eligibility and program design/implementation guidelines:

950000

[Save Page](#)

\*Required field

## Initial Implementation Budget – Months 1-12

### Initial Implementation Budget - Months 1-12

[Instructions](#)

A. Provide the budget plan by broad categories as listed below, including a description of the activities to be completed and the amount of total funds by category (at least one description is required)\*. For information on which category to use for planned expenditures, click on the link below.

[See the category descriptions linked here](#)

BUDGET CATEGORY AND DESCRIPTION		AMOUNT
Salaries (Obj 100)	<div></div>	<div></div>
Benefits (Obj 200)	<div></div>	<div></div>
Purchased Services (Obj 300)	<div></div>	<div></div>
Supplies & Materials (Obj 400)	<div></div>	<div></div>
Equipment (Obj 500)	<div></div>	<div></div>
Other Objects (Obj 600)	<div></div>	<div></div>
Noncapitalized Equipment (Obj 700)	<div></div>	<div></div>

Total Initial Implementation Budgeted Months: 1-12

Maximum award for 36-month period, subject to legislative limits for eligibility and program design/implementation guidelines:

950000

[Save Page](#)

## Initial Implementation Budget – Months 13-24

### Initial Implementation Budget - Months 13-24

[Instructions](#)

A. Provide the budget plan by broad categories as listed below, including a description of the activities to be completed and the amount of total funds by category (at least one description is required)\*. For information on which category to use for planned expenditures, click on the link below.

[See the category descriptions linked here](#)

BUDGET CATEGORY AND DESCRIPTION	AMOUNT
Salaries (Obj 100)	
Benefits (Obj 200)	
Purchased Services (Obj 300)	
Supplies & Materials (Obj 400)	
Equipment (Obj 500)	
Other Objects (Obj 600)	
Noncapitalized Equipment (Obj 700)	

Total Initial Implementation Budgeted Months 13-24

Total Initial Implementation Budgeted Months 1-12

Total Program Design Budgeted (up to 18 months)

TOTAL FUNDS BUDGETED UP TO 36 MONTHS

Maximum award for 36-month period, subject to legislative limits for eligibility and program design/implementation guidelines:

950000

[Save Page](#)

## Budget Detail

**Budget Detail** BUDGET BREAKDOWN (Use whole dollars only.  
Omit Decimal Places, e.g., \$2536)

**Instructions and note that this budget page should have only the DESIGN  
budget, not the Implementation Years 1 and 2**

Itemize and explain each expenditure amount that appears on the Budget Summary. Provide a complete breakdown of eligible employee benefits. Federal Funds: Please review the Instructions link for details that apply to your specific grant regarding teacher's retirement. Contact your program consultant with any additional questions you may have regarding TRS contributions. Click on the "Create Additional Entries" button to enter additional information.

### Description of Function Codes and Object Codes

Function Code	Object Code	Expenditure Description and Itemization	Chart2RFP- 4960 Funds	Delete Row
<input type="text" value=""/>	<input type="text" value=""/>	<input type="text"/>	<input type="text" value="0"/>	<input type="checkbox"/>
<input type="text" value=""/>	<input type="text" value=""/>	<input type="text"/>	<input type="text" value="0"/>	<input type="checkbox"/>
<input type="text" value=""/>	<input type="text" value=""/>	<input type="text"/>	<input type="text" value="0"/>	<input type="checkbox"/>
<input type="text" value=""/>	<input type="text" value=""/>	<input type="text"/>	<input type="text" value="0"/>	<input type="checkbox"/>
<input type="text" value=""/>	<input type="text" value=""/>	<input type="text"/>	<input type="text" value="0"/>	<input type="checkbox"/>

Create Additional Entries

Total Direct Costs   
- Capital Outlay Costs   
Allowable Direct Costs   
Indirect Cost Rate %   
Maximum Indirect Cost \*

Indirect Cost

Total Allotment

Grand Total   
Allotment Remaining

Calculate Totals

Save Page

*\*If expenditures are budgeted in functions 2520, 2570, 2640, or 2660, the indirect cost rate cannot be used.*

## Budget

Budget (Read Only)

[Instructions](#)

LINE	FUNCTION	EXPENDITURE ACCOUNTING	SALARIES 100	EMPLOYEE BENEFITS 200	PURCHASED SERVICES 300	SUPPLIES & MATERIALS 400	CAPITAL OUTLAY** 500	OTHER OBJECTS 600	NONCAP EQUIP** 700	TOTAL
1	1000	Instruction								
2	2110	Attendance & Social Work Services								
3	2120	Guidance Services								
4	2130	Health Services								
5	2140	Psychological Services								
6	2150	Speech Pathology and Audiology Services								
7	2210	Improvement of Instruction Services								
8	2220	Educational Media Services								
9	2230	Assessment & Testing								
10	2300	General Administration								
11	2400	School Administration								
12	2510	Direction of Business Support Services*								
13	2520	Fiscal Services*								
14	2530	Facilities Acquisition & Construction**								
15	2540	Operation & Maintenance of Plant Services								
16	2550	Pupil Transportation Services								
17	2560	Food Services								
18	2570	Internal Services**								
19	2610	Direction of Central Support Services								
20	2620	Planning, Research, Dev. & Eval. Services								
21	2630	Information Services								
22	2640	Staff Services*								
23	2660	Data Processing Services*								
24	2900	Other Support Services								
25	3000	Community Services								
27	4000	Payments to Other Governmental Units								
29	Total Direct Costs									
30	Approved Indirect Costs X 3.24%									
31	Total Budget									

\* If expenditures are shown, the indirect cost rate cannot be used  
 \*\* Capital Outlay cannot be included in the indirect cost calculation.



