

The University of the State of New York  
THE STATE EDUCATION DEPARTMENT  
Office of Access, Equity & Community Engagement Services

Office of Postsecondary Access, Support & Success  
89 Washington Avenue, Room 960 EBA  
Albany, New York 12234

**Science and Technology Entry Program  
Guidelines for Submission of Proposals  
For the Period July 1, 2020 – June 30, 2025  
RFP #GC20-005**

**Proposals must be postmarked by 11/8/2019**

**Announcement of Funding Opportunity for the  
Science and Technology Entry Program 2020-2025  
Request for Proposals (RFP) #GC20-005**

**Background:**

The New York State Education Department is pleased to announce competition for Science and Technology Entry Program (STEP) grant contracts for the period of July 1, 2020 through June 30, 2025, pending annual appropriations in the New York State Budget.

**Legislative Authority:**

In 1985, the New York State Legislature passed an amendment to Education Law Chapter 31, Article 130, § 6454, to authorize the use of funds under the Science and Technology Entry Program (STEP).

**Purpose/Goal:**

The purpose of the Science and Technology Entry Program is to prepare secondary school students, who are either economically disadvantaged or minorities historically underrepresented in scientific, technical, health, health-related and licensed professions, for entry into postsecondary degree programs in scientific, technical, health-related fields, and the licensed professions.

**Eligible Applicants:**

According to § 145-6.5 of the Commissioner's Regulations, eligible applicant means a New York State degree granting postsecondary institution or consortia of such institutions with registered scientific, technical, or health related professional or pre-professional programs that lead to professional licensure or to employment in scientific, technical, and health related fields may submit proposals. The institution submitting the proposal, or if the applicant represents a consortium then at least half of the institutions in the consortium must be located within a school district with an enrollment that is at least 20 percent Black or African American, Hispanic/Latino, or American Indian/Alaska Native, or located near such a district that is easily accessible by public transportation.

**Important Dates:**

**Project Period:** July 1, 2020 through June 30, 2025

**September 27, 2019:** An informational webinar will be posted at <http://www.highered.nysed.gov/kiap/step/>

**October 4, 2019:** Deadline for questions to be submitted to [steprfp@nysed.gov](mailto:steprfp@nysed.gov)

**October 18, 2019:** A Question and Answer Summary will be posted at:  
<http://www.highered.nysed.gov/kiap/step/>

**October 25, 2019:** Non-Mandatory Notice of Intent due. See *Non-Mandatory Notice of Intent* section below.

**Applications Due:** Postmarked no later than November 8, 2019

## **Funding:**

During the 2019-2020 program year, \$15,811,180 was awarded to 59 projects. Future awards depend on annual legislative appropriation, but it is anticipated that funding will continue at the same approximate levels. This RFP covers a five-year funding cycle from July 1, 2020, through June 30, 2025. There is a 25% match required for each year of funding from a combination of institutional and/or other non-NY state funds. The maximum award for an individual STEP project funded during the 20-25 cycle will be \$450,000 per year. The maximum award for any newly funded individual STEP project will be \$300,000. The maximum award for a consortium STEP project will be \$1,000,000 per year.

## **APPLICATION SUBMISSION**

Non-profit applicants must submit **one original and two (2) paper copies** (both the narrative application and the budget/budget narrative) as well as a **flash drive** containing a complete electronic copy (including attachments) of the proposal in one Word file and a copy of the budget documents (FS-10 and Budget Narrative/Composite) in separate files, in a sealed envelope labeled "Science Technology Entry Program Application GC#20-005."

Non-profit applications must be sent to the following address:

***Attn: STEP RFP GC#20-005  
Office of Postsecondary Access, Support and Success  
New York State Education Department  
89 Washington Avenue, Room 960 EBA  
Albany, NY 12234***

For-profit applicants must submit **one original and two (2) paper copies of the Narrative Application** in a sealed envelope labeled "Science Technology Entry Program Narrative Application, GC#20-005—DO NOT OPEN"; **one original and two (2) paper copies of the Budget/Budget Narrative** in a separately sealed envelope labeled "Science Technology Entry Program Budget, GC#20-005—DO NOT OPEN"; a **flash drive** or **CD/DVD** containing a complete electronic copy of the proposal in one Word file and the budget documents in a separate file in a separately sealed envelope labeled "Science Technology Entry Program Electronic Copy, GC#20-005—DO NOT OPEN"

For-profit applications must be sent to the following address:

***Attn: Samuel Rose, RFP GC#20-005  
New York State Education Department  
Bureau of Fiscal Management  
Contract Administration Unit  
89 Washington Avenue, Room 501W EB  
Albany, NY 12234***

## **PREQUALIFICATION REQUIREMENT**

The State of New York has implemented a statewide prequalification process (described at the following website: <https://grantsmanagement.ny.gov/>) designed to facilitate prompt contracting for not-for-profit vendors. All not-for-profit vendors are required to pre-qualify by the grant application deadline in order to be eligible for this grant. This includes all currently funded not-for-profit institutions that may have previously received an award and are in the middle of the program cycle. Please review the additional information regarding this requirement in the Prequalification for Individual Applications section of this RFP.

## **NON-MANDATORY NOTICE OF INTENT (NOI):**

The Notice of Intent is not a requirement for submitting a complete application by the application date; however, NYSED strongly encourages all prospective applicants to submit an NOI to ensure a timely and thorough review and rating process.

A non-profit applicant's NOI will also help to facilitate timely review of their prequalification materials. The notice of intent is a simple email notice stating your organization's (use the legal name) intent to submit an application for this grant. The due date is October 25, 2019. Please send the NOI to [STEPrfp@nysed.gov](mailto:STEPrfp@nysed.gov).

#### THE STATE EDUCATION DEPARTMENT CONTACTS

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[steprfp@nysed.gov](mailto:steprfp@nysed.gov)

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## Table of Contents

I.	INTRODUCTION .....	9
II.	PURPOSE .....	9
III.	INSTITUTIONAL ELIGIBILITY.....	9
IV.	STUDENT ELIGIBILITY .....	10
V.	PROGRAM REQUIREMENTS .....	10
VI.	NYSED CONSORTIUM POLICY FOR STATE AND FEDERAL DISCRETIONARY GRANT PROGRAMS ...	12
VII.	PUBLIC RELATIONS/ATTRIBUTIONS OF FUNDING .....	13
VIII.	NYSED’S RESERVATION OF RIGHTS.....	13
IX.	FUNDING LIMITATIONS.....	14
X.	BUDGET .....	21
XI.	PROJECT OPERATIONAL GUIDELINES.....	24
XII.	VENDOR RESPONSIBILITY, M/WBE, AND ADDITIONAL REQUIREMENTS.....	26
XIII.	NOT-FOR-PROFIT (NFP) PROMPT CONTRACTING .....	32
XIV.	APPLICATION FOR FUNDING .....	33
XV.	NARRATIVE FORMAT.....	33
XVI.	APPLICATION REVIEW AND RATING PROCESS.....	37
XVII.	METHOD OF DETERMINING AWARD .....	38
XVIII.	NOTIFICATION OF AWARD.....	39
XIX.	CONTRACT AWARD PROTEST PROCEDURES.....	40
	STEP 2020-2025 Application .....	42
	COVER PAGE.....	42
	Table of Contents.....	43
	Abstract.....	44
	Proposal Narrative .....	45
	Performance Matrix.....	47
	STATEMENT OF ASSURANCES.....	55
	Vendor Responsibility Questionnaire .....	56
	Proposed Composite Budget .....	57
	2020-2025 Proposal Application Checklist .....	58
	PROPOSAL REVIEW CRITERIA.....	59
	M/WBE Documents Package .....	78

## DEFINITIONS OF FREQUENTLY USED TERMS

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

**Consortium:** For the purposes of this RFP, a consortium is defined as an association or grouping of institutions set up for a common purpose that would be beyond the capabilities of a single member of the group. A consortium must meet all requirements established in NYSED's Consortium Policy for State and Federal Discretionary Grant Programs found in Section VI of this RFP.

**Current Program:** This includes all institutions applying under this RFP that have an existing Science Technology Entry Program at their institution.

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

**Economically Disadvantaged:** For the purpose of STEP, a student who is economically disadvantaged means a student who is a member of a household that meets the following income eligibility standards: The total annual income of such household is equal to or less than 185 percent of the amount under the annual United States Department of Health and Human Services poverty guidelines for the applicant's family size for the applicable year. The income eligibility standards will be published annually by SED for the 2020-2025 funding cycle. The income eligibility standards apply only at the time of admission as a first-time student to a STEP program. Once admitted, a student may continue to receive supportive services as needed, even if the family income rises above the current income eligibility standards.

Additional documentation of household income need not be collected to determine eligibility under economic disadvantage if the student falls into one of the following categories, and documentation is available to demonstrate:

- A. the student's family is the recipient of family assistance program aid or safety net assistance through the New York State Office of Temporary and Disability Assistance or a county department of social services; or is the recipient of family day-care payments through the New York State Office of Children and Family Services or a county department of social services;
- B. the student is living with foster parents and no monies are provided from the natural parents;
- C. the student is a ward of the State or a county; or
- D. the student is independently eligible to receive free or reduced lunches at their secondary school (verified by the school).

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

**Full-Time Equivalent (FTE):** A way to measure a worker's involvement in a project. Full-time equivalent for staff is defined as the percent effort for each activity and/or service provided by the worker. An FTE of 1.0 means that the person is equivalent to a full-time worker and spends 100% of their time on the project; an FTE of 0.5 signifies that the worker spends half-time of their time serving the project.

**Headcount:** Refers to the number of unduplicated, full-time student participants enrolled and receiving services in a program during any given fiscal year.

**Historically Underrepresented Minority:** According to § 145-6.5 of the Commissioner's Regulations, minorities historically underrepresented in the scientific, technical, health and health-related professions means residents of New York State or permanent resident aliens residing in New York State who are Black, Hispanic, American Indian or Alaskan native.

**Institutional Match:** The total amount of funds that the institution contributes towards STEP from its own or other resources (state grants are excluded) for the purposes of administering STEP.

**Licensed Profession:** To view the list of professions that are licensed, registered, or certified by the Board of Regents for New York State, please visit the following page on the Office of the Professions website: <http://www.op.nysed.gov/prof/>

**Minority or Minority Student Group:** See “Historically Underrepresented Minority”.

**MOU (Memorandum of Understanding):** A written document or agreement between the school district and the IHE (Institute of Higher Education) partners that delineates all roles and responsibilities with which the parties shall commit to in the contract.

**New York State Residency:** The student is a resident of the State if the individual’s domicile is in New York State and the student is enrolled in grades 7 through 12.

**Program Year:** For purposes of this RFP, July 1 through June 30 constitutes a program year.

**Scientific Field:** Per § 6454 of the Education Law, a scientific field shall include those fields in the natural sciences (i.e. physical and life sciences), and those fields in the decision sciences (i.e. decision theory, logic, mathematics, statistics, systems theory, theoretical computer science) or where 70% of the registered program credits are in the mathematical and/or scientific departments.

**Summer Session:** Interim sessions between academic school years. Summer sessions would typically take place July through August.

**Start-up Programs:** This includes all institutions applying under this RFP which do not have a current Science and Technology Entry Program at their institution.

**STEP Student:** an active member of a participating STEP project who is also a student enrolled in an appropriate grade at an eligible school. Active shall be defined as having applied for and then accepted into STEP at the institution and participation in STEP activities. Participation in the number of activities per semester will be defined by the STEP institution.

**Students with Disabilities:** A student with any physical or mental impairment that substantially limits one or more major life activities such as caring for oneself, performing manual tasks, walking, seeing, hearing, speaking, breathing, learning, or working. “Substantially limited” generally means that a person is unable to perform a major life activity that the average person in the general population can perform. Mitigating or corrective measures such as medication or corrective lenses may be considered when determining whether a person is substantially limited.

**Technical Field:** Per § 6454 of the Education Law, technical fields are those fields in the applied sciences (i.e. medical support fields, engineering support fields, computer science, etc.) or will pursue a career which requires at least two semesters of calculus or statistics, and both a full year introductory science course and science courses at above the introductory level.



## **GUIDELINES FOR PROGRAMS**

### **I. INTRODUCTION**

The New York State Education Department is pleased to announce competition for the Science and Technology Entry Program (STEP) grant contracts for the period of July 1, 2020 through June 30, 2025, pending annual appropriations in the New York State Budget.

### **II. PURPOSE**

According to § 6454 of the Education Law, STEP “shall be to assist eligible students in acquiring the skills, attitudes and abilities necessary to pursue professional or pre-professional study in post-secondary degree programs in scientific, technical and health-related fields.”

### **III. INSTITUTIONAL ELIGIBILITY**

According to § 145-6.5 of the Commissioner’s Regulations, eligible applicant means “a degree-granting postsecondary institution, or a consortium of such institutions, which offers an approved undergraduate program of study and/or an approved graduate level program of study.” A consortium is defined as an association or grouping of institutions set up for a common purpose that would be beyond the capabilities of a single member of the group. Each institution may submit more than one proposal only if the institution has two or more geographically separate campuses and serves different schools/districts with their own distinct contracted and unduplicated headcount. An institution may not submit applications as both a consortium and stand-alone program unless the programs are located on and serve two geographically separate campuses.

A consortium must meet all requirements established in NYSED’s Consortium Policy for State and Federal Discretionary Grant Programs found in Section VI of this RFP. Both non-profit and for-profit institutions are eligible to apply.

The institution submitting the proposal, or if the applicant represents a consortium then at least half of the institutions in the consortium, must be located within a school district with an enrollment that is at least 20 percent Black or African-American, Hispanic/Latino, or American Indian, or Alaska Native, or located near such a district that is easily accessible by public transportation. Both non-profit and for-profit institutions are eligible to apply.

Education Law § 6454 states that grants shall be awarded to eligible applicants based upon the following criteria:

- A.** an established record of conducting effective collaborative educational programs with neighboring secondary schools;
- B.** the ability and willingness to cooperate with other postsecondary institutions in operating a program funded pursuant to this section;
- C.** the capacity to secure or provide additional support in amounts equal to at least twenty-five percent of the grant sought under this section through private and other governmental sources and through in-kind services;
- D.** a location within a school district with an enrollment comprised of at least twenty percent minority group students or a location near such a district that is accessible by public transportation.

#### **IV. STUDENT ELIGIBILITY**

The Science and Technology Entry Program is designed for New York State residents in grades 7 through 12 who are historically underrepresented or economically disadvantaged in the scientific, technical, health-related, and licensed professions.