## ASSURANCES

### Program Assurances

#### Program-Specific Terms of the Grant

[Instructions](#)

- ☐ By checking this box, the applicant hereby certifies that he or she has read, understood, and will comply with the assurances listed below, as applicable to the program for which funding is requested.
1. Administrative costs will be limited to 5 percent of the total budget. Administrative costs include General Administration - Function 2300, as well as Functions 2400, 2520, 2570, 2620, 2630, 2640, and 2660.
  2. Subcontracting: No subcontracting is allowed without prior written approval of the State Superintendent of Education. See Item 6 on the Certification and Assurances, and Standard Terms of the Grant page for the type of information that must be submitted with the proposal about any proposed subcontracts to be funded with the grant.
  3. Grantees will cooperate with the Secretary of the U.S. Department of Education and ISBE in evaluating the program utilizing these funds.
  4. Grantees will annually provide the Secretary of the U.S. Department of Education and ISBE such information as may be required to determine if the charter school is making satisfactory progress toward achieving the objectives described in the proposal.
  5. Reporting: Grant recipients will be required to submit the following reports, as applicable.
    - a. A Mid-Year Performance Report must be submitted.
    - b. The End-of-Year Performance Report must be submitted no later than 30 days after the end of the grant period. The End-of-Year Report is available on IWAS.
    - c. Financial Reports: Quarterly expenditure reports and supporting documentation are required for this program pursuant to Section 4 of the Illinois Grant Funds Recovery Act [30 ILCS 705/4].
    - d. Performance reports must include the information required under 2 CFR 200.328 and as specified by ISBE.
    - e. Results of the 5E Survey.
    - f. The annual program evaluation and reporting information required by Section 27A-12 of the School Code (105 ILCS 5/27A-12) and ISBE Rule 650.55 (23 Ill Adm Code 650.55), and as indicated on the General Information Reporting Requirements tab of this application.
    - g. Any other data reports not currently collected by ISBE as may be requested.
  6. Grantees will participate in any supports/monitoring/training provided by ISBE as directed including, but not limited to, homeless trainings and on-site technical assistance visits.
  7. Grantees will partner with the Illinois Center for School Improvement as requested or directed by ISBE.
  8. Grantees will immediately notify ISBE upon notification from Authorizer of either a delay in opening or non-opening of new charter schools. No additional funding will be disbursed after the official Authorizer notification to the grantee that they are not approved to open.

[Save Page](#)

## State Assurances

### Certifications and Assurances, and Standard Terms of the Grant

Instructions

☐ By checking this box, the applicant/award recipient (hereinafter the term applicant includes award recipient as the context requires) hereby certifies and assures the Illinois State Board of Education that:

1. The applicant has the necessary legal authority to apply for and to receive the proposed award. The filing of this application has been authorized by the governing body of the applicant, and the undersigned representative has been duly authorized to file this application for and on behalf of said applicant, and otherwise to act as the authorized representative of the applicant in connection with this application and any award in relation thereto.

The applicant affirms, under penalties of perjury, that he or she is authorized to execute these Certifications and Assurances, and Standard Terms of the Grant on behalf of the applicant. Further, the applicant certifies under oath that all information in the grant agreement is true and correct to the best of his or her knowledge, information and belief, that grant funds shall be used only for the purposes described in this agreement, and that the award of this grant is conditioned upon this certification.

#### DEFINITIONS

"Applicant" means an individual, entity or entities for which grant funds may be available and has made application to the Illinois State Board of Education for an award of such grant funds.

"Award recipient" means the person, entity or entities that are to receive or have received grant funds through an award from the Illinois State Board of Education. The terms "grantee" and "award recipient" may be used interchangeably.

"Expenditure through dates" are from the project beginning date through September 30, December 31, March 31, and June 30 of each fiscal year and the project ending date.

"Grant" means the award of funds, which are to be expended in accordance with the Grant Agreement for a particular project. The terms "grant," "award," and "project" may be used interchangeably.

"Project" means the activities to be performed for which grant funds are being sought by the applicant.

The capitalized word "Term" means the period of time from the project beginning date through the project ending date.

#### PROJECT

2. The project proposed in the application, and as negotiated and finalized by the parties in the Grant Agreement, is hereinafter referred to as the "project." In planning the project there has been, and in establishing and carrying out the project, there will be (to the extent applicable to the project), participation of persons broadly representative of the cultural and educational resources of the area to be served, including persons representative of the interests of potential beneficiaries.
3. Applicants may be asked to clarify certain aspects of their proposals/applications prior to final agreement on the terms of the project.
4. All funds provided shall be used solely for the purposes stated in the approved proposal/application.
5. The project will be administered by or under the supervision of the applicant and in accordance with the laws and regulations applicable to the grant. The applicant will be responsible for and obtain all necessary permits, licenses, or consent forms as may be required to implement the project.

#### SUBCONTRACTING

6. No subcontracting is allowed under this project, except as set forth in the Grant Agreement.

If subcontracting is allowed, then all project responsibilities are to be retained by the applicant to ensure compliance with the terms and conditions of the grant. All subcontracting must be documented and must have the prior written approval of the State Superintendent of Education. Approval of subcontracts shall be subject to the same criteria as are applied to the original proposal/application. The following information is required if any subcontracting is to be utilized:

- Name(s) and address(es) of subcontractor(s);
- Need and purpose for subcontracting;
- Measurable and time-specific services to be provided;
- Association costs (i.e., amounts to be paid under subcontracts); and
- Projected number of participants to be served.

The applicant may not assign, convey or transfer its rights to the grant award without the prior written consent of the Illinois State Board of Education.

#### FINANCIAL TERMS

7. Payment under this grant is subject to passage of a sufficient appropriation by the Illinois General Assembly or sufficient appropriation by the U.S. Congress for federal programs. Obligations of the Illinois State Board of Education will cease immediately without further obligation should the agency fail to receive sufficient state, federal, or other funds for this program.
8. An applicant must not obligate funds prior to the start date of the project set forth in the final Grant Agreement. The project's start date cannot precede the start of the fiscal year for which the funds are appropriated.  
All project activities must be completed between the project beginning date and the ending date (the "Term"). Liquidation of all obligations, including the current year's audit fee, should be completed no later than ninety (90) calendar days after the project ending date.
9. The applicant understands that payment for approved services and expenses will be made on a cash needs basis, and that payment will be made in accordance with applicable statutes, regulations, and standards after an application for payment is submitted to the Illinois State Board of Education. Vouchers for payment will be submitted to the Office of the Comptroller according to the payment schedule attached to the final Grant Agreement. The payment schedule shall be based on the projected date of expenditures. Payments will be withheld from scheduled amounts if expenditure reports show excess cash on hand.
10. An approved budget may be amended by completing the Budget Summary form to show the new amounts required and attaching an explanation for the changes. An amendment to the Grant Agreement must be entered into whenever any individual cell changes by more than \$1,000 or 20 percent, whichever is larger. An amendment to the Grant Agreement must also be entered into whenever an award recipient proposes to use funds for allowable expenditures not identified in the currently approved budget, if the scope of the project is expected to change, or if the overall grant award must be increased.
11. Obligation of funds for items or services based on amendments cannot be encumbered prior to the date of receipt at the Illinois State Board of Education of a substantially approvable budget amendment provided the scope/intent of the approved project has not changed. If the scope/intent of a project changes based on an amendment, programmatic approval must be obtained prior to the obligation of funds based on the amendment. The Illinois State Board of Education shall be the final determiner of whether an amendment changes the scope/intent of a project. The begin date of the project cannot precede the beginning of the fiscal year for which the funds are appropriated. Requests for budget amendments must be received by the Illinois State Board of Education no later than thirty (30) calendar days prior to the project ending date for which the amendment is being sought.