For the purpose of STEP, a student is eligible to participate if the student is:

a New York State resident (The student is a resident of the State if the individual's domicile is in New York State and the student is enrolled in grades 7 through 12) and interested in pursuing careers in the scientific, technical, health-related, and licensed professions

**and** either a minority historically underrepresented (Black or African American, Hispanic/Latino, American Indian or Alaska Native),

**or** economically disadvantaged (the student must meet the income eligibility criteria distributed by SED).

##### Documentation

- A.** Institutions approved for funding are required to develop an application for STEP participants. Students must complete an application prior to participation in the program. Funds may not be expended on behalf of students for whom an application and required documentation are not available. The project is responsible for having each student's previous and current report cards on file for the duration of their participation in the program.
- B.** Documentation confirming economically disadvantaged status is required only for students who are not Black or African American, Hispanic/Latino, American Indian or Alaska Native. The racial/ethnic identification indicated by students on the STEP application is acceptable documentation.
- C.** Economic disadvantage documentation could include a copy of the parent or legal guardians signed most recent year's tax returns (IRS form 1040, 1040A, 1040EZ or 4506) or proof of free or reduced lunch eligibility. The economic eligibility standards set forth apply only at the time of admission as a first-time student to a STEP program. Annual income eligibility criteria will be distributed by SED.
- D.** In order to be accepted all required documentation must be complete. The application and all required documentation must be kept on file for each student at the STEP project site and must be readily available for review by State Education Department (SED) staff. In the case of consortia, a copy of the application for each student must be available at the home campus site as well as at the lead institution or project headquarters.

#### **V. PROGRAM REQUIREMENTS**

Institutions that receive a STEP award will be required to:

- A.** Provide assistance to eligible students in acquiring the skills, attitudes and abilities necessary to pursue professional or pre-professional study in post-secondary degree programs in scientific, technical and health-related fields.
- B.** Prepare and deliver curriculum-related activities and services that includes:
  - 1.** comprehensive program activities that emphasize the concrete aspects of the scientific, technical or health-related discipline as it relates to a professional career, through laboratories, relevant work experience opportunities, or similar activities.

2. academic, career and financial aid advisement to ensure that such students are fully aware of the opportunities and necessary preparations for professional careers in scientific, technical, or health-related fields.
3. quantifiable measures to assess the effectiveness of the, activities and services in promoting the purposes of the Science and Technology Entry Program,
  - including the persistence rate of participating students;
  - the persistence rate of participating students in completing mathematics and science courses in an academic track;
  - the college placement rate of participating students in professional or pre-professional programs in scientific, technical, or health-related fields.
4. effective collaborative educational programs with neighboring secondary schools; the ability and willingness to cooperate with other postsecondary institutions in operating a program;
5. a location within a school district, or at least half of the institutions in the consortium, with an enrollment comprised of at least twenty percent (20%) minority group students or a location near such a district that is accessible by public transportation.

C. Ensure that STEP is an academic opportunity program that must be closely coordinated with the academic or student affairs at the institution and provide suitable institutional support.

Professional Staffing – (the following is a suggested guide to program staffing qualifications)

1. Project Director – The STEP director is responsible for providing leadership to STEP and for the management of the contract and all related STEP activities. The project director or Associate Director should have a minimum of a bachelor's degree with 3-5 years of program administration & management experience. The director should also have experience in fiscal management and budgetary oversight. In addition, the director should have experience working with students from historically underrepresented or economically disadvantaged groups.
  2. Assistant Director/Coordinator – The Assistant Director or Coordinator should have a minimum of a bachelor's degree with 1-3 years of program administration & management experience. In addition, they should have experience working with students from historically underrepresented or economically disadvantaged groups.
- D. All programs must provide services to students enrolled in secondary education (grades 7 – 12). Program services must address students' academic and collegiate preparation in science, technology, health-related fields and licensed professions. All programs must provide services to all grades, 7-12.
- E. Provide program activities to assist students in acquiring the skills and aptitudes necessary to pursue postsecondary education leading to careers in scientific, technical, or health-related fields, or the licensed professions. The program must consist of instructional activities and services that emphasize the relationship between a course of study and careers in the targeted fields. Activities must also include academic career advisement to apprise students of the opportunities and prerequisites for the pursuit of careers in science, technology, and health-related fields, and the licensed professions.
- F. Provide services and activities to enhance and increase students' mathematical skills, and experiences in the sciences and laboratory science in accordance with the Common Core and Advanced Regents Diploma. Program activities must enhance and support students' abilities to perform tasks in computing, statistics, algebra and geometry, and increase students' knowledge in at least one field of science such as biology, chemistry, or physics. All activities must be in compliance with the most current NYS learning standards, which can be found at the following website: <http://www.emsc.nysed.gov/ciai/standards.html>.

- G. Provide MOUs (Memorandum of Understanding) between the proposing institution, local industry, and local education agencies such as local schools or school districts. MOUs with partner school districts and/or schools must include authorization for the applicant institution to obtain and review school records, which include but are not limited to report cards, transcripts, attendance records, and college acceptance letters. Such shared educational information on the STEP participant between the applicant and school district will be handled in accordance with the Family Educational Rights and Privacy Act (FERPA) and all information obtained will remain confidential, in accordance with all applicable New York State laws.
- H. Promote and encourage collaborations with Statewide & Regional partners:
  - 1. Collaborate with the Collegiate Science and Technology Entry Program (CSTEP) (e.g., generate a list of high school juniors to share with CSTEP projects or share list of STEP alumni attending CSTEP institutions, etc.).
  - 2. Participate in Statewide & Regional Network Committees.
- I. Implement a parent component with clearly defined roles, responsibilities, and activities. Establish a relationship between the parents and the program. The parent group must meet at least twice a semester.
- J. Develop and implement a STEP Advisory Committee with membership representatives from various stakeholder groups, such as students, parents, local K-12 administrators/teachers, and campus faculty/staff, and designated individuals for which the program holds an MOU. The purpose of the STEP Advisory Committee is to meet, at minimum, annually to discuss upcoming programming or the calendar of events and assist with the self-review process.
- K. Host Day of Service events to provide exploration of and exposure to careers in the licensed professions, scientific, and technical fields, to students not currently attending STEP programming.
- L. Ensure audit accountability, as each institution must adhere to the Generally Accepted Accounting Principles and reflect STEP and institutional monies by line item, separate from all other institutional accounts. State, institutional, Federal, and other grant funds must be clearly delineated.
- M. Provide a minimum of 25% matching funds from institutional, governmental (other than New York State) and other in-kind sources.
- N. Individual STEP projects that request a budget of \$200,000 or more a year are required to conduct a summer program.

**Note: Projects must be conducted at a facility that will provide reasonable accommodations to meet the accessibility needs of individuals with disabilities who will participate in project activities. The institutions conducting the programs are responsible for special accommodations, such as interpreters, assistive listening devices, large print or Braille materials, etc.**

## **VI. NYSed CONSORTIUM POLICY FOR STATE AND FEDERAL DISCRETIONARY GRANT PROGRAMS**

- A. The consortium must designate one of the members to serve as the applicant/ fiscal agent for the grant. The applicant agency/fiscal agent must be an eligible grant recipient. All other consortium members must be eligible grant participants, as defined by the program statute or regulation.
- B. In the event a grant is awarded to a consortium, the grant or grant contract will be prepared in the name of the applicant agency/fiscal agent, not the partnership/consortium, since the group is not a legal entity.
- C. The applicant agency/fiscal agent must meet the following requirements:

1. Must be an eligible grant recipient as defined by statute;
2. Must receive and administer the grant funds and submit the required reports to account for the use of grant funds;
3. Must require consortium members to sign an agreement with the fiscal agent that specifically outlines all services each partner agrees to provide. An MOU signed by all consortium member institutions must be submitted to NYSED and kept on file prior to the start of the contract. Funding for project and work cannot commence prior to submission of an MOU signed by each member institution;
4. Cannot act solely as a flow-through for grant funds to pass to other recipients. The fiscal agent must provide a minimum of 20% of the direct services supported by this grant, as reflected in the budget, except where SUNY or CUNY Research Foundations are the fiscal agent;
5. Must be an active member of the consortium;
6. Is PROHIBITED from sub granting funds to other recipients. The applicant/fiscal agent is permitted to contract for services with other consortium partners or consultants to provide services that the fiscal agent cannot provide itself;
7. Must be responsible for the performance of any services provided by the partners, consultants, or other organizations and must coordinate how each plan to participate.

## **VII. PUBLIC RELATIONS/ATTRIBUTIONS OF FUNDING**

In order to ensure the continued support and the commitment of resources to State-funded Science and Technology Entry Program projects, there must be public awareness of the program's positive impact on the lives of project participants and their families, schools, and communities. Positive publicity and community awareness also help to ensure that those who are eligible and who could benefit from participation are informed of the project's existence.

To facilitate public awareness, all funded Science and Technology Entry Program projects are required to ensure that all public relations materials, websites, and program related activities acknowledge that the project and its activities are supported, in whole or in part, by a grant from the New York State Education Department. In addition, when local, statewide, or national media report on the project's success or on honors received by students or staff, New York State Education Department funding must be acknowledged.

In addition, the project director should submit copies of all local, statewide, or national media stories about the project and/or the project participants and staff to the State Education Department at the following address:

*Attn: STEP  
Office of Postsecondary Access, Support and Success  
New York State Education Department  
89 Washington Avenue, EBA 960  
Albany, New York 12234*

Telephone: (518) 474-3719

Email: [kiap@nysed.gov](mailto:kiap@nysed.gov)

Questions about this policy may be directed to the appropriate project liaison.

The foregoing publicity requirements are subject to any additional terms and conditions that are defined in the master grant contract.

## **VIII. NYSED'S RESERVATION OF RIGHTS**

NYSED reserves the rights to:

- A. Reject any or all proposals received in response to the RFP;
- B. Withdraw the RFP at any time, at the agency's sole discretion;
- C. Make an award under the RFP in whole or in part;
- D. Disqualify any bidder whose conduct and/or proposal fails to conform to the requirements of the RFP;
- E. Seek clarifications of proposals;
- F. Use proposal information obtained through site visits, management interviews and the state's investigation of a bidder's qualifications, experience, ability or financial standing, and any material or information submitted by the bidder in response to the agency's request for clarifying information in the course of evaluation and/or selection under the RFP;
- G. Prior to the bid opening, amend the RFP specifications to correct errors or oversights, or to supply additional information, as it may become available;
- H. Prior to the bid opening, direct bidders to submit proposal modifications addressing subsequent RFP amendments;
- I. Change any of the scheduled dates;
- J. Waive any requirements that are not material;
- K. Negotiate with the successful bidder within the scope of the RFP in the best interests of the state;
- L. Conduct contract negotiations with the next responsible bidder, should the agency be unsuccessful in negotiating with the selected bidder;
- M. Utilize any and all ideas submitted in the proposals received;
- N. Unless otherwise specified in the solicitation, every offer is firm and not revocable for a period of 90 days from the bid opening;
- O. Require clarification at any time during the procurement process and/or require correction of arithmetic or other apparent errors for the purpose of assuring a full and complete understanding of an offeror's proposal and/or to determine an offeror's compliance with the requirements of the solicitation;
- P. Request best and final offers.

## IX. FUNDING LIMITATIONS

The specific amount of awards depends upon the legislative appropriation and the review and approval of an institution's application for funding by the State Education Department (SED). While these guidelines call for a five-year proposal, funding in years two through five is dependent on satisfactory performance (the ability to maintain an enrollment of 95% of the contracted total and to provide programmatic services that meet all program requirements as outlined in this RFP), legislative appropriation and the submission of appropriate budget documents and work plan approved by SED.

The State Education Department (SED) may suspend funding to any project that fails to provide required reports or carry out the priorities and requirements of STEP as identified in the RFP and subsequent contract.

Each institution may submit more than one proposal only if the institution has two or more geographically separate campuses and provides separate activities for unduplicated students on each campus. An institution may not submit applications as both a consortium and stand-alone program unless the programs are located on and serve two geographically separate campuses. A consortium is defined as an association or grouping of institutions set up for a common purpose that would be beyond the capabilities of a single member of the group. A consortium must meet all requirements established in NYSED's Consortium Policy for State and Federal Discretionary Grant Programs found in Section VI of this RFP.

**The maximum award for an individual STEP project that was previously funded in the 15-20 cycle ("previously funded Individual Projects") will be \$450,000 per year. New projects will be capped at a maximum budget of \$300,000 (which equates to a headcount of 167) during the 2020-2025 cycle in**

**order to demonstrate the ability to effectively meet programmatic requirements and goals in a sustained manner. The maximum award for a consortium STEP project will be \$1,000,000 per year.**

The maximum amount of funding that may be requested in any one application will be determined by the minimum number of student participants the project commits to serve contractually on an annual basis. The number of students will be based on the “unduplicated count,” which is the number of students participating (headcount) in the summer plus all other academic year student participants who did not attend in the summer. The project may propose a budget that reflects a lower funding amount if the project deems it suitable for the scope of their project services or to address their ability to meet the required 25% match. **The minimum number of students (headcount) that must be served annually in a STEP project is 30 participants.**

**Individual STEP projects that request a budget of \$200,000 or more a year are required to conduct a summer program**

Projects that serve between 30 and 99 students per year will be awarded a maximum of \$2,000 for each student contracted to serve. The annual budget for a project contracted to serve 30 students per year may not exceed \$60,000; the annual budget for a project contracted to serve 99 students per year may not exceed \$198,000. (See the Funding Levels for Individual and Consortia STEP Projects tables below).

Projects that serve between 100 and 199 students per year will be awarded a maximum of \$1,500 for each student they serve above 99. As such, the annual budget for a project contracted to serve 100 students per year may not exceed \$199,500 (i.e., \$198,000+\$1,500); the annual budget for a project contracted to serve 199 students per year may not exceed \$348,000 (i.e., \$198,000+\$150,000). (See the Funding Levels for Individual and Consortia STEP Projects tables below.)

**Previously funded Individual Projects** that serve 200 or more students per year will be awarded a maximum of \$1,000 for each student they serve above 199, up to a cap of \$450,000 **per individual project**, per year. Thus, for example, the annual budget for a project contracted to serve 200 students per year may not exceed \$349,000 (i.e., \$348,000+\$1,000). (See the Funding Levels for Individual and Consortia STEP Projects tables below.)

**Consortia STEP Projects** that serve 200 or more students per year will be awarded a maximum of \$1,000 for each student they serve above 199, up to a cap of \$1,000,000 **per consortium**, per year. As such, the annual budget for a project contracted to serve 200 students per year may not exceed \$349,000 (i.e., \$348,000+\$1,000). (See the Funding Levels for Individual and Consortia STEP Projects tables below.)

This approach seeks to award funding to successful projects in an equitable manner and maximize the number of students served statewide while recognizing that projects serving fewer students can bear a higher proportion of infrastructure and administrative costs per student.

Further, while individual projects that provide services to more than 301 students will not receive additional funds per student, serving higher numbers of proposed participants will be viewed favorably by reviewers in the scoring rubric for recruitment: “Describe all strategies and activities that will be used to recruit and select participants.”

Similarly, while consortium projects that serve more than 851 students will not receive additional funds per student, serving higher numbers of proposed participants will be viewed favorably by reviewers in the scoring rubric for recruitment: “Describe all strategies and activities that will be used to recruit and select participants.”

Projects that do not meet their contracted enrollment of participants will have their budget reduced proportionately (see the “Shortfalls in enrollment goals” section below for additional information).

All funding requests will be reviewed at the time of submission of an application. If certain costs cannot be supported by STEP funds, they will be eliminated from the budget.

**For an increase in available funding:**

- A. If new or additional funding becomes available, and NYSED chooses to distribute this funding to applicants of this current RFP, NYSED will allocate the funds in this order by:
  - 1. Making whole any funded programs that have received a partial award;
  - 2. Approving awards, in rank order, for eligible applicants who received passing scores, but who did not rank high enough to receive the initial funding;
  - 3. Allocating funds among already awarded programs to serve additional students. NYSED will offer awarded programs the opportunity to serve additional students based on the per student maximum request amounts outlined in this Funding Limitations section of the RFP. This opportunity will be offered to all awarded programs that have not fallen below 95% of their enrollment goal, according to the most recently submitted rosters of students (see the Shortfalls in Enrollment Goals section below). Maximum request amounts will be established by distributing funding proportionally (based on total annual budget) to those institutions that accept the opportunity to serve additional students.
- B. Any contract changes resulting from an increase in available funding will be subject to review and approval by the Office of the State Comptroller.

**For a decrease in available funding:**

A decrease in funding for any subsequent funding year will result in a proportional reduction to all funded projects based on total annual budget.

**Shortfalls in enrollment goals:**

The STEP award recipient institution will furnish STEP-SED with a roster of students enrolled in its program as of February 15 in each program year. This roster is due March 15. The number of students listed in this roster will be compared against the number of students proposed to be served in the RFP's 2020-2021 Composite Budget. If the current roster is less than 95% of the number set forth in the composite budget, the grantee's budget will be proportionally diminished by the amount of the percentage of the deficiency from the composite budget. For example: if the actual roster is 94% of the projected number, the grantees budget will be reduced by 6% in the year of the deficiency.



## FUNDING LEVELS FOR INDIVIDUAL STEP PROJECTS

Contracted Headcount	Maximum Budget	Contracted Headcount	Maximum Budget	Contracted Headcount	Maximum Budget	Contracted Headcount	Maximum Budget	Contracted Headcount	Maximum Budget
30	\$60,000	85	\$170,000	140	\$259,500	195	\$342,000	250	\$399,000
31	\$62,000	86	\$172,000	141	\$261,000	196	\$343,500	251	\$400,000
32	\$64,000	87	\$174,000	142	\$262,500	197	\$345,000	252	\$401,000
33	\$66,000	88	\$176,000	143	\$264,000	198	\$346,500	253	\$402,000
34	\$68,000	89	\$178,000	144	\$265,500	199	\$348,000	254	\$403,000
35	\$70,000	90	\$180,000	145	\$267,000	200	\$349,000	255	\$404,000
36	\$72,000	91	\$182,000	146	\$268,500	201	\$350,000	256	\$405,000
37	\$74,000	92	\$184,000	147	\$270,000	202	\$351,000	257	\$406,000
38	\$76,000	93	\$186,000	148	\$271,500	203	\$352,000	258	\$407,000
39	\$78,000	94	\$188,000	149	\$273,000	204	\$353,000	259	\$408,000
40	\$80,000	95	\$190,000	150	\$274,500	205	\$354,000	260	\$409,000
41	\$82,000	96	\$192,000	151	\$276,000	206	\$355,000	261	\$410,000
42	\$84,000	97	\$194,000	152	\$277,500	207	\$356,000	262	\$411,000
43	\$86,000	98	\$196,000	153	\$279,000	208	\$357,000	263	\$412,000
44	\$88,000	99	\$198,000	154	\$280,500	209	\$358,000	264	\$413,000
45	\$90,000	100	\$199,500	155	\$282,000	210	\$359,000	265	\$414,000
46	\$92,000	101	\$201,000	156	\$283,500	211	\$360,000	266	\$415,000
47	\$94,000	102	\$202,500	157	\$285,000	212	\$361,000	267	\$416,000
48	\$96,000	103	\$204,000	158	\$286,500	213	\$362,000	268	\$417,000
49	\$98,000	104	\$205,500	159	\$288,000	214	\$363,000	269	\$418,000
50	\$100,000	105	\$207,000	160	\$289,500	215	\$364,000	270	\$419,000
51	\$102,000	106	\$208,500	161	\$291,000	216	\$365,000	271	\$420,000
52	\$104,000	107	\$210,000	162	\$292,500	217	\$366,000	272	\$421,000
53	\$106,000	108	\$211,500	163	\$294,000	218	\$367,000	273	\$422,000
54	\$108,000	109	\$213,000	164	\$295,500	219	\$368,000	274	\$423,000
55	\$110,000	110	\$214,500	165	\$297,000	220	\$369,000	275	\$424,000
56	\$112,000	111	\$216,000	166	\$298,500	221	\$370,000	276	\$425,000
57	\$114,000	112	\$217,500	167	\$300,000	222	\$371,000	277	\$426,000
58	\$116,000	113	\$219,000	168	\$301,500	223	\$372,000	278	\$427,000
59	\$118,000	114	\$220,500	169	\$303,000	224	\$373,000	279	\$428,000
60	\$120,000	115	\$222,000	170	\$304,500	225	\$374,000	280	\$429,000
61	\$122,000	116	\$223,500	171	\$306,000	226	\$375,000	281	\$430,000
62	\$124,000	117	\$225,000	172	\$307,500	227	\$376,000	282	\$431,000
63	\$126,000	118	\$226,500	173	\$309,000	228	\$377,000	283	\$432,000
64	\$128,000	119	\$228,000	174	\$310,500	229	\$378,000	284	\$433,000
65	\$130,000	120	\$229,500	175	\$312,000	230	\$379,000	285	\$434,000
66	\$132,000	121	\$231,000	176	\$313,500	231	\$380,000	286	\$435,000
67	\$134,000	122	\$232,500	177	\$315,000	232	\$381,000	287	\$436,000
68	\$136,000	123	\$234,000	178	\$316,500	233	\$382,000	288	\$437,000
69	\$138,000	124	\$235,500	179	\$318,000	234	\$383,000	289	\$438,000
70	\$140,000	125	\$237,000	180	\$319,500	235	\$384,000	290	\$439,000
71	\$142,000	126	\$238,500	181	\$321,000	236	\$385,000	291	\$440,000
72	\$144,000	127	\$240,000	182	\$322,500	237	\$386,000	292	\$441,000
73	\$146,000	128	\$241,500	183	\$324,000	238	\$387,000	293	\$442,000
74	\$148,000	129	\$243,000	184	\$325,500	239	\$388,000	294	\$443,000
75	\$150,000	130	\$244,500	185	\$327,000	240	\$389,000	295	\$444,000
76	\$152,000	131	\$246,000	186	\$328,500	241	\$390,000	296	\$445,000
77	\$154,000	132	\$247,500	187	\$330,000	242	\$391,000	297	\$446,000
78	\$156,000	133	\$249,000	188	\$331,500	243	\$392,000	298	\$447,000
79	\$158,000	134	\$250,500	189	\$333,000	244	\$393,000	299	\$448,000
80	\$160,000	135	\$252,000	190	\$334,500	245	\$394,000	300	\$449,000
81	\$162,000	136	\$253,500	191	\$336,000	246	\$395,000	301**	\$450,000**
82	\$164,000	137	\$255,000	192	\$337,500	247	\$396,000	302**	\$450,000**
83	\$166,000	138	\$256,500	193	\$339,000	248	\$397,000		
84	\$168,000	139	\$258,000	194	\$340,500	249	\$398,000		

\*\* Headcounts of 301 and above may request a maximum of \$450,000. While individual projects that provide services to higher numbers of students will not receive additional funds per student, serving higher numbers of proposed participants will be viewed favorably by reviewers in the Program Requirements rubric: “activities and services to increase access to the number of historically under-represented students.”

## FUNDING LEVELS FOR CONSORTIA STEP PROJECTS

Contracted Headcount	Maximum Budget	Contracted Headcount	Maximum Budget	Contracted Headcount	Maximum Budget	Contracted Headcount	Maximum Budget	Contracted Headcount	Maximum Budget
30	\$60,000	100	\$199,500	170	\$304,500	240	\$389,000	310	\$459,000
31	\$62,000	101	\$201,000	171	\$306,000	241	\$390,000	311	\$460,000
32	\$64,000	102	\$202,500	172	\$307,500	242	\$391,000	312	\$461,000
33	\$66,000	103	\$204,000	173	\$309,000	243	\$392,000	313	\$462,000
34	\$68,000	104	\$205,500	174	\$310,500	244	\$393,000	314	\$463,000
35	\$70,000	105	\$207,000	175	\$312,000	245	\$394,000	315	\$464,000
36	\$72,000	106	\$208,500	176	\$313,500	246	\$395,000	316	\$465,000
37	\$74,000	107	\$210,000	177	\$315,000	247	\$396,000	317	\$466,000
38	\$76,000	108	\$211,500	178	\$316,500	248	\$397,000	318	\$467,000
39	\$78,000	109	\$213,000	179	\$318,000	249	\$398,000	319	\$468,000
40	\$80,000	110	\$214,500	180	\$319,500	250	\$399,000	320	\$469,000
41	\$82,000	111	\$216,000	181	\$321,000	251	\$400,000	321	\$470,000
42	\$84,000	112	\$217,500	182	\$322,500	252	\$401,000	322	\$471,000
43	\$86,000	113	\$219,000	183	\$324,000	253	\$402,000	323	\$472,000
44	\$88,000	114	\$220,500	184	\$325,500	254	\$403,000	324	\$473,000
45	\$90,000	115	\$222,000	185	\$327,000	255	\$404,000	325	\$474,000
46	\$92,000	116	\$223,500	186	\$328,500	256	\$405,000	326	\$475,000
47	\$94,000	117	\$225,000	187	\$330,000	257	\$406,000	327	\$476,000
48	\$96,000	118	\$226,500	188	\$331,500	258	\$407,000	328	\$477,000
49	\$98,000	119	\$228,000	189	\$333,000	259	\$408,000	329	\$478,000
50	\$100,000	120	\$229,500	190	\$334,500	260	\$409,000	330	\$479,000
51	\$102,000	121	\$231,000	191	\$336,000	261	\$410,000	331	\$480,000
52	\$104,000	122	\$232,500	192	\$337,500	262	\$411,000	332	\$481,000
53	\$106,000	123	\$234,000	193	\$339,000	263	\$412,000	333	\$482,000
54	\$108,000	124	\$235,500	194	\$340,500	264	\$413,000	334	\$483,000
55	\$110,000	125	\$237,000	195	\$342,000	265	\$414,000	335	\$484,000
56	\$112,000	126	\$238,500	196	\$343,500	266	\$415,000	336	\$485,000
57	\$114,000	127	\$240,000	197	\$345,000	267	\$416,000	337	\$486,000
58	\$116,000	128	\$241,500	198	\$346,500	268	\$417,000	338	\$487,000
59	\$118,000	129	\$243,000	199	\$348,000	269	\$418,000	339	\$488,000
60	\$120,000	130	\$244,500	200	\$349,000	270	\$419,000	340	\$489,000
61	\$122,000	131	\$246,000	201	\$350,000	271	\$420,000	341	\$490,000
62	\$124,000	132	\$247,500	202	\$351,000	272	\$421,000	342	\$491,000
63	\$126,000	133	\$249,000	203	\$352,000	273	\$422,000	343	\$492,000
64	\$128,000	134	\$250,500	204	\$353,000	274	\$423,000	344	\$493,000
65	\$130,000	135	\$252,000	205	\$354,000	275	\$424,000	345	\$494,000
66	\$132,000	136	\$253,500	206	\$355,000	276	\$425,000	346	\$495,000
67	\$134,000	137	\$255,000	207	\$356,000	277	\$426,000	347	\$496,000
68	\$136,000	138	\$256,500	208	\$357,000	278	\$427,000	348	\$497,000
69	\$138,000	139	\$258,000	209	\$358,000	279	\$428,000	349	\$498,000
70	\$140,000	140	\$259,500	210	\$359,000	280	\$429,000	350	\$499,000
71	\$142,000	141	\$261,000	211	\$360,000	281	\$430,000	351	\$500,000
72	\$144,000	142	\$262,500	212	\$361,000	282	\$431,000	352	\$501,000
73	\$146,000	143	\$264,000	213	\$362,000	283	\$432,000	353	\$502,000
74	\$148,000	144	\$265,500	214	\$363,000	284	\$433,000	354	\$503,000
75	\$150,000	145	\$267,000	215	\$364,000	285	\$434,000	355	\$504,000
76	\$152,000	146	\$268,500	216	\$365,000	286	\$435,000	356	\$505,000
77	\$154,000	147	\$270,000	217	\$366,000	287	\$436,000	357	\$506,000
78	\$156,000	148	\$271,500	218	\$367,000	288	\$437,000	358	\$507,000
79	\$158,000	149	\$273,000	219	\$368,000	289	\$438,000	359	\$508,000
80	\$160,000	150	\$274,500	220	\$369,000	290	\$439,000	360	\$509,000
81	\$162,000	151	\$276,000	221	\$370,000	291	\$440,000	361	\$510,000
82	\$164,000	152	\$277,500	222	\$371,000	292	\$441,000	362	\$511,000
83	\$166,000	153	\$279,000	223	\$372,000	293	\$442,000	363	\$512,000
84	\$168,000	154	\$280,500	224	\$373,000	294	\$443,000	364	\$513,000
85	\$170,000	155	\$282,000	225	\$374,000	295	\$444,000	365	\$514,000
86	\$172,000	156	\$283,500	226	\$375,000	296	\$445,000	366	\$515,000
87	\$174,000	157	\$285,000	227	\$376,000	297	\$446,000	367	\$516,000
88	\$176,000	158	\$286,500	228	\$377,000	298	\$447,000	368	\$517,000
89	\$178,000	159	\$288,000	229	\$378,000	299	\$448,000	369	\$518,000
90	\$180,000	160	\$289,500	230	\$379,000	300	\$449,000	370	\$519,000
91	\$182,000	161	\$291,000	231	\$380,000	301	\$450,000	371	\$520,000
92	\$184,000	162	\$292,500	232	\$381,000	302	\$451,000	372	\$521,000
93	\$186,000	163	\$294,000	233	\$382,000	303	\$452,000	373	\$522,000
94	\$188,000	164	\$295,500	234	\$383,000	304	\$453,000	374	\$523,000
95	\$190,000	165	\$297,000	235	\$384,000	305	\$454,000	375	\$524,000
96	\$192,000	166	\$298,500	236	\$385,000	306	\$455,000	376	\$525,000
97	\$194,000	167	\$300,000	237	\$386,000	307	\$456,000	377	\$526,000
98	\$196,000	168	\$301,500	238	\$387,000	308	\$457,000	378	\$527,000
99	\$198,000	169	\$303,000	239	\$388,000	309	\$458,000	379	\$528,000