12. Funds granted for the operation of this project must be used exclusively for the purposes stated in the approved proposal/application and must be expended in accordance with the approved budget and the award recipient's policies and procedures related to such expenditures. Funds may only be expended for activities occurring during the Term.
- A. State-funded grants: All grant funds and earned interest shall be subject to the Illinois Grant Funds Recovery Act (30 ILCS 705). Interest earned on state-funded grant programs and grant funds not expended or obligated by the end of the Term, as well as interest earned after the Term has expired, must be returned to the Illinois State Board of Education within forty-five (45) calendar days following the end of the Term.
- B. Federally funded grants: Interest earned in excess of \$500 per year must be returned to the Illinois State Board of Education, with checks payable to the Illinois State Board of Education.
- For-Profit award recipients shall not utilize grant funds in any manner for normal operating expenses or to generate a profit. The applicant certifies that notwithstanding any other provision of the application, proposal, or Grant Agreement, grant funds shall not be used and will not be used to provide religious instruction, conduct worship services, or engage in any form of proselytization.
13. The applicant, in compliance with the provisions of 30 ILCS 105/9.07, will not expend any funds received from the Illinois General Revenue Fund for promotional items including calendars, pens, buttons, pins, magnets, and any other similar promotional items.
14. Financial and Performance Reports: Quarterly expenditure reports are required of all award recipients receiving funds, unless otherwise specified in the program-specific terms or the request for proposals. Quarterly reports must describe the progress of the project or use and the expenditure of the grant funds. The expenditure through dates to be used in reporting expenditures and obligations are from the project beginning date through September 30, December 31, March 31, and June 30 of each fiscal year and the project ending date.
- Those entities with established IWAS accounts with the Illinois State Board of Education must electronically submit expenditure reports by the required due dates specified within the Grant Agreement. Those entities not enrolled in IWAS must request paper expenditure report forms not later than twenty (20) calendar days before the due dates specified within the Grant Agreement to the Illinois State Board of Education. Expenditure reports are due twenty (20) calendar days after the expenditure through date. Failure to file the required reports within the timelines will result in a breach of the Grant Agreement. Upon any such breach, the Illinois State Board of Education may, without limitation, withhold the current year's payments and payments for future years' projects under the same program until the reports are properly filed.
- All grant funds must be spent or obligated, and all activities must be completed prior to the project ending date. Each award recipient must submit a completion report showing the obligations and the expenditures for the project no later than twenty (20) calendar days after the project ending date.
- If a completion report was filed through the project ending date and had no outstanding obligations, the completion report will be the award recipient's final expenditure report. Failure to submit this completion/final expenditure report will result in current and subsequent years' project funding being withheld until the report is received. In cases where final expenditures are less than total disbursements, the overpayment must be returned to the Illinois State Board of Education within forty-five (45) calendar days of the project ending date for all state grants or federal grants that do not expressly allow carryover funds. Failure to return the funds will result in a breach of the Grant Agreement. Upon any such breach, the Illinois State Board of Education may, without limitation, withhold current and subsequent years' project funding until the overpayment is returned.
- If a completion report was filed with outstanding obligations, then a final expenditure report showing total project expenditures (with all prior obligations paid) must be submitted no later than ninety (90) calendar days after the project ending date. Failure to submit the final expenditure report will result in current and subsequent years' project funding being withheld until the report is received. In cases where final expenditures are less than total disbursements, the overpayment must be returned to the State Board of Education within forty-five (45) calendar days of the project ending date for all state grants or federal grants that do not expressly allow carryover funds. Failure to return the funds will result in a breach of the Grant Agreement. Upon any such breach, the State Board of Education may, without limitation, withhold current and subsequent years' project funding until the overpayment is returned.
15. The award recipient will maintain records on project and fiscal activities related to each award for a period of three (3) years following the project ending date either for a state-funded or federally funded project. Such records shall include a fiscal accounting for all monies in accordance with generally accepted governmental accounting principles. If there are outstanding audit exceptions, records will be retained on file until such exceptions are closed out to the satisfaction of the Illinois State Board of Education.
16. The Illinois State Board of Education and other governmental entities with program monitoring authority shall, during the Term and for a period of three (3) years thereafter (or until no outstanding audit exceptions remain, whichever is later), have the right at any time to conduct on-site or off-site inspections of the award recipient's records and project operations for auditing and monitoring purposes. The award recipient shall, during the Term and for a period of three (3) years thereafter (or until no outstanding audit exceptions remain, whichever is later) and upon the request of the Illinois State Board of Education, provide the Illinois State Board of Education with information and documentation (including books, records, or papers related to the project) regarding the award recipient's progress or performance with respect to the administration and operation of the project.

#### **NO BINDING OBLIGATION**

17. The applicant acknowledges and agrees that the selection of its proposal for funding, or approval to fund an application, shall not be deemed to be a binding obligation of the Illinois State Board of Education until such time as a final Grant Agreement is entered into between the applicant and the Illinois State Board of Education. Prior to the execution of a final Grant Agreement, the Illinois State Board of Education may withdraw its award of funding to the applicant at any time, for any reason.

#### **COPYRIGHT**

18. All rights, including copyright to data, information and/or other materials developed pursuant to an award, are retained by the Illinois State Board of Education, unless otherwise agreed in writing by the Illinois State Board of Education. All such work products produced by the award recipient through work pursuant to the award shall be made available to the Illinois State Board of Education upon request.

#### **DEFAULT AND TERMINATION**

19. The award recipient will be in default of the grant award and the corresponding Grant Agreement if it breaches any representation or warranty made in the Grant Agreement, the Program-Specific Terms or in these Certifications and Assurances, and Standard Terms of the Grant, or fails to observe or perform any covenant, agreement, obligation, duty or provision set forth in the Grant Agreement, the Program-Specific Terms or in these Certifications and Assurances, and Standard Terms of the Grant. Upon default by the award recipient and written notification by the Illinois State Board of Education, the award recipient will have ten (10) calendar days in which to cure the default to the satisfaction of the Illinois State Board of Education. If the default is not cured to the satisfaction of the Illinois State Board of Education, the Illinois State Board of Education shall thereafter have full right and authority to terminate the Grant Agreement and/or seek such other remedy that may be available at law or in equity. Upon termination of the Grant Agreement, the award recipient will cease all use of grant funds, shall cancel all cancelable obligations relating to the project, and shall return all unexpended grant funds to the Illinois State Board of Education within forty-five (45) calendar days of termination.