## FUNDING LEVELS FOR CONSORTIA STEP PROJECTS

Contracted Headcount	Maximum Budget	Contracted Headcount	Maximum Budget	Contracted Headcount	Maximum Budget	Contracted Headcount	Maximum Budget	Contracted Headcount	Maximum Budget
450	\$599,000	520	\$669,000	590	\$739,000	660	\$809,000	730	\$879,000
451	\$600,000	521	\$670,000	591	\$740,000	661	\$810,000	731	\$880,000
452	\$601,000	522	\$671,000	592	\$741,000	662	\$811,000	732	\$881,000
453	\$602,000	523	\$672,000	593	\$742,000	663	\$812,000	733	\$882,000
454	\$603,000	524	\$673,000	594	\$743,000	664	\$813,000	734	\$883,000
455	\$604,000	525	\$674,000	595	\$744,000	665	\$814,000	735	\$884,000
456	\$605,000	526	\$675,000	596	\$745,000	666	\$815,000	736	\$885,000
457	\$606,000	527	\$676,000	597	\$746,000	667	\$816,000	737	\$886,000
458	\$607,000	528	\$677,000	598	\$747,000	668	\$817,000	738	\$887,000
459	\$608,000	529	\$678,000	599	\$748,000	669	\$818,000	739	\$888,000
460	\$609,000	530	\$679,000	600	\$749,000	670	\$819,000	740	\$889,000
461	\$610,000	531	\$680,000	601	\$750,000	671	\$820,000	741	\$890,000
462	\$611,000	532	\$681,000	602	\$751,000	672	\$821,000	742	\$891,000
463	\$612,000	533	\$682,000	603	\$752,000	673	\$822,000	743	\$892,000
464	\$613,000	534	\$683,000	604	\$753,000	674	\$823,000	744	\$893,000
465	\$614,000	535	\$684,000	605	\$754,000	675	\$824,000	745	\$894,000
466	\$615,000	536	\$685,000	606	\$755,000	676	\$825,000	746	\$895,000
467	\$616,000	537	\$686,000	607	\$756,000	677	\$826,000	747	\$896,000
468	\$617,000	538	\$687,000	608	\$757,000	678	\$827,000	748	\$897,000
469	\$618,000	539	\$688,000	609	\$758,000	679	\$828,000	749	\$898,000
470	\$619,000	540	\$689,000	610	\$759,000	680	\$829,000	750	\$899,000
471	\$620,000	541	\$690,000	611	\$760,000	681	\$830,000	751	\$900,000
472	\$621,000	542	\$691,000	612	\$761,000	682	\$831,000	752	\$901,000
473	\$622,000	543	\$692,000	613	\$762,000	683	\$832,000	753	\$902,000
474	\$623,000	544	\$693,000	614	\$763,000	684	\$833,000	754	\$903,000
475	\$624,000	545	\$694,000	615	\$764,000	685	\$834,000	755	\$904,000
476	\$625,000	546	\$695,000	616	\$765,000	686	\$835,000	756	\$905,000
477	\$626,000	547	\$696,000	617	\$766,000	687	\$836,000	757	\$906,000
478	\$627,000	548	\$697,000	618	\$767,000	688	\$837,000	758	\$907,000
479	\$628,000	549	\$698,000	619	\$768,000	689	\$838,000	759	\$908,000
480	\$629,000	550	\$699,000	620	\$769,000	690	\$839,000	760	\$909,000
481	\$630,000	551	\$700,000	621	\$770,000	691	\$840,000	761	\$910,000
482	\$631,000	552	\$701,000	622	\$771,000	692	\$841,000	762	\$911,000
483	\$632,000	553	\$702,000	623	\$772,000	693	\$842,000	763	\$912,000
484	\$633,000	554	\$703,000	624	\$773,000	694	\$843,000	764	\$913,000
485	\$634,000	555	\$704,000	625	\$774,000	695	\$844,000	765	\$914,000
486	\$635,000	556	\$705,000	626	\$775,000	696	\$845,000	766	\$915,000
487	\$636,000	557	\$706,000	627	\$776,000	697	\$846,000	767	\$916,000
488	\$637,000	558	\$707,000	628	\$777,000	698	\$847,000	768	\$917,000
489	\$638,000	559	\$708,000	629	\$778,000	699	\$848,000	769	\$918,000
490	\$639,000	560	\$709,000	630	\$779,000	700	\$849,000	770	\$919,000
491	\$640,000	561	\$710,000	631	\$780,000	701	\$850,000	771	\$920,000
492	\$641,000	562	\$711,000	632	\$781,000	702	\$851,000	772	\$921,000
493	\$642,000	563	\$712,000	633	\$782,000	703	\$852,000	773	\$922,000
494	\$643,000	564	\$713,000	634	\$783,000	704	\$853,000	774	\$923,000
495	\$644,000	565	\$714,000	635	\$784,000	705	\$854,000	775	\$924,000
496	\$645,000	566	\$715,000	636	\$785,000	706	\$855,000	776	\$925,000
497	\$646,000	567	\$716,000	637	\$786,000	707	\$856,000	777	\$926,000
498	\$647,000	568	\$717,000	638	\$787,000	708	\$857,000	778	\$927,000
499	\$648,000	569	\$718,000	639	\$788,000	709	\$858,000	779	\$928,000
500	\$649,000	570	\$719,000	640	\$789,000	710	\$859,000	780	\$929,000
501	\$650,000	571	\$720,000	641	\$790,000	711	\$860,000	781	\$930,000
502	\$651,000	572	\$721,000	642	\$791,000	712	\$861,000	782	\$931,000
503	\$652,000	573	\$722,000	643	\$792,000	713	\$862,000	783	\$932,000
504	\$653,000	574	\$723,000	644	\$793,000	714	\$863,000	784	\$933,000
505	\$654,000	575	\$724,000	645	\$794,000	715	\$864,000	785	\$934,000
506	\$655,000	576	\$725,000	646	\$795,000	716	\$865,000	786	\$935,000
507	\$656,000	577	\$726,000	647	\$796,000	717	\$866,000	787	\$936,000
508	\$657,000	578	\$727,000	648	\$797,000	718	\$867,000	788	\$937,000
509	\$658,000	579	\$728,000	649	\$798,000	719	\$868,000	789	\$938,000
510	\$659,000	580	\$729,000	650	\$799,000	720	\$869,000	790	\$939,000
511	\$660,000	581	\$730,000	651	\$800,000	721	\$870,000	791	\$940,000
512	\$661,000	582	\$731,000	652	\$801,000	722	\$871,000	792	\$941,000
513	\$662,000	583	\$732,000	653	\$802,000	723	\$872,000	793	\$942,000
514	\$663,000	584	\$733,000	654	\$803,000	724	\$873,000	794	\$943,000
515	\$664,000	585	\$734,000	655	\$804,000	725	\$874,000	795	\$944,000
516	\$665,000	586	\$735,000	656	\$805,000	726	\$875,000	796	\$945,000
517	\$666,000	587	\$736,000	657	\$806,000	727	\$876,000	797	\$946,000
518	\$667,000	588	\$737,000	658	\$807,000	728	\$877,000	798	\$947,000
519	\$668,000	589	\$738,000	659	\$808,000	729	\$878,000	799	\$948,000

## FUNDING LEVELS FOR CONSORTIA STEP PROJECTS

Contracted Headcount	Maximum Budget	Contracted Headcount	Maximum Budget	Contracted Headcount	Maximum Budget	Contracted Headcount	Maximum Budget	Contracted Headcount	Maximum Budget
800	\$949,000	811	\$960,000	822	\$971,000	833	\$982,000	844	\$993,000
801	\$950,000	812	\$961,000	823	\$972,000	834	\$983,000	845	\$994,000
802	\$951,000	813	\$962,000	824	\$973,000	835	\$984,000	846	\$995,000
803	\$952,000	814	\$963,000	825	\$974,000	836	\$985,000	847	\$996,000
804	\$953,000	815	\$964,000	826	\$975,000	837	\$986,000	848	\$997,000
805	\$954,000	816	\$965,000	827	\$976,000	838	\$987,000	849	\$998,000
806	\$955,000	817	\$966,000	828	\$977,000	839	\$988,000	850	\$999,000
807	\$956,000	818	\$967,000	829	\$978,000	840	\$989,000	851**	\$1,000,000**
808	\$957,000	819	\$968,000	830	\$979,000	841	\$990,000		
809	\$958,000	820	\$969,000	831	\$980,000	842	\$991,000		
810	\$959,000	821	\$970,000	832	\$981,000	843	\$992,000		

\*\* Headcounts of 851 and above may request a maximum of \$1,000,000. While individual projects that provide services to higher numbers of students will not receive additional funds per student, serving higher numbers of proposed participants will be viewed favorably by reviewers in the Program Requirements rubric: “activities and services to increase access to the number of historically under-represented students.”

## X. BUDGET

Applicants should refer to the Fiscal Guidelines for Federal and State Aided Grants while preparing their program budgets: <http://www.oms.nysed.gov/cafe/guidance/guidelines.html>

### A. Use of Funds

1. Activities funded by a STEP grant contract will be administered pursuant to a written agreement between the State Education Department and the participating institution.
2. STEP funds may not be used for purposes that have not been described in the authorizing statute, the Regulations of the Commissioner of Education or this RFP. Amendments to the proposal during the course of the year that involve changes in the manner in which STEP funds are expended must have prior written approval from the SED. See E. Transfer of Funds below for additional information.
3. Program changes (**especially leadership, organizational structure and space**) must have prior written approval from STEP-SED.

### B. Allowable Expenses

Under §6454 of the NYS Education Law, Science and Technology Entry Program monies as part of a program may be used for tutoring, academic, financial, and career advising, college readiness special summer courses, academic enrichment, recruitment, and program administration.

Allowable costs include the following:

1. Program administration, including professional and non-professional salaries, benefits, staff travel for required program administration as approved by NYSED;  
**\*Note:** Out-of-state travel requires prior approval by NYSED liaison
2. Stipends for students participating in approved STEP activities including, but not limited to, supervised research opportunities and internships (the maximum stipend must be consistent with the average for similar activities at the institution or in the region)
3. Program activities in accordance to the mission of STEP, such as field trips, student conference expenses, program achievement/awards, and related fees/charges, standardized tests/instruction fees, etc.
4. Expenses related to program attendance such as participant transportation.
5. Student classroom supplies, including laboratory supplies, calculators, etc.
6. Administrative and instructional supplies, materials, and equipment (including instructional or administrative computer software and computers, lab equipment, etc.). When equipment is purchased with STEP funds, it is the responsibility of the institution to ensure that the STEP Equipment Inventory Form is completed and that a copy is submitted to SED. If a program closes, any equipment purchased with SED funds must be released for transfer to another STEP program so that equipment continues to support STEP students. SED staff will assist in arranging the transfer of such equipment.  
**Note:** Those items with a unit value of \$5,000 or more and having a useful life of more than one year must be reported in the equipment category.
7. Evaluation materials and activities;
8. STEP staff development/training (\*Out of state travel requires prior approval by SED).
9. Program brochures/materials and promotional activities.
10. Subcontracts for program services can be made.
11. Indirect costs at no more than 8% are allowed.

### C. Non-Allowable Costs

1. Funds for indirect expenses provided by the state STEP award may not exceed eight percent (8%) of total STEP grant expenditures. Indirect costs cannot be charged on certain expenses, including:
  - a) Equipment purchases
  - b) Stipends/Honoraria
  - c) Tuition
2. Funds for indirect expenses provided by the institution may not exceed 20 percent of the matching funds contributed by the institution and/or other non-NYS sources.
3. State STEP funds cannot be used for organizational dues or items not specifically allowed under the categories identified above.
4. State STEP funds cannot be used to pay for the salary or stipend of the STEP Director's Supervisor or someone designated as a Principal Investigator for the grant contract (in their role as supervisor or PI).
5. State STEP funds may not be used for purposes other than those described in the approved grant contract.
6. ***State STEP funds may not be used for cultural enrichment or other social activities.***
7. Funds must supplement, not supplant, existing funding sources.

### D. Fringe Benefit

The rate for fringe benefits cannot exceed the actual rate paid by the institution. For SUNY institutions, the maximum rate that will be considered is the rate allowed by the New York State Office of the State Comptroller (OSC).

### E. Transfer of Funds

Failure to follow these procedures may result in the disallowance of all expenditures not previously approved by STEP-SED.

1. Consistent with the Fiscal Guidelines for Federal and State Grants, budget transfers must be requested using Form FS-10-A: Proposed Amendment for a Federal or State Project.
2. All FS-10-A forms must be submitted anytime between the start date of any funding year and May 15th.
3. An amendment that would result in a transfer of funds among program activities or budget cost categories that does not affect the amount, consideration, scope or other terms of such contract may still be subject to the approval of the Attorney General and the Office of the State Comptroller where the amount of such modification is, as a portion of the total value of the contract, equal to or greater than ten percent for contracts of less than five million dollars, or five percent for contracts of more than five million dollars; and, in addition, such amendment may be subject to prior approval by the applicable State Agency as detailed in the contract.
4. Funds must not be expended until the budget/contract amendment has been approved in writing.

### F. Institutional Funds

#### 1. Matching Funds

- a) A minimum 25 percent match of the STEP grant contract is required. The matching requirement may be met through the institution's own resources, private sources, other

non-New York State governmental sources, and in-kind services. All matching contributions must be used for activities related exclusively to the STEP project, and institutional accounts must be structured to reflect this contribution by appropriate line item.

- b) Matching funds for indirect expenses provided by the institution may not exceed 20 percent of the matching funds contributed by the institution and/or other non-NYS sources.

## **2. Program Support**

- a) The institution must provide sufficient space and institutional resources consistent with other academic support programs on the campus for the effective operation of the program.
- b) Programs must have access to and use of space needed to conduct the following: group meetings/workshops, conferencing, confidential academic and/or financial advising, program administration, and tutoring services. Should a conflict regarding this provision arise, SED shall investigate the situation and issue a written decision regarding the adequacy of the access and space.
- c) Projects must meet the needs of individuals with disabilities who will participate in project activities, in compliance with applicable laws, including but not limited to the Americans with Disabilities Act and Section 504 of the Rehabilitation Act.

## **3. Institutional Obligation**

- a) Institutions approved for funding will have an obligation to honor the institutional amount committed in support of the program in each budget category. This obligation will be reflected in the approved budget agreed to by SED and the institution.
- b) The budget indicating matching funds may be amended only upon the written agreement by both parties.

## **G. STEP Payment Schedule and Financial Reporting**

- 1. Activities funded under a STEP award will be administered pursuant to a written contract between NYSED and the funded applicant institution or applicant lead institution of a consortium. An institution awarded a contract and accepting STEP funds must submit an annual budget and budget narrative, for the first year and each succeeding year in a form and manner prescribed by SED.

## **2. Budgets (FS-10)**

- a) The application must include an FS-10 Budget Form for the first year of the program.
- b) Each institution receiving a STEP award will be required to submit a FS-10 and Budget Narrative prior to the beginning of each subsequent program year. These forms will be provided by SED and will be due no later than June 1 for the program year beginning July 1. The FS-10 and Budget Narrative must be approved by SED prior to the requesting of any funds by the institution.
- c) General descriptions of expenditures, applicable cost principles and administrative regulations are available in the Fiscal Guidelines for Federal and State Grants at <http://www.oms.nysed.gov/cafe/guidance/guidelines.html>.
- d) Fiscal forms such as the FS-10 can be found on the Grants Finance website at <http://www.oms.nysed.gov/cafe/forms/>, and the most recent copy of the STEP Budget Narrative can be located at <http://www.highered.nysed.gov/kiap/step/>

### 3. Not-for-Profit Applicants

- a) The initial payment of 25% of the annual budget will be made upon execution of the contract.
- b) Subsequent payments will be made following the project submission of a **FS-25** form.
- c) The final payment of **10%** occurs upon the approval of the Final Program and Expenditure Reports (**FS-10F Long Form**). This form is due to Grants Finance 30 days after the close of the grant year.
- d) Fiscal forms such as the FS-25 and FS-10F can be located on the Grants Finance website at <http://www.oms.nysed.gov/cafe/guidance/guidelines.html>.