## INDEMNIFICATION

20. To the fullest extent permitted by law, the award recipient shall indemnify, defend and hold harmless the State of Illinois, the Illinois State Board of Education, and their respective members, officers, agents and employees against all claims, demands, suits, liabilities, injuries (personal or bodily), property damage, causes of action, losses, costs, expenses, damages or penalties, including, without limitation, reasonable defense costs, reasonable legal fees, and the reasonable value of time spent by the Attorney General's Office, arising or resulting from, or occasioned by or in connection with (a) any bodily injury or property damage resulting or arising from any act or omission to act (whether negligent, willful, wrongful, or otherwise) by the award recipient, its subcontractors, subgrantees, volunteers, anyone directly or indirectly employed by them, or anyone for whose acts they may be liable; (b) failure by the award recipient or its subcontractors, subgrantees, or volunteers to comply with any laws applicable to the performance of the grant; (c) any breach of the Grant Agreement, including, without limitation, any representation or warranty provided by the award recipient herein; (d) any infringement of any copyright, trademark, patent, or other intellectual property right; or (e) the alleged unconstitutionality or invalidity of the Grant Agreement. Neither the award recipient nor its employees or subcontractors shall be considered agents or employees of the Illinois State Board of Education or of the State of Illinois.

If the applicant is a government unit only, it is understood and agreed that neither the applicant nor the Illinois State Board of Education shall be liable to each other for any negligent or wrongful acts, either of commission or omission, unless such liability is imposed by law.