### 4. For-Profit Applicants

- a) For-profit institutions will receive payment for work or service that has been performed. The applicant may receive interim payments (up to 90 percent of the grant contract), but only actual expenditures will be reimbursed.
- b) The final reimbursement payment of **10%** occurs upon the approval of the Final Program and Expenditure Reports (**FS-10F Long Form**).

**Note:** *The Grant Contract is fully executed when it has been signed by the institution's Chief Executive Officer or their designee, the New York State Education Department, the Office of the New York State Attorney General, and the New York State Office of the State Comptroller.*

## H. **Records Retention**

- 1. All STEP-related institutional records, including student and fiscal records, are subject to audit by the State Education Department and the Office of the State Comptroller, or an agency designated by one of the above.
- 2. Fiscal records, including those identifying an expense of STEP funds, must be maintained for seven full years, or longer if required by institutional policy or practice.
- 3. Student records must be maintained for six years after the student graduates.
- 4. If a student withdraws from the institution prior to graduation, the student STEP record must be maintained for six years from the end of the academic term in which the student withdrew, or longer if required by institutional policy or practice.
- 5. Audit or litigation will "freeze the clock" for records retention purposes. Supporting documentation related to an issue under audit or litigation must be retained until resolved or the above general rule for record retention, whichever is longer.

## XI. **PROJECT OPERATIONAL GUIDELINES**

### A. **Operation Dates:**

For the initial program funding year, projects may begin as early as July 1, 2020, but must be completed by June 30, 2021. The operational dates for subsequent years covered by this proposal will be July 1st through June 30<sup>th</sup>.

### B. **Required Program Reports**

- 1. Late or inaccurate submissions of any budgetary forms and/or Programmatic reports may result in the suspension of funds.



2. Exceptions to due dates may be made to programs that have requested an extension in writing to their liaison and have received approval. Acceptable written request may be sent via email or regular mail. All communication requesting an extension must be copied to the President, Provost of the institution, or appropriate supervisor and indicate the reason why the institution is unable to submit its report on time.
3. Each institution receiving a STEP award will be required to submit two program reports annually; a mid-year report and a final report to the SED.
  - a) The mid-year report is to be received by SED not later than March 15 every year. This report specifies the enrolled STEP students and activities in operating the STEP program in a form and manner prescribed by SED. The STEP student headcount indicated on the report will be used to ensure that the institution has minimally met 95% of their budgeted STEP student headcount. The mid-year report shall cover activities for the period from July 1 through December 31.
  - b) The final program report is due no later than September 15th of each program year. The final report shall cover the period from July 1 through June 30 (the entire program year). This report, in a form and manner prescribed by SED, outlines the institution's expenditures and activities in STEP for the program year and provides:
    - i. An analysis of program operation in terms of the stated requirements and to the extent to which the requirements were achieved.
    - ii. An itemization of the institution's support of such program during the contract period including the use of outside (Federal, State and local) funds.
    - iii. Plans for program change, expansion and development.
    - iv. The extent and nature of faculty, staff, student, and community involvement and participation in program planning and development.
    - v. Data:
      - (1) on the persistence rate of participating students;
      - (2) on the persistence rate of participating students in completing mathematics and science courses in an academic track;
      - (3) on the college placement rate of participating students in professional or pre-professional programs in scientific, technical, or health-related fields.
4. Each institution receiving a STEP award should submit an annual roster of their student participants to their respective school districts in a timely manner.
5. As indicated, the institution's program reports will be reviewed upon receipt by SED for accuracy and completeness. The institution will be notified by SED if their submission is incomplete and/or requires additional information.

**C. Grant Recipient Responsibilities**

1. Projects must operate under the jurisdiction of the institution and are subject to at least the same degree of accountability as all other departmental expenditures of the institution.
2. The institution is responsible for the proper disbursement of, and accounting for, project funds.
3. Written Institution policy, as well as State rules pertaining to wages, mileage and travel allowances, overtime compensation, fringe benefits, competitive bidding, safety regulations, and inventory control must be followed.
4. Original supporting documents are required for all Grant Contract related transactions entered into the local agency's recordkeeping system.
5. Documents that authorize the disbursement of grant contract funds consist of purchase orders, contracts, time & effort records, delivery receipts, vendor invoices, travel documentation and payment documents. Supporting documentation for Grant Contracts must be kept for at least six years after the last payment was made unless otherwise specified by program requirements.

6. Additionally, audit or litigation will "freeze the clock" for record retention purposes until the issue is resolved. All records and documentation must be available for inspection by State Education Department officials or its representatives.

For additional information about grant contracts, please refer to the [Fiscal Guidelines for Federal and State Aided Grants](#).

#### **D. Institutional Obligation**

Applicants receiving a STEP grant contract have an obligation to honor the amount to which they have committed in the various budget categories. This obligation is reflected in the final budget agreed to by the State Education Department, the Office of the Attorney General, the Division of Budget, the Office of the State Comptroller, the Director of State Operations and the institution/agency. The budget may be amended by written approval of the Commissioner of Education and the Office of the State Comptroller.

## **XII. VENDOR RESPONSIBILITY, M/WBE, AND ADDITIONAL REQUIREMENTS**

### **A. VENDOR RESPONSIBILITIES**

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

NYSED recommends that vendors file the required Vendor Responsibility Questionnaire online via the New York State VendRep System. To enroll in and use the New York State VendRep System, see the [VendRep System Instructions](#) or go directly to the [VendRep System online](#).

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

Vendors opting to complete and submit a paper questionnaire can obtain the appropriate questionnaire from the [VendRep website](#) or may contact NYSED or the Office of the State Comptroller's Help Desk for a copy of the paper form.

#### **Subcontractors:**

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

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

## B. MINORITY AND WOMEN-OWNED BUSINESS ENTERPRISE (M/WBE)

### Participation Goals Pursuant to Article 15-A of the New York State Executive Law

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

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

M/WBE participation includes services, materials, or supplies purchased from minority and women-owned firms certified with the NYS Division of Minority and Women Business Development. Not-for-profit agencies are not eligible for this certification.

For additional information and a listing of currently certified M/WBEs, see:

<https://ny.newnycontracts.com/FrontEnd/VendorSearchPublic.asp?TN=ny&XID=4687>

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

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

The M/WBE Goal Calculation Worksheet is provided for use in calculating the dollar amount of the M/WBE goal for this grant application.

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

### **METHODS TO COMPLY**

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

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

### **COMPLETE FORMS:**

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

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

***COMPLETE FORMS:***

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

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

***COMPLETE FORMS:***

- M/WBE Goal Calculation Worksheet
- M/WBE Cover Letter
- M/WBE 101 Request for Waiver
- M/WBE 105 Contractor's Good Faith Efforts

**GOOD FAITH EFFORTS**

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

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

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

**REQUEST FOR WAIVER**

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

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

All payments to Minority and Women-Owned Business Enterprise subcontractor(s) should be reported to the NYSED M/WBE Program Unit using the M/WBE 104G Quarterly M/WBE Compliance Report. This report should be submitted on a quarterly basis and can be requested at [MWBEGrants@nysed.gov](mailto:MWBEGrants@nysed.gov).

NYSED's M/WBE Coordinator is available to assist applicants in meeting the M/WBE goals. The Coordinator can be reached at [MWBEGrants@nysed.gov](mailto:MWBEGrants@nysed.gov).

**Equal Employment Opportunity Reporting (EEO) Pursuant to Article 15-A of the New York State Executive Law** - Applicants must complete and submit form EEO 100: Staffing Plan.

### C. PREQUALIFICATION FOR INDIVIDUAL APPLICATIONS

Pursuant to the New York State Division of Budget Bulletin H-1032, dated June 7, 2013, New York State has instituted key reform initiatives to the grant contract process that require not-for-profits to register in the Grants Gateway and complete the Vendor Prequalification process in order for proposals to be evaluated. Information on these initiatives can be found on the Grants Management Website (<https://grantsmanagement.ny.gov/>).

**\*\*\* Proposals received from not-for-profit applicants that have not Registered and are not Prequalified in the Grants Gateway on the proposal due date of 05:00 PM on 11/08/2019 cannot be evaluated. Such proposals will be disqualified from further consideration. \*\*\***

Below is a summary of the steps that must be completed to meet registration and prequalification requirements. The Vendor Prequalification Manual on the Grants Management Website ([https://grantsmanagement.ny.gov/system/files/documents/2019/06/Vendor\\_Prequalification\\_Manual\\_June\\_2019.pdf](https://grantsmanagement.ny.gov/system/files/documents/2019/06/Vendor_Prequalification_Manual_June_2019.pdf)) details the requirements and an online tutorial are available to walk users through the process.

#### 1. Register for the Grants Gateway

On the Grants Management Website, download a copy of the *Registration Form for Administrator* (<https://grantsmanagement.ny.gov/system/files/documents/2019/01/registration-form-administrators-1-16-2018.pdf>). A signed, notarized original form must be sent to the Division of Budget at the address provided in the instructions. You will be provided with a Username and Password allowing you to access the Grants Gateway.

If you previously registered and do not know your Username, please email [grantsgateway@its.ny.gov](mailto:grantsgateway@its.ny.gov).

If you do not know your Password, please click on the *Forgot Password* link ([https://grantsgateway.ny.gov/IntelliGrants\\_NYSGG/PersonPassword2.aspx?Mode=Forgot](https://grantsgateway.ny.gov/IntelliGrants_NYSGG/PersonPassword2.aspx?Mode=Forgot)) from the main login page and follow the prompts.

#### 2. Complete your Prequalification Application

- Log in to the Grants Gateway ([https://grantsgateway.ny.gov/IntelliGrants\\_NYSGG/login2.aspx](https://grantsgateway.ny.gov/IntelliGrants_NYSGG/login2.aspx)). **If this is your first time logging in**, you will be prompted to change your password at the bottom of your Profile page. If so, enter a new password and click *SAVE*.
- Click the *Organization(s)* link at the top of the page and complete the required fields including selecting the State agency you have the most grants with. This page should be completed in its entirety before you *SAVE*. A *Document Vault* link will become available near the top of the page. Click this link to access the main Document Vault page.
- Answer the questions in the *Required Forms* and upload *Required Documents*. This constitutes your Prequalification Application. Optional Documents are not required unless specified in this Request for Proposal.

Specific questions about the prequalification process should be referred to your agency representative at [prequal@nysed.gov](mailto:prequal@nysed.gov) or to the Grants Management Team at [grantsgateway@its.ny.gov](mailto:grantsgateway@its.ny.gov).

### **3. Submit Your Prequalification Application**

- After completing your Prequalification Application, click the **Submit Document Vault** Link located below the Required Documents section to submit your Prequalification Application for State agency review. Once submitted the status of the Document Vault will change to *In Review*.
- If your Prequalification reviewer has questions or requests changes you will receive email notification from the Gateway system.
- Once your Prequalification Application has been approved, you will receive a Gateway notification that you are now prequalified to do business with New York State.

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

## **D. WORKERS' COMPENSATION COVERAGE AND DEBARMENT**

1. New York State Workers' Compensation Law (WCL) has specific coverage requirements for businesses contracting with New York State and additional requirements which provide for the debarment of vendors that violate certain sections of WCL. The WCL requires and has required since introduction of the law in 1922, the heads of all municipal and State entities to ensure that businesses have appropriate workers' compensation and disability benefits insurance coverage prior to issuing any permits or licenses, or prior to entering into contracts.
2. Workers' compensation requirements are covered by WCL Section 57, while disability benefits are covered by WCL Section 220(8). The Workers' Compensation Benefits clause in the Master Contract for Grants states that in accordance with Section 142 of the State Finance Law, a contract shall be void and of no force and effect unless the contractor provides and maintains coverage during the life of the contract for the benefit of such employees as are required to be covered by the provisions of the WCL. Under provisions of the 2007 Workers' Compensation Reform Legislation (WCL Section 141-b), any person, or entity substantially owned by that person: subject to a final assessment of civil fines or penalties, subject to a stop-work order, or convicted of a misdemeanor for violation of Workers' Compensation laws Section 52 or 131, is barred from bidding on, or being awarded, any public work contract or subcontract with the

State, any municipal corporation or public body for one year for each violation. The ban is five years for each felony conviction.

### 3. Proof of Coverage Requirements

The Workers' Compensation Board has developed several forms to assist State contracting entities in ensuring that businesses have the appropriate workers' compensation and disability insurance coverage as required by Sections 57 and 220(8) of the WCL.

**Please Note** – an ACORD form is not acceptable proof of New York State workers' compensation or disability benefits insurance coverage.

### 4. Proof of Workers' Compensation Coverage

To comply with coverage provisions of the WCL, the Workers' Compensation Board requires that a business seeking to enter into a State contract submit appropriate proof of coverage to the State contracting entity issuing the contract. For each new contract or contract renewal, the contracting entity must obtain ONE of the following forms from the contractor and submit to OSC to prove the contractor has appropriate workers' compensation insurance coverage:

- a) **Form C-105.2** - Certificate of Workers' Compensation Insurance issued by private insurance carriers, or **Form U-26.3** issued by the State Insurance Fund; or
- b) **Form SI-12** - Certificate of Workers' Compensation Self-Insurance; or **Form GSI-105.2** Certificate of Participation in Workers' Compensation Group Self-Insurance; or
- c) **CE-200** - Certificate of Attestation of Exemption from NYS Workers' Compensation and/or Disability Benefits Coverage.

### 5. Proof of Disability Benefits Coverage

To comply with coverage provisions of the WCL regarding disability benefits, the Workers' Compensation Board requires that a business seeking to enter into a State contract must submit appropriate proof of coverage to the State contracting entity issuing the contract. For each new contract or contract renewal, the contracting entity must obtain ONE of the following forms from the contractor and submit to OSC to prove the contractor has appropriate disability benefits insurance coverage:

- a) **Form DB-120.1** - Certificate of Disability Benefits Insurance; or
- b) **Form DB-155** - Certificate of Disability Benefits Self-Insurance; or
- c) **CE-200** - Certificate of Attestation of Exemption from New York State Workers' Compensation and/or Disability Benefits Coverage.

For additional information regarding workers' compensation and disability benefits requirements, please refer to the New York State Workers' Compensation Board website at: <http://www.wcb.ny.gov/content/main/Employers/busPermits.jsp>

Alternatively, questions relating to either workers' compensation or disability benefits coverage should be directed to the NYS Workers' Compensation Board, Bureau of Compliance at (518) 486-6307.

## E. REQUIREMENTS OF EDUCATION LAW SECTION 2-D

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

## **F. Accessibility of Web-Based Information and Applications**

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

## **XIII. NOT-FOR-PROFIT (NFP) PROMPT CONTRACTING**

Chapter 166 of the Laws of 1991 added Article XI-B (The Prompt Contracting Law) to the State Finance Law promoting prompt contracting with NFP organizations.

More specifically, the Prompt Contracting Law sets time frames for processing contracts and related documents; provides for written directives, waivers of interest, and advances/loans to Not-for-Profits (NFPs) when those time frames cannot be met; and requires interest payments to NFPs when contract payments are late due to untimely processing of contracts and no advance or loan was provided. For information on loans for NFPs from the Short-Term Revolving Loan Fund, refer to Bulletin A-268. This bulletin explains the procedure to follow when contracting with NFPs.