## GENERAL CERTIFICATIONS AND ASSURANCES

21. The applicant will obey all applicable state and federal laws, regulations, and executive orders, including without limitation: those regarding the confidentiality of student records, such as the Family Educational Rights and Privacy Act (FERPA) (20 U.S.C. 1232g) and the Illinois School Student Records Act (ISSRA) (105 ILCS 10/1 et seq.); those prohibiting discrimination on the basis of race, color, national origin, sex, age, or handicap, such as Title IX of the Amendments of 1972 (20 U.S.C. 1681 et seq.), the Illinois Human Rights Act (775 ILCS 5/1-101 et seq.), the Individuals with Disabilities Education Act (20 U.S.C. 1400 et seq.), the Age Discrimination in Employment Act of 1967 (29 U.S.C. 621 et seq.), Titles VI and VII of the Civil Rights Act of 1964 (42 U.S.C. 2000d et seq., 2000e et seq.), the Public Works Employment Discrimination Act (775 ILCS 10/0.01 et seq.), and the Americans with Disabilities Act of 1990 (42 U.S.C. 12101 et seq.); and the Illinois School Code (105 ILCS 5/1-1 et seq.). Further, no award recipient shall deny access to the program funded under the grant to students who lack documentation of their immigration status or legal presence in the United States (Plyler v. Doe, 457 U.S. 202, 102 S.Ct. 2382 (1982)).
22. The applicant is not barred from entering into this contract by Sections 33E-3 and 33E-4 of the Criminal Code of 1961 (720 ILCS 5/33E-3, 33E-4). Sections 33E-3 and 33E-4 prohibit the receipt of a state contract by a contractor who has been convicted of bid-rigging or bid-rotating.
23. If the applicant is an individual, the applicant is not in default on an educational loan as provided in 5 ILCS 385/3.
24. The applicant is prohibited from receiving a grant award from the State of Illinois because it pays dues or fees on behalf of its employees or agents or subsidizes or otherwise reimburses them for payment of their dues or fees to any club which unlawfully discriminates (775 ILCS 25/1).
25. The applicant certifies it has informed the State Superintendent of Education in writing if any employee of the applicant was formerly employed by the Illinois State Board of Education and has received an early retirement incentive under 40 ILCS 5/14-108.3 or 40 ILCS 5/16-133.3 (Illinois Pension Code). The applicant acknowledges and agrees that if such early retirement incentive was received, the Grant Agreement is not valid unless the official executing the agreement has made the appropriate filing with the Auditor General prior to execution.
26. The applicant shall notify the State Superintendent of Education if the applicant solicits or intends to solicit for employment any of the Illinois State Board of Education's employees during any part of the application process or during the Term of the Grant Agreement.
27. If applicable, the applicant shall be required to observe and comply with provisions of the Prevailing Wage Act, 820 ILCS 130/1 et seq., which applies to the wages of laborers, mechanics, and other workers employed in any public works.
28. The applicant certifies that it is (a) current as to the filing and payment of any applicable federal, state and/or local taxes; and (b) not delinquent in its payment of moneys owed to any federal, state, or local unit of government.
29. The applicant represents and warrants that all of the certifications and assurances set forth herein and attached hereto are and shall remain true and correct through the Term of the grant. During the Term of the grant, the award recipient shall provide the Illinois State Board of Education with notice of any change in circumstances affecting the certifications and assurances within ten (10) calendar days of the change. Failure to maintain all certifications and assurances or provide the required notice will result in the Illinois State Board of Education withholding future project funding until the award recipient provides documentation evidencing that the award recipient has returned to compliance with this provision, as determined by the Illinois State Board of Education.
30. Any applicant not subject to Section 10-21.9 of the School Code certifies that a fingerprint-based criminal history records check through the Illinois State Police and a check of the Statewide Sex Offender Database will be performed for all its a) employees, b) volunteers, and c) all employees of persons or firms holding contracts with the applicant, who have direct contact with children receiving services under the grant; and such applicant shall not a) employ individuals, b) allow individuals to volunteer, or c) enter into a contract with a person or firm who employs individuals, who will have direct contact with children receiving services under the grant who have been convicted of any offense identified in subsection (c) of Section 10-21.9 of the School Code (105 ILCS 5/10-21.9(c)) or have been found to be the perpetrator of sexual or physical abuse of any minor under 18 years of age pursuant to proceedings under Article II of the Juvenile Court Act of 1987 (705 ILCS 405/2-1 et seq.).
31. Any applicant that does not have a calculated indirect cost rate from the Illinois State Board of Education or does not utilize their restricted indirect cost rate as calculated by the Illinois State Board of Education certifies that it has developed a written Cost Allocation Plan (CAP) that: a) will be utilized in identifying the accumulation and distribution of any allowable administrative costs in the grant program; b) identifies the allocation methods used for distributing the costs among programs; c) requires support through records and documentation showing personnel time and effort information, and formal accounting records according to generally accepted governmental accounting principles; d) requires the propriety of the charges to be substantiated; and e) shall be made available, along with any records or supporting documentation for allowable administrative costs, for review upon Illinois State Board of Education's request.
32. The applicants participating in a joint application hereby certify that they are individually and jointly responsible to the Illinois State Board of Education and to the administrative and fiscal agent under the grant. An applicant that is a party to the joint application, a legal entity, or a Regional Office of Education may serve as the administrative and/or fiscal agent under the grant.
33. The entity acting as the fiscal agent certifies that it is responsible to the applicant or, in the case of a joint application, to each applicant that is a party to the application; it is the agent designated and responsible for reports and for receiving and administering funds; and it will:
- a) Obtain fully executed Certifications and Assurances, and Standard Terms of the Grant forms from each entity or individual participating in the grant and return the forms to the Illinois State Board of Education prior to award of the grant;
  - b) Maintain separate accounts and ledgers for the project;
  - c) Provide a proper accounting of all revenue from the Illinois State Board of Education for the project;
  - d) Properly post all expenditures made on behalf of the project;
  - e) Be responsible for the accountability, documentation and cash management of the project, the approval and payment of all expenses, obligations, and contracts and hiring of personnel on behalf of the project in accordance with the Grant Agreement;
  - f) Disburse all funds to joint applicants based on information (payment schedules) from joint applicants showing anticipated cash needs in each month of operation (The composite payment schedule submitted to the Illinois State Board of Education should reflect monthly cash needs for the fiscal agent and the joint applicants.);
  - g) Require joint applicants to report expenditures to the fiscal agent based on actual expenditures/obligation data and documentation. Reports submitted to the Illinois State Board of Education should reflect actual expenditure/obligations for the fiscal agent and the data obtained from the joint applicants on actual expenditures/obligations that occur within project beginning and ending dates;
  - h) Be accountable for interest income earned on excess cash on hand by all parties to the grant and return applicable interest earned on advances to the Illinois State Board of Education;
  - i) Make financial records available to outside auditors and Illinois State Board of Education personnel, as requested by the Illinois State Board of Education;
  - j) Have a recovery process in place with all joint applicants for collection of any funds to be returned to the Illinois State Board of Education; and
  - k) Be responsible for the payment of any funds that are to be returned to the Illinois State Board of Education.

34. The applicant hereby assures that when purchasing core instructional print materials published after July 19, 2006, the applicant will ensure that all such purchases are made from publishers who comply with the requirements of 105 ILCS 5/28-21, which instructs the publisher to send (at no additional cost) to the National Instructional Materials Access Center (NIMAC) electronic files containing the contents of the print instructional materials using the National Instructional Materials Accessibility Standard (NIMAS), on or before delivery of the print instructional materials. This does not preclude the district from purchasing or obtaining accessible materials directly from the publisher. For further information, see Article 28 (105 ILCS 5/28-21) of the [School Code](#).

#### **Drug-Free Workplace Certification**

35. This certification is required by the Drug-Free Workplace Act (30 ILCS 580/1). The Drug-Free Workplace Act, effective January 1, 1992, requires that no grantee or contractor shall receive a grant or be considered for the purposes of being awarded a contract for the procurement of any property or services from the state unless that grantee or contractor has certified to the state that the grantee or contractor will provide a drug-free workplace. False certification or violation of the certification may result in sanctions including, but not limited to, suspension of contract or grant payments, termination of the contract or grant, and debarment of contracting or grant opportunities with the State of Illinois for at least one (1) year but not more than five (5) years.

For the purpose of this certification, "grantee" or "contractor" means a corporation, partnership, or other entity with twenty-five (25) or more employees at the time of issuing the grant, or a department, division, or other unit thereof, directly responsible for the specific performance under a contract or grant of \$5,000 or more from the state.

The applicant certifies and agrees that it will provide a drug-free workplace by:

(a) Publishing a statement:

- (1) Notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance, including cannabis, is prohibited in the grantee's or contractor's workplace.
- (2) Specifying the actions that will be taken against employees for violations of such prohibition.
- (3) Notifying the employee that, as a condition of employment on such contract or grant, the employee will
  - (A) Abide by the terms of the statement; and
  - (B) Notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five (5) calendar days after such conviction.

(b) Establishing a drug-free awareness program to inform employees about:

- (1) The dangers of drug abuse in the workplace;
- (2) The grantee's or contractor'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 an employee for drug violations.

(c) Providing a copy of the statement required by subsection (a) to each employee engaged in the performance of the contract or grant and posting the statement in a prominent place in the workplace.

(d) Notifying the contracting or granting agency within ten (10) calendar days after receiving notice under part (B) of paragraph (3) of subsection (a) above from an employee or otherwise receiving actual notice of such conviction.

(e) Imposing a sanction on, or requiring the satisfactory participation in a drug abuse assistance or rehabilitation program by, any employee who is so convicted, as required by section 5 of the Drug-Free Workplace Act.

(f) Assisting employees in selecting a course of action in the event drug counseling, treatment, and rehabilitation are required and indicating that a trained referral team is in place.

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of the Drug-Free Workplace Act.

Save Page

**Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion****Instructions****Lower Tier Covered Transactions**

This certification is required by the regulations implementing Executive Orders 12549 and 12689, Debarment and Suspension, 2 CFR part 3485, including Subpart C Responsibilities of Participants Regarding Transactions (also see federal guidance at 2 CFR part 180). Copies of the regulations may be obtained by contacting the Illinois State Board of Education.

**Before completing this certification, read instructions below.**

**CERTIFICATION**

- ☐ By checking this box, the prospective lower tier participant certifies that:
1. Neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency;
  2. It will provide immediate written notice to whom this certification is submitted if at any time the prospective lower tier participant learns its certification was erroneous when submitted or has become erroneous by reason of changed circumstances;
  3. It shall not knowingly enter any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated;
  4. It will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion--Lower Tier Covered Transactions," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions; and
  5. The certifications herein are a material representation of fact upon which reliance was placed when this transaction was entered into.

[Save Page](#)**Instructions for Certification**

1. By checking the box and saving this page, the prospective lower tier participant is providing the certifications set out herein.
2. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the federal government, the department or agency with which this transaction originated may pursue all available remedies, including suspension and/or debarment.
3. Except for transactions authorized under paragraph 3 above, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the federal government, the department or agency with which this transaction originated may pursue all available remedies, including suspension and/or debarment.
4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used herein, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549 and Executive Order 12689. You may contact the person to which this certification is submitted for assistance in obtaining a copy of those regulations.
5. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the "GSA Government-Wide System for Award Management Exclusions" (SAM Exclusions) at:  
<https://www.sam.gov>
6. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required herein. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

[Save Page](#)



## Lobbying

### Certification Regarding Lobbying

[Instructions](#)

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

☐ By checking this box, the applicant hereby certifies, to the best of his or her knowledge and belief, that:

- (1) No federal appropriated funds have been paid or will be paid, by or on behalf of the contractor/grantee, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any federal contract, the making of any federal grant, the making of any federal loan, the entering into any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal contract, grant, loan, or cooperative agreement.
- (2) 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 contract, grant, loan, or cooperative agreement, the contractor/grantee shall complete and submit [ISBE 85-37](#) "Disclosure of Lobbying Activities," in accordance with its instructions.
- (3) The applicant shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

[Save Page](#)



- ☐ By checking this box, the applicant/award recipient (hereinafter the term applicant includes award recipient as the context requires) hereby certifies and assures the Illinois State Board of Education that:
1. The applicant has the necessary legal authority to apply for and to receive the proposed award. The filing of this application has been authorized by the governing body of the applicant, and the undersigned representative has been duly authorized to file this application for and in behalf of said applicant, and otherwise to act as the authorized representative of the applicant in connection with this application and any award in relation thereto.

**DEFINITIONS**

"APPLICANT" means an individual, entity or entities for which grant funds may be available and has made application to the Illinois State Board of Education for an award of such grant funds.

"LEA" means the local educational agency.

"AWARD RECIPIENT" means the person, entity or entities that are to receive or have received grant funds through an award from the Illinois State Board of Education. The terms "grantee" and "award recipient" may be used interchangeably.