Chapter 648 of the Laws of 1992 made several changes to Article XI-B. The 1992 revisions provided more reasonable time frames for processing local grant awards and federally funded contracts; allowed for State agencies and NFPs to waive interest payments under certain circumstances; eliminated interest penalties for contracts executed and funded in whole or in part for services rendered in a prior fiscal year; and limited the amount of time a State agency may suspend time frames to four and one-half months.

Chapter 292 of the Laws of 2007 added further amendments to Article XI-B. The 2007 amendments prohibit State agencies from requiring NFPs, as a prerequisite of the execution of a contract, to waive claims for interest that would otherwise be due; provide that a contract is deemed to continue, and the contract remains in effect when a State agency does not timely notify an NFP of an intent to terminate the contract; require that any waivers of interest be subject to the Office of the State Comptroller's (OSC's) approval and provide for the calculation and payment of interest to NFPs when OSC non-approves a waiver of interest; require State agencies to report prompt contracting information to OSC for inclusion in annual reports; and expand the NFP contracting advisory committee to sixteen members, require meetings at least quarterly, and expand the scope of the committee's responsibility.

A key objective of the Prompt Contracting Law is to expedite the contract process, and corresponding payments with NFPs to avoid service interruptions and financial hardships for these organizations. OSC advises that State agencies take measures to ensure compliance with the requirements of the Prompt Contracting Law. To this end, State agencies should maximize their use of the standard contract boilerplate, including simplified renewal documents, written directives, and valid waivers of interest when contracting with NFPs.

State agencies utilizing waivers of interest should ensure that the waiver is signed and dated by the NFP, includes an explanation for the retroactive contract start date, and satisfies required time frames set by the law.



**Note:** The Prompt Contracting Law requirements pertain to all grant contracts with NFPs, including those that fall below the \$50,000 threshold for the Comptroller's prior approval.

**Source:** OSC A-Bulletin A-316 (update effective November 18, 2009)

#### **XIV. APPLICATION FOR FUNDING**

##### **Submission of Hard Copy of Application**

**Non-profit applicants** must submit **one original and two (2) paper copies** (both the narrative application and the budget/budget narrative) as well as a **flash drive** containing a complete electronic copy (including attachments) of the proposal in one Word file and a copy of the budget documents (FS-10, and Budget Narrative) in separate files, in a sealed envelope labeled:

*Attn: STEP  
Office of Postsecondary Access, Support and Success  
New York State Education Department  
89 Washington Avenue, EBA 960  
Albany, New York 12234*

A complete Application for Funding consists of the following items in the order indicated:

- A.** Cover Page
- B.** Proposal Application Checklist
- C.** Table of Contents (including page numbers).
- D.** Abstract
- E.** Proposal Narrative
- F.** The Budget should include:
  - 1.** *FS-10 budget form* (For Non-Profit, and For-Profit Institutions Proposed Budget for a Federal or State Project (FS-10) visit <http://www.oms.nysed.gov/cafe/forms>; the FS-10 will contain expenses for Year 1 only.
  - 2.** *Budget Narrative*, which provides description for all expenses entered onto the FS-10. The Budget Narrative justifies all proposed expenditures, which must include details clarifying their nature, and the method of the calculation for each cost. Utilize the STEP Budget Narrative form located at <http://www.highered.nysed.gov/kiap/step/>
  - 3.** *M/WBE Package*. Utilize the packet which is located at <http://www.highered.nysed.gov/kiap/step/>
- G.** New Payee Information Form (if required)
- H.** Statement of Assurances with the original signature of the CEO or designee

#### **XV. NARRATIVE FORMAT**

The proposal narrative should describe all 2020-2025 proposed activities in detail that meet the priorities and requirements as stated in this RFP. The completed proposal narrative document should reflect a cohesive program that reflects the mission of STEP. The maximum length of the proposal narrative is 10 pages, not including attachments. Proposal narratives will not be reviewed beyond the maximum number of pages. The proposal narrative is to be prepared in Calibri, 11-point font, single

spaced, with a .5" margin. The name of the institution must appear in the top right corner of each page. A specific format (Attachment I) is requested for the Program Requirements, and Measures of Positive Performance Matrix. Clarity, conciseness, completeness, and quality of writing will be evaluated in the proposal review in addition to the specific programmatic information requested in the narrative. Applications that do not follow the format described in this document will be converted to conform with the formatting requirements, and excess pages beyond the 10-page limit will not be read or scored. Applications that fail to include all information requested under each major category may lose points according to the corresponding category in the scoring rubric. Proposals will be ranked based on their total score. The maximum points available in the narrative section are 75 (A-F, not including G. Budget).

**A. Institutional Expertise (5 points)**

Describe the institution's expertise and commitment in providing services to similar populations regarding science, technology, engineering, mathematics, and health-related careers, and the licensed professions. Also describe your institution's experience conducting educational programs with students at neighboring secondary school (s). (5 pts.)

**B. Cooperative Relationships (10 points)**

Provide a brief description of formal collaborations between the proposing institution and local education agencies such as local schools and school districts, CSTEP Programs, professional organizations, other agencies that will be involved in the project and/or others who will participate in the proposed project. Specify how each participating party will contribute to the project. Also, complete the STEP Collaborations Form found in Attachment I.

Copies of MOUs between the applicant institution and all P-12 school partners, demonstrating a commitment on the part of the P-12 school to collaborate in the STEP project, as well as documents that support collaborations with businesses or other community organizations should be signed and attached. MOUs with partner school districts and/or schools must include authorization for the applicant's institution to obtain and review school records, which include but are not limited to report cards, transcripts, attendance records, and college acceptance letters. Such shared educational information on the STEP participant between the applicant and school district will be handled in accordance with the Family Educational Rights and Privacy Act (FERPA) and all information obtained will remain confidential.

**Funding for project and work cannot commence prior to submission of the MOU from the partner school district that has an enrollment comprised of at least twenty percent minority students.**

1. Describe the level and extent of how community-based organizations and schools and districts will participate in the planning and implementation of the project. Describe specifically your collaborative efforts with the school district that has an enrollment comprised of at least twenty percent minority students. Be sure to describe how the collaboration will support the provision of services to all grade levels (7-12). Also describe planned collaboration with other programs that have similar objectives and goals as STEP (i.e., CSTEP, YMCA, Liberty Partnership Program, etc.). Include a letter of support/MOU from participating programs. (3 pts.)
2. Describe in specific detail the level and extent of the involvement of faculty, department chairs, or deans in the planning, implementation, and/or evaluation of the project. Include a letter of support from key campus resources, departments or faculty. (2 pts.)

3. Describe the planned collaboration with government agencies, local businesses, and/or industry in scientific and licensed professions and how they will participate in the planning and implementation of the project. Include a letter of support from participating program. (2 pts.)
4. Describe the program's ability and willingness to cooperate with other postsecondary institutions as well as its planned involvement in the Statewide and Regional collaborations related to education in the licensed professions, scientific, and technical fields. (3 pts.)

**C. Program Requirements and Measures of Positive Performance Matrix (total 42 pts.)**

Complete the Measures of Positive Performance Matrix (Attachment I), identifying the activities, staff responsible, and corresponding performance measures associated with the following program requirements:

1. Describe academic program services and activities that include tutoring, academic, career, and financial aid advising, college planning, special summer courses, supplemental financial assistance, academic enrichment, and planning for students to enter higher education and pursue careers in scientific, technical fields and the licensed professions. (6 pts.)
2. Describe the activities to increase student involvement in research, internships, college level coursework and/or service learning. (6 pts.)
3. Describe the activities to enhance student skills for STEP participants in mathematics and the sciences that will facilitate the skills necessary to complete an Advanced Regents Diploma - (10 pts.)
4. Describe how the project will implement a parent component with clearly defined roles, responsibilities, and activities. (6 pts.)
5. Describe Day of Service planning, implementation, and assessment for participation by students in their local community or the local community of the institution. These events are meant to expose students to opportunities in the licensed professions, scientific, and technical fields. (2 pts.)
6. Describe the activities to develop and implement a STEP Advisory Committee with membership representatives from various stakeholder groups, such as students, parents, local K-12 administrators or teachers, and campus faculty or staff. Describe when the STEP Advisory Committee will meet and how they will assist with upcoming programming and the self-review process. (6 pts.)
7. Describe activities that support student professional development opportunities, such as career workshops, poster presentations, conferences that promote access to higher education and careers in math, science, technology, health-related fields, and the licensed professions. (6 pts.)

**D. Recruitment (9 points)**

1. Describe all strategies and activities that will be used to recruit and select participants who are either economically disadvantaged or minorities historically underrepresented in the scientific, technical, health, and health-related professions. Based upon your region and school partners describe the type of targeted student groups that your program will recruit. The following

criteria should be addressed: regional/community demographics, and school academic profile. Within this context describe your accepted student profile. For example, a student profile could incorporate the following criteria: total grade point average (GPA), science and math grade point average, Regents test scores for Integrated Algebra, Geometry, Algebra2/Trigonometry, Earth Science, Living Environment, Chemistry, and Physics. (5 pts.)

2. Describe the process and list the criteria to select participants for any component of the program, such as requirements for internships/research opportunities, summer programming and other field experiences. (2 pts.)
3. Describe other nonacademic criteria that will be considered in the student selection process. (2 pts.)

**E. Retention (4 points)**

1. Describe how your program plans to retain students. Discuss how the plan differs from grade level to grade level, addressing all grades (7-12). (2 pts.)
2. Provide a timeline (e.g., summer, fall, winter, spring) of your recruitment and retention activities. (2 pts.)

**F. Project Staffing and Management (5 points)**

1. Briefly describe all professional positions (fulltime and part-time) that will be assigned directly to the project. Define role and scope of designated positions. If submitting separate proposals for two or more geographically separate campuses, each proposal should identify internal controls for any overlapping personnel. (1 pt.)
2. List the names and attach an appendix containing the current resumes for all fulltime and part-time professionals, including instructional staff, to be assigned to the project.
  - a. The Project Director or Associate Director should have:
    - i. a minimum of a bachelor's degree with 3-5 years of program administration & management experience.
    - ii. experience in fiscal management and budgetary oversight.
    - iii. experience working with students from historically underrepresented or economically disadvantaged groups.
  - b. Assistant Director or Coordinator should have:
    - i. a minimum of a bachelor's degree with 1-3 years of program administration & management experience.
    - ii. experience working with students from historically underrepresented or economically disadvantaged groups. (1 pt.)
3. Describe a management plan that will assure the effective completion of project activities, given the fiscal and other resources available. Consortium applicants only: Demonstrate collaboration in order to establish best practices among consortium partners; describe coordination and maintenance of all reports, student records, and fiscal transactions; describe how the consortium will provide leadership and programmatic oversight of each site. (MOUs for each member institution are to be submitted to NYSED and kept on file (it is recommended that the MOUs be submitted with the application; however, funding for project and work cannot commence prior to submission of MOUs each consortium member institution.) The consortium

management plan should also include the organizational relationships between headquarters or the lead institution and each member institution. (2 pts)

4. Provide an organization chart that indicates the management structure of the program within the institution. Consortium applicants only: Provide an organization chart of the consortium arrangement. (1 pt.)

**G. Budget/Budget Narrative (25 points)**

- Applications shall include the FS-10 and STEP Budget Narrative in MS Excel format
- The FS-10 must provide all proposed expenses requested from STEP funds. The FS-10 form may be found at: <http://www.oms.nysed.gov/cafe/forms/>
- The STEP Budget Narrative Form must provide complete information and indicate all proposed expenditures from STEP, institutional, and other sources for the operation of the project. All projects must provide at least a 25% match in institutional and/or other non-NYS fund sources. The budget narrative will describe how funds are going to be expended for allowable STEP activities. The STEP Budget Narrative form located at <http://www.highered.nysed.gov/kiap/step/>.

**XVI. APPLICATION REVIEW AND RATING PROCESS**

Applications have a total value of 100 points: 75 for the technical section and 25 for the budget section.

SECTION	POINTS
<b>A. Institutional Expertise</b> Institutional expertise/efforts	<b>5</b> (5)
<b>B. Cooperative Relationships</b> <ol style="list-style-type: none"> <li>1. Community-based partnerships (school and local)</li> <li>2. Internal college/university partnerships</li> <li>3. Participation of government agencies, business/industry and at least one profession</li> <li>4. Statewide and regional activities</li> </ol>	<b>10</b> (3) (2) (2) (3)
<b>C. Program Requirements and Measures of Positive Performance (Performance Matrix)</b> <ol style="list-style-type: none"> <li>1. Describe program services and activities that include: tutoring, academic advising, college planning, special summer courses, supplemental financial assistance, academic enrichment, and career planning for students to enter higher education and pursue careers in scientific, technical fields and the licensed professions.</li> <li>2. Activities to increase student involvement in research, internships, college level coursework and/or service learning.</li> <li>3. Activities to enhance student skills in mathematics and the sciences that will facilitate the skills necessary to complete an Advanced Regents Diploma.</li> <li>4. Describe how the project will implement a parent component with clearly defined roles, responsibilities, and activities.</li> <li>5. Describe Day of Service planning, implementation, and assessment for participation by students in their local community or the local community of the institution.</li> </ol>	<b>42</b> (6) (6) (10) (6) (2)

6. Describe the activities to develop and implement a STEP Advisory Committee with membership representatives from various stakeholder groups.	(6)
7. Describe activities that support student professional development opportunities: workshops, poster presentations, conferences that promote access to higher education and careers in math, science, technology, health-related fields, and the licensed professions.	(6)
<b>D. Recruitment</b>	<b>9</b>
1. Describe all strategies and activities to recruit and select targeted STEP participants	(5)
2. Describe the process and criteria to select participants for various components of the program	(2)
3. Describe other nonacademic criteria that will be considered in the student selection process	(2)
<b>E. Retention</b> Description of student retention and tracking activities	<b>4</b> (4)
<b>F. Project Staffing &amp; Management</b>	<b>5</b>
1. Position descriptions	(1)
2. Resumes of project staff	(1)
3. Management plan	(2)
4. Organizational charts	(1)
<b>G. Budget –</b> <b>Not-for-Profit applicants</b> – budget narrative, FS-10, <b>For-Profit applicants</b> – evaluated by Contract Administration Unit	<b>25</b>
<b>TOTAL</b>	<b>100</b>

## XVII. METHOD OF DETERMINING AWARD

- Applicants whose total score averages below 60 points on the 100-point scale of the proposal (for both program narrative and budget/budget narrative score combined) will not be eligible to receive a STEP award.

### Method of Award:

#### A. Awarding of Funds to Not-for-Profit Institutions

- o The Narrative Application scores will be determined by two reviewers. The narrative section is worth a total of 75 points.
- o The budget and budget narrative of each application will also be reviewed and scored by both reviewers. The budget section of the proposal represents 25 points of the final score.
- o The final score used for rank ordering the applications will be the average of the two reviewers' scores for the total of the narrative application and the budget/budget narrative.
- o If, however, the two reviewer's scores show a discrepancy of more than 15 points, the proposal will go to a third reviewer. In cases where a third review is necessary, the two closest scores will be averaged to obtain the final average score.
- o Applicants whose total score averages below 60 points on the 100-point scale of the proposal (for both program narrative and budget/budget narrative score combined) will not be eligible to receive a STEP award.
- o In the event of a tie score, the tie breaker will be the highest score on the Narrative Application.

- o If the scores remain tied after this step, a second tiebreaker will be the applicant with the highest score in the Program Requirements section of the Narrative Application will be ranked higher.
- o All applicants will be funded in rank order until the funds are exhausted. In the event there are insufficient funds to fund the next ranked applicant in full, the next ranked applicant will be given the opportunity to operate a smaller program using the remaining funds.

#### **B. Award of Funds to For-Profit Institutions**

- o A maximum of \$450,000 will be set aside for the highest ranking for-profit applicants statewide.
- o The budget section of the proposal represents 25 points of the final score.
  - Twenty (20) points will be awarded pursuant to a formula based on per student cost. It is calculated by dividing the total amount of STEP funds requested from NYSED by the number of students proposed to be served by the applicant per year (unduplicated number of students/headcount). This calculation will be computed by the Contract Administration Unit upon completion of the narrative scoring by the STEP proposal review panel.
  - The submitted budgets will be awarded points pursuant to a formula which awards the highest score of twenty (20) points to the budget that reflects the lowest cost per student. As noted in the Funding Limitation section, a program may not exceed \$2,000 cost per student. The remaining budgets will be awarded points based on a calculation that computes the relative difference of each proposal against the lowest cost per student submitted. The resulting percentage is then applied to the maximum point value of twenty (20) points.
  - Similarly, five (5) points will be awarded for the highest institutional match (calculated from the Composite budget) per total amount of STEP funds requested from NYSED. The remaining budgets will be awarded points based on a calculation that computes the relative difference of each proposal against the highest institutional match. The resulting percentage is then applied to the maximum point value of five (5) points. The total points for the match component are then added to the cost per student component to achieve the applicant's final cost score. (25 Points total)
- o In the event of a tie score, the tie breaker will be the highest score on the Narrative Application.
- o If the scores remain tied after this step, a second tiebreaker will be the applicant with the highest score in the Program Requirements section of the Narrative Application will be ranked higher.
- o All applicants will be funded in rank order until the funds are exhausted. In the event there are insufficient funds to fund the next ranked applicant in full, the next ranked applicant will be given the opportunity to operate a smaller program using the remaining funds.
- o If funds remain after awarding the for-profit applicants, those funds revert to the not-for-profit award method.

#### **XVIII. NOTIFICATION OF AWARD**

All applicants will be notified in writing regarding the disposition of their proposal. Successful applicants will be informed of the amount of their award and the next steps in the Grant Contract process. Applicants of current programs not recommended to receive a Grant Contract will be notified in writing of the necessary actions needed to close their respective programs. Applicants not recommended for

funding may request a summary of reviewer comments (see description in the Debriefing Procedures below).

### **Post Selection Procedures/ Contract Terms and Conditions**

Individual awards issued under this grant proposal will require that the awardee enter into a grant contract, the form of which is contained in an attachment to this RFP. In addition to being signed by the awardee and NYSED Counsel, the contract will need to be submitted for review and approval by the NYS Attorney General and the Office of the State Comptroller. All provisions of this RFP are subordinate to the terms and conditions of the grant contract. The contents of this RFP, any subsequent correspondence related to final contract negotiations, and such other stipulations as agreed upon may be made a part of the final contract developed by NYSED. Successful applicants may be subject to audit and should ensure that adequate controls are in place to document the allowable activities and expenditure of State funds.

### **Debriefing Procedures**

All unsuccessful applicants may request a debriefing within fifteen (15) calendar days of receiving notice of non-award from NYSED. Applicants may request a debriefing letter on the selection process regarding this RFP by submitting an email request to [KIAP@nysed.gov](mailto:KIAP@nysed.gov).

A summary of the strengths and weaknesses of the application, as well as recommendations for improvement will be emailed back to the applicant within ten (10) business days.

## **XIX. CONTRACT AWARD PROTEST PROCEDURES**

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

- A.** The protest must be in writing and must contain specific factual and/or legal allegations setting forth the basis on which the protesting party challenges the contract award by NYSED.
- B.** Applicants who received a notice of non-award, but not a disqualification, must request a debriefing prior to initiating a Contract Award protest.
- C.** The protest must be filed within ten (10) business days of receipt of a debriefing. The protest letter must be filed with:

*New York State Education Department  
Contract Administration Unit  
89 Washington Avenue, Room 501W EB  
Albany, NY 12234*

- D.** The NYSED Contract Administration Unit (CAU) will convene a review team that will include at least one staff member from each of NYSED's Office of Counsel, CAU, and the Program Office. The review team will review and consider the merits of the protest and will decide whether the protest is approved or denied. Counsel's Office will provide the applicant with written notification of the review team's decision within seven (7) business days of the receipt of the protest. The original protest and decision will be filed with OSC when the contract procurement record is submitted for approval and CAU will advise OSC that a protest was filed.



- E.** The NYSED Contract Administration Unit (CAU) may summarily deny a protest that fails to contain specific factual or legal allegations, or where the protest only raises issues of law that have already been decided by the courts

**STEP 2020-2025 Application**

**SCIENCE AND TECHNOLOGY ENTRY PROGRAM (STEP)  
COVER PAGE**

**Instructions:**

Complete all parts of this form and include it as part of the application. The original and two copies of the completed application along with a flash drive or CD/DVD containing a complete electronic copy of the proposal in one Word file and a copy of the budget documents (FS-10 and Budget Narrative) in a separate file must be postmarked no later than November 08, 2019.

Name of Institution: \_\_\_\_\_

Address: \_\_\_\_\_  
\_\_\_\_\_

Institutional Contact: \_\_\_\_\_ Title: \_\_\_\_\_

Address: \_\_\_\_\_

Phone: \_\_\_\_\_ Fax: \_\_\_\_\_  
(Area Code) (Number) (Extension) (Area Code) (Number)

Email Address: \_\_\_\_\_

Annual Projected Number of  
Program Participants:

**Academic Year**

**\* Summer**

**\*\*Unduplicated Count**

Name of partnering school district that has enrollment comprised of at least twenty percent minority students:

\_\_\_\_\_

List your member institutions if you  
are applying as part of a consortium: \_\_\_\_\_

*\*individual STEP projects that request a budget of \$200,000 or more are required to conduct a summer program.*

*\*\*Unduplicated count: is the number of students participating (headcount) in the summer plus all other academic year student participants who did not attend in the summer.*

I hereby certify that I am the applicant's chief school/administrative officer and that the information contained in this application is, to the best of my knowledge, complete and accurate. I further certify, to the best of my knowledge, that any ensuing program and activity will be conducted in accordance with all applicable Federal and State laws and regulations, application guidelines and instructions, Assurances, Certifications, Master Contract for Grants and that the requested budget amounts are necessary for the implementation of this project. It is understood by the applicant that this application constitutes an offer and, if accepted by the NYS Education Department or renegotiated to acceptance, will form a binding agreement. It is also understood by the applicant that immediate written notice will be provided to the grant program office if at any time the applicant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

Name of Person completing this form: \_\_\_\_\_ Date: \_\_\_\_\_

Title: \_\_\_\_\_ Phone: \_\_\_\_\_  
(Area Code) (Number) (Extension)

President's Name: \_\_\_\_\_

President's Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Institution Name: \_\_\_\_\_

**Table of Contents**

Institution Name: \_\_\_\_\_

**Abstract**

*Provide a brief, precise statement below of the purpose and mission for the program. No other information should be included in the abstract.*

Institution Name: \_\_\_\_\_

**Proposal Narrative**

**Program Name:** \_\_\_\_\_

List all schools, school districts, and other organizations that will be involved in the planning, development, implementation, and evaluation of this project. Note: The applicant must be located within and partner with a school district with an enrollment comprised of at least twenty percent minority group students or must be located near such a district that is accessible by public transportation.

Name and Address	School District	Contact Person & Phone Number	Type of Organization

\* S = School, SD = School District, CBO = Community-Based Organization, O = Other (Specify),  
B = Business, TC = Teacher Center, PO = Professional Organization

Institution Name: \_\_\_\_\_

Program Name: \_\_\_\_\_

**Project Operation (Complete all that apply):**

\*Individual STEP projects that request a budget of \$200,000 or more are required to conduct a summer program.

Duration of Program: Summer: \_\_\_\_\_ to \_\_\_\_\_

Academic Year: \_\_\_\_\_ to \_\_\_\_\_

\* Summer Only: Number of Weeks: \_\_\_\_\_ Days per week: \_\_\_\_\_

Academic Year Only: Number of Weeks: \_\_\_\_\_ Number of hours per week (After School): \_\_\_\_\_

Summer and Academic Year: Total Number of Weeks: \_\_\_\_\_

Saturday: Number of Hours per Week: \_\_\_\_\_

Programs should operate a minimum of 20 weeks during the academic year.

Indicate the anticipated number of students who will participate in this program according to grade level.

**All programs must provide services to all grade levels throughout the 2020-2025 grant/contract cycle.**

Seventh Grade: \_\_\_\_\_ Ninth Grade: \_\_\_\_\_ Eleventh Grade: \_\_\_\_\_

Eight Grade: \_\_\_\_\_ Tenth Grade: \_\_\_\_\_ Twelfth Grade: \_\_\_\_\_

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

List all programs at the institution having similar purposes that will be coordinated with this program:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Institution Name: \_\_\_\_\_

**Performance Matrix**

**Instructions for Addressing Requirements and Measures  
of Positive Performance Matrix**

Using the template found below, provide a separate chart for each requirement. All the listed requirements must be addressed; omission of any will reduce the number of points awarded.

When completing the requirement charts, be sure to provide all requested information by including the following:

Descriptions of activities and/or services for a five-year period. Show increasing measures of positive performance in each year. The project must include required activities and/or services. It may also include other activities and/or services designed to achieve program purposes. It is expected and understood that fundamental activities, such as academic tutoring, advising, etc., will be included in each funding year. Programs are expected to review assessment data and make programmatic activity changes to better the outcomes even though the activities themselves may remain the same.

1. For each activity and service, indicate the staff that will be responsible for the implementation of each objective.
2. For each activity and/or service, indicate the **Full-time equivalent (FTE)**. FTE is a way to measure a worker's involvement in a project, or a student's enrollment at an educational institution. Full-time equivalent for staff is defined as the percent effort for each activity and/or service provided by the worker. An FTE of 1.0 means that the person is equivalent to a full-time worker and spends 100% of their time on the project; an FTE of 0.5 signifies that the worker spends half of their time serving the project.
3. For each activity and/or service, indicate the level of positive performance you feel the activity and/or service are providing in each year. For example: select Level One = Beginning, Level Two = Developing, Level Three = Proficient (see template below)

Institution Name: \_\_\_\_\_

**Requirement 1:** Describe academic program services and activities that include tutoring, academic and career advising, college planning, special summer courses, supplemental financial assistance, academic enrichment, and planning for students to enter higher education and pursue careers in scientific, technical fields and the licensed professions.

Level	Measure of Positive Performance
<b>Beginning Level 1</b>	The Project does not currently foster, maintain, or document project activities to assist students in acquiring the skills and aptitudes necessary to pursue postsecondary education leading to careers in scientific, technical, health-related fields, or the licensed professions.
<b>Developing Level 2</b>	Our project activities measure the progress of our students pursuing postsecondary education and the results show that our students possess the ability, talent, and capacity to pursue postsecondary education.
<b>Proficient Level 3</b>	The Project actively measures the progress of our students pursuing postsecondary education leading to careers in scientific, technical, health-related field, or the licensed professions, and the results show that our students possess the ability, talent, and capacity to pursue postsecondary education and STEP related career goals. Examples of measurement of progress encompass oral feedback, written feedback, standardized test results, GPA, and postsecondary enrollment data.

Activities / Services <i>Some activities/services may be repeated within any requirement, annually or as needed, during the grant cycle.</i>	Staff Responsible	FTE	Level	Measure of Positive Performance
First Year:				<u>Describe performance outcomes using qualitative and quantitative measures:</u>
Second Year:				<u>Describe performance outcomes using qualitative and quantitative measures:</u>
Third Year:				<u>Describe performance outcomes using qualitative and quantitative measures:</u>
Fourth Year:				<u>Describe performance outcomes using qualitative and quantitative measures:</u>
Fifth Year:				<u>Describe performance outcomes using qualitative and quantitative measures:</u>



Institution Name: \_\_\_\_\_

**Requirement 2:** Prior to graduation, projects must provide services to enhance and increase STEP student involvement in research, internships, and college level coursework and/or service learning.

Level	Measure of Positive Performance
<b>Beginning Level 1</b>	The Project is unable to provide services to increase student involvement in research, internships, and college level coursework and/or service learning.
<b>Developing Level 2</b>	The Project encourages our students to learn about research, internships, service learning and/or college coursework by exposing them to workshops and seminars on a regular basis.
<b>Proficient Level 3</b>	The Project actively works with our students to seek out research opportunities, internships in related professions, college level coursework, and/or service learning initiatives. We have established partnerships with faculty, research facilities, professionally related internship sites, and/or private industry as well as maintain a system to track and document these activities.

Activities / Services <i>Some activities/services may be repeated within any requirement, annually or as needed, during the grant cycle.</i>	Staff Responsible	FTE	Level	Measure of Positive Performance
First Year:				<u>Describe performance outcomes using qualitative and quantitative measures:</u>
Second Year:				<u>Describe performance outcomes using qualitative and quantitative measures:</u>
Third Year:				<u>Describe performance outcomes using qualitative and quantitative measures:</u>
Fourth Year:				<u>Describe performance outcomes using qualitative and quantitative measures:</u>
Fifth Year:				<u>Describe performance outcomes using qualitative and quantitative measures:</u>

Institution Name: \_\_\_\_\_

**Requirement 3:** Provide program services to enhance student skills in mathematics and the sciences in accordance with the Advanced Regents Diploma and Common Core curriculum.

Level	Measure of Positive Performance
<b>Beginning Level 1</b>	The Projects does not offer services that enhance student mathematics and science skills in preparation for the Advanced Regents Diploma and Common Core curriculum.
<b>Developing Level 2</b>	The Project encourages all students to take commencement level Regents Examinations in mathematics and the sciences in accordance with the Advanced Regents Diploma and Common Core curriculum.
<b>Proficient Level 3</b>	The Project encourages all students to take commencement level Regents Examinations in mathematics and the sciences in accordance with the Advanced Regents Diploma requirements and Common Core curriculum. In addition, we provide mathematics workshops and tutoring courses in preparation for the examinations along with maintaining a system to track and document these activities.

Activities / Services <i>Some activities/services may be repeated within any requirement, annually or as needed, during the grant cycle.</i>	Staff Responsible	FTE	Level	Measure of Positive Performance
First Year:				<u>Describe performance outcomes using qualitative and quantitative measures:</u>
Second Year:				<u>Describe performance outcomes using qualitative and quantitative measures:</u>
Third Year:				<u>Describe performance outcomes using qualitative and quantitative measures:</u>
Fourth Year:				<u>Describe performance outcomes using qualitative and quantitative measures:</u>
Fifth Year:				<u>Describe performance outcomes using qualitative and quantitative measures:</u>

Institution Name: \_\_\_\_\_

**Requirement 4:** Implement a parent component with clearly defined roles, responsibilities, and activities. Outline the relationship between the parent and the program.