"GRANT" means the award of funds, which are to be expended in accordance with the Grant Agreement for a particular project. The terms "grant", "award" and "project" may be used interchangeably.

"PROGRAM" means any applicable program under which federal funds are made available to the applicant.

"PROJECT" means the activities to be performed for which grant funds are being sought by the applicant.

**PROJECT**

2. The LEA will administer each Program in accordance with all applicable statutes, regulations, program plans, and applications;
3. The control of funds provided to the LEA under each Program and title to property acquired with those funds, will be in a public agency and that a public agency will administer those funds and property;
4. The LEA will use fiscal control and fund accounting procedures that will ensure proper disbursement of, and accounting for, federal funds paid to that agency under each Program. The LEA's administration and expenditure of Program funds shall be in accordance with all applicable requirements of the Education Department General Administrative Regulations (EDGAR), and the Uniform Administrative Requirements, Cost Principles, and Audit Requirements contained in 2 CFR 200;
5. The LEA will make reports to ISBE and to the Secretary as may reasonably be necessary to enable ISBE and the Secretary to perform their duties and meet federal reporting requirements, and the LEA will maintain such records, including the records required under Section 1232f of Title 20-Education, and provide access to those records, as ISBE or the Secretary deem necessary to perform their duties;
6. The LEA will provide reasonable opportunities for the participation by teachers, parents, and other interested agencies, organizations, and individuals in the planning for and operation of each Program;
7. Any application, evaluation, periodic program plan or report relating to each Program will be made readily available to parents and other members of the general public;
8. In the case of any Program project involving construction: (A) the project will comply with state requirements for the construction of school facilities; and (B) in developing plans for construction, due consideration will be given to excellence of architecture and design and to compliance with standards prescribed by the Secretary under Section 794 of Title 29 in order to ensure that facilities constructed with the use of federal funds are accessible to and usable by individuals with disabilities;
9. The LEA has adopted effective procedures for acquiring and disseminating to teachers and administrators participating in each Program significant information from educational research, demonstrations, and similar projects, and for adopting, where appropriate, promising educational practices developed through such projects; and
10. None of the funds expended under any applicable Program will be used to acquire equipment (including computer software) in any instance in which such acquisition results in a direct financial benefit to any organization representing the interests of the purchasing entity or its employees or an affiliate of such an organization.

[Save Page](#)

## Assurances

### Assurances

[Instructions](#)

**GRANT AGREEMENT:** The submissions made to the Illinois State Board of Education by the applicant and the terms and conditions described in each tab of this application shall constitute the grant agreement between the applicant and the Illinois State Board of Education for the use of the funds described in the "Budget Detail" tab. This grant agreement shall be deemed to be entered into when the application has been approved by the Illinois State Board of Education. This grant agreement constitutes the entirety of the agreement between the parties and supersedes any other agreement or communication, whether written or oral, relating to the award of the grant funds. The person submitting this application on behalf of the applicant certifies and assures the Illinois State Board of Education that he or she has been duly authorized to file this application for and on behalf of the applicant, is the authorized representative of the applicant in connection with this grant agreement, and that he or she is authorized to execute these Certifications and Assurances, and Standard Terms of the Grant on behalf of the applicant. Further, the person submitting this application on behalf of the applicant certifies under oath that all information in the grant agreement is true and correct to the best of his or her knowledge, information and belief, that grant funds shall be used only for the purposes described in this agreement, and that the award of this grant is conditioned upon this certification. This grant agreement may not be amended or modified except as by receiving approval for an amendment through the IWAS application process. By hitting "Submit" on the Submit page, this grant agreement shall be deemed to be executed on behalf of the applicant.

The authorized representative of the applicant who will affix his or her signature below certifies that he or she has read, understood and will comply with all of the provisions of the following certifications and assurances.

The person approving these Certifications, Assurances and Standard Terms of the Grant hereby certifies and assures the Illinois State Board of Education that the person submitting the final application on behalf of the applicant (and thereby executing the grant agreement with the Illinois State Board of Education) has the necessary legal authority to do so. (v2.23.2016)

The person approving this application certifies (1) to the statements contained in the list of certifications, and (2) that the statements herein are true, complete and accurate to the best of his/her knowledge. He/she also provided the required assurances and agrees to comply with any resulting terms if an award is accepted. He/she is aware that any false, fictitious, or fraudulent statements or claims may subject him/her to criminal, civil or administrative penalties. (U.S. Code, Title 18, Section 1001)

NOTE: These boxes will be automatically filled in as each of the separate certifications/assurances are read and completed.

- ☐ Assurances for Charter Schools Program - QSO
- ☐ Certifications and Assurances, and Standard Terms of the Grant
- ☐ Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions
- ☐ Certification Regarding Lobbying
- ☐ GEPA 442 Assurances

☐[Not calling IWAS Web S](#)

Signature of School District Superintendent / Agency Administrator

☐

Signature of Board-Certified Delegated Authority for the School District Superintendent