Level	Measure of Positive Performance
<b>Beginning Level 1</b>	The Project has developed a parent component for our project.
<b>Developing Level 2</b>	The Project has a core group of parents with whom we meet regularly.
<b>Proficient Level 3</b>	The Project has a core group of parents with whom we meet on a regular basis and who are actively engaged in program planning and activities process.

<b>Activities / Services</b> <i>Some activities/services may be repeated within any requirement, annually or as needed, during the grant cycle.</i>	<b>Staff Responsible</b>	<b>FTE</b>	<b>Level</b>	<b>Measure of Positive Performance</b>
<b>First Year:</b>				<u>Describe performance outcomes using qualitative and quantitative measures:</u>
<b>Second Year:</b>				<u>Describe performance outcomes using qualitative and quantitative measures:</u>
<b>Third Year:</b>				<u>Describe performance outcomes using qualitative and quantitative measures:</u>
<b>Fourth Year:</b>				<u>Describe performance outcomes using qualitative and quantitative measures:</u>
<b>Fifth Year:</b>				<u>Describe performance outcomes using qualitative and quantitative measures:</u>

Institution Name: \_\_\_\_\_

**Requirement 5:** Describe Day of Service planning, implementation, and assessment for participation by students in their local community or the local community of the institution. These events are meant to expose students to opportunities in the licensed professions, scientific, and technical fields.

Level	Measure of Positive Performance
<b>Beginning Level 1</b>	The Project has not participated in Day-of-Service activities, but we provide prospective students and parents with information.
<b>Developing Level 2</b>	The Project participates in Day of Service activities between the months of October and May with one or more local schools to increase the awareness of STEP & CSTEP programs and opportunities in STEM, licensed professions, and healthcare related fields.
<b>Proficient Level 3</b>	The Project offers Day of Service activities year-round and during the months of October and May we collaborate with local institutions and local schools to share with students the opportunities that exist in the STEM, licensed professions, and healthcare related fields.

Activities / Services <i>Some activities/services may be repeated within any requirement, annually or as needed, during the grant cycle.</i>	Staff Responsible	FTE	Level	Measure of Positive Performance
First Year:				<u>Describe performance outcomes using qualitative and quantitative measures:</u>
Second Year:				<u>Describe performance outcomes using qualitative and quantitative measures:</u>
Third Year:				<u>Describe performance outcomes using qualitative and quantitative measures:</u>
Fourth Year:				<u>Describe performance outcomes using qualitative and quantitative measures:</u>
Fifth Year:				<u>Describe performance outcomes using qualitative and quantitative measures:</u>

Institution Name: \_\_\_\_\_

**Requirement 6:** Develop and implement a STEP Advisory Committee with membership representation from various stakeholder groups, such as students, parents, local K-12 administrators or teachers, and campus faculty or staff. The purpose of the STEP Advisory Committee is to meet occasionally to discuss upcoming programming or calendar of events and assist with the self-review process.

Level	Measure of Positive Performance
<b>Beginning Level 1</b>	The Project has not developed a STEP Advisory Committee component for our project.
<b>Developing Level 2</b>	The Project has a core group of key stakeholders with whom we meet on an informal basis to discuss STEP initiatives.
<b>Proficient Level 3</b>	The Project has a diverse group of key stakeholders with whom we meet formally and who are actively engaged in providing program feedback as well as ideas for enhancing the project.

Activities / Services <i>Some activities/services may be repeated within any requirement, annually or as needed, during the grant cycle.</i>	Staff Responsible	FTE	Level	Measure of Positive Performance
<b>First Year:</b>				<u>Describe performance outcomes using qualitative and quantitative measures:</u>
<b>Second Year:</b>				<u>Describe performance outcomes using qualitative and quantitative measures:</u>
<b>Third Year:</b>				<u>Describe performance outcomes using qualitative and quantitative measures:</u>
<b>Fourth Year:</b>				<u>Describe performance outcomes using qualitative and quantitative measures:</u>
<b>Fifth Year:</b>				<u>Describe performance outcomes using qualitative and quantitative measures:</u>

Institution Name: \_\_\_\_\_

**Requirement 7:** Provide **student** professional development opportunities: workshops, poster presentations, publications in professional/research that promote access to careers in math, science, technology, health-related fields, and the licensed professions.

Level	Measure of Positive Performance
<b>Beginning Level 1</b>	The Project does not provide any student professional development opportunities including: workshops, poster presentations, publications in professional/research journals and participation in college fairs/career fairs/student conferences that promote access to careers in math, science, technology, and the licensed professions.
<b>Developing Level 2</b>	The Project does not provide a full range of student professional development opportunities including: workshops, poster presentations, publications in professional/research journals and participation in college fairs/career fairs/student conferences that promote access to careers in math, science, technology, and the licensed professions.
<b>Proficient Level 3</b>	The Project provides a full range of student professional development opportunities including: workshops, poster presentations, publications in professional/research journals and participation in college fairs/career fairs/student conferences that promote access to careers in math, science, technology, and the licensed professions.

Activities / Services <i>Some activities/services may be repeated within any requirement, annually or as needed, during the grant cycle.</i>	Staff Responsible	FTE	Level	Measure of Positive Performance
First Year:				<u>Describe performance outcomes using qualitative and quantitative measures:</u>
Second Year:				<u>Describe performance outcomes using qualitative and quantitative measures:</u>
Third Year:				<u>Describe performance outcomes using qualitative and quantitative measures:</u>
Fourth Year:				<u>Describe performance outcomes using qualitative and quantitative measures:</u>
Fifth Year:				<u>Describe performance outcomes using qualitative and quantitative measures:</u>

Institution Name: \_\_\_\_\_

STATEMENT OF ASSURANCES

- 1. The recipient will, if funded, operate a **Science and Technology Entry Program (STEP)** as described by this Request for Proposals and within the letter and spirit of all pertinent legislation (Chapter 31, Article 130, Section 6454 of the NYS Education Law).
- 2. Funds from the State STEP award will supplement, not supplant, local expenditures and will not duplicate expenditures from other sources.
- 3. All activities supported by State STEP funds will, to the extent possible, be accessible by persons with disabilities.
- 4. Upon request, the recipient will provide State Education Department staff access to its records and other sources of information concerning the operation of the STEP program.
- 5. All materials developed in whole or in part with the support of State STEP funds, including publicity releases and program announcements whether published in print or on the web, will include the following statement:

**Support for the development and production of this material was provided by a grant under the Science and Technology Entry Program administered by the New York State Education Department.**

- 6. **The State STEP funds requested will be used to operate a program to prepare historically underrepresented or economically disadvantaged students for entry into scientific fields, technical fields, and the licensed professions. Students benefiting from these funds will be New York State residents.**

\*Original signature of Chief Executive Officer or their designee is required.

CHIEF EXECUTIVE OFFICER CERTIFICATION

I hereby certify that the information in this application is correct and in total compliance with appropriate State laws and regulations and that the program design will be carried out as described in the application.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

(Chief Executive Officer)

Print Name & Title: \_\_\_\_\_

Institution Name: \_\_\_\_\_

**Vendor Responsibility Questionnaire**

**Check one of the following:**

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

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

☐ **My entity is exempt based on the OSC listing.**

☐ **Other, explanation:** \_\_\_\_\_  
\_\_\_\_\_



Institution Name: \_\_\_\_\_

**Proposed Composite Budget**

**Complete the proposed Budget Narrative/Composite, which may be found in Excel format at:**

<http://www.highered.nysed.gov/kiap/step/>

**Complete the Proposed Budget FS-10 which may be found in Excel format at:**

<http://www.oms.nysed.gov/cafe/forms/>

**Complete a Payee Information form/NYSED Substitute W-9 as necessary**

Payee Information Form/NYSED Substitute W-9 – The Payee Information Form is a packet containing the Payee Information Form itself and an accompanying NYSED Substitute W-9. The NYSED Substitute W-9 may or may not be needed from your agency. Please follow the specific instructions provided with the form. The Payee Information Form is used to establish the identity of the applicant organization and enables it to receive federal (and/or State) funds through the NYSED. A Payee Information (or PI) form is required from grant/Request for Proposals applicants that have not previously received grant funding from the Department. The form is submitted with the grant application. A new form must also be submitted when an agency's payment address changes. The form may also be found at:

<http://www.oms.nysed.gov/cafe/forms/>

### 2020-2025 Proposal Application Checklist

**Applicant Name:** \_\_\_\_\_

Listed below are the components of a complete application package, in the order they should appear. Use this checklist to ensure that your application submission is in compliance with the application requirements. The checklist must be included with proposal application.

<b>Request for Proposal Sections</b>	<b>Checked – Applicant</b>	<b>Checked – SED</b>
<b>A. 2020-2025 Cover Page / Application for Funding</b> (Original Signature Required)	<input type="checkbox"/>	<input type="checkbox"/>
<b>B. Proposal Application Checklist</b>	<input type="checkbox"/>	<input type="checkbox"/>
<b>C. Is the applicant Pre-Qualified?</b> (While no documentation is required with the application, the applicant must be prequalified in order to be eligible for this grant opportunity)	<input type="checkbox"/>	<input type="checkbox"/>
<b>D. Table of Contents</b>	<input type="checkbox"/>	<input type="checkbox"/>
<b>E. Abstract</b>	<input type="checkbox"/>	<input type="checkbox"/>
<b>F. Proposal Narrative</b>	<input type="checkbox"/>	<input type="checkbox"/>
<b>G. Statement of Assurances</b> (Original Signature Required)	<input type="checkbox"/>	<input type="checkbox"/>
<b>H. Vendor Responsibility Questionnaire</b> (Acknowledgement of Completion)	<input type="checkbox"/>	<input type="checkbox"/>
<b>I. 2020-2021 Proposed Budget Form (FS-10) and Budget Narrative/Composite</b>	<input type="checkbox"/>	<input type="checkbox"/>
<b>J. New Payee Information Form (PI-1), if necessary</b> (Original Signature Required)	<input type="checkbox"/>	<input type="checkbox"/>
<b>K. Worker's Compensation Documentation</b>	<input type="checkbox"/>	<input type="checkbox"/>
<b>L. Disability Benefits Documentation</b>	<input type="checkbox"/>	<input type="checkbox"/>

**PROPOSAL REVIEW CRITERIA  
SCIENCE AND TECHNOLOGY ENTRY PROGRAM  
2020-2025**

**FOR USE BY NYSED APPLICATION REVIEW COMMITTEE**

Name of Institution: \_\_\_\_\_

Proposal Number: \_\_\_\_\_

Reviewer Name: \_\_\_\_\_ Date sent to Reviewer: \_\_\_\_\_

Signature: \_\_\_\_\_ Date Completed: \_\_\_\_\_

Funding Requested: \_\_\_\_\_ Number of Students to be Served: \_\_\_\_\_

**Narrative Score:** \_\_\_\_\_ **Budgetary Score:** \_\_\_\_\_ **Total Score:** \_\_\_\_\_

**Directions for Raters:**

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

**Rating Guidelines:**

- Very Good -** Specific and comprehensive. Complete, detailed, and clearly articulated information as to how the criteria are met. Well-conceived and thoroughly developed ideas.
- Good -** General but sufficient detail. Adequate information as to how the criteria are met, but some areas are not fully explained and/or questions remain. Some minor inconsistencies and weaknesses.
- Fair -** Unclear and non-specific. Limited information is provided about approach and strategies. Lacks focus and detail.
- Poor -** Does not meet the criteria, fails to provide information, provides inaccurate information, or provides information that requires substantial clarification as to how the criteria are met.
- Not Found -** Does not address the criteria or simply re-states the criteria.

<b>A. Institutional Expertise</b> <i>Provide a brief description of your institution's expertise in providing to similar populations as well as experience in conducting collaborative education programs with neighboring schools. [5 Points]</i>	<b>Very Good</b>	<b>Good</b>	<b>Fair</b>	<b>Poor</b>	<b>Not Found</b>
<b>1.</b> Describe the institution's expertise and commitment in providing services to similar populations regarding science, technology, engineering, mathematics, health-related careers and the licensed professions. Also describe your institution's experience conducting effective collaborative educational programs with neighboring secondary schools.	5	3.75	2.5	1.25	0

<b>Institutional Expertise / <u>Comments:</u></b>	<b><u>Score:</u></b> <input type="text"/>	<b><u>Out of 5</u></b>
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<p><b>B. Cooperative Relationships</b></p> <p><i>Provide a brief description of formal collaborations between the proposing institution and local education agencies such as local schools and school districts, CSTEP Programs, professional organizations, other agencies that will be involved in the project and/or others who will participate in the proposed project. Specify how each participating party will contribute to the project. STEP Collaborations/MOUS are attached</i></p> <p><i>Copies of MOUs between the applicant institution and all P-12 school partners, demonstrating a commitment on the part of the P-12 school to collaborate in the STEP project, as well as documents that support collaborations with businesses or other community organizations should be attached.</i></p> <p><b>[10 Points]</b></p>	Very Good	Good	Fair	Poor	Not Found
<p><b>1.</b> Describe the level and extent of how community-based organizations and schools and/or districts will participate in the planning and implementation of the project. Describe specifically your collaborative efforts with the school district that has an enrollment comprised of at least twenty percent minority students. Be sure to describe how the collaboration will support services to all grade levels (7-12) throughout the 2020-2025 grant/contract cycle. Also describe planned collaboration with other programs that have similar objectives and goals as STEP (i.e., CSTEP, YMCA, Liberty Partnership Program, etc.). Describe your partnership with a school district with an enrollment comprised of at least twenty percent minority. Include letters of support from participating programs and MOUs from participating schools and/or districts.</p>	3	2.25	1.5	.75	0
<p><b>2.</b> Describe in detail the level and extent of the involvement of faculty, department chairs, or deans in the planning, implementation, and/or evaluation of the project. Include letters of support from key campus resources, departments or faculty.</p>	2	1.5	1	.5	0
<p><b>3.</b> Describe how government agencies, businesses, and/or industries in scientific and licensed professions will participate in the planning and implementation of the project. Include at least one letter of support from each participating partner.</p>	2	1.5	1	.5	0

	Very Good	Good	Fair	Poor	Not Found
4. Describe the program's ability and willingness to cooperate with other postsecondary institutions as well as its involvement in the Statewide and Regional collaborations related to education in the licensed professions, scientific, and technical fields.	3	2.25	1.5	.75	0
Cooperative Relationships / <u>Comments:</u>		Score: <input type="text"/>		<u>Out of 10</u>	

<b>C. Program Requirements and Measures of Positive Performance Matrix #1:</b> <i>Describe program services and activities that include tutoring, academic, career and financial aid advising, college planning, special summer courses, supplemental financial assistance, academic enrichment, and career planning for students to enter higher education and pursue careers in scientific, technical fields and the licensed professions. [6 Points]</i>	<b>Very Good</b>	<b>Good</b>	<b>Fair</b>	<b>Poor</b>	<b>Not Found</b>
<b>1.</b> The applicant describes the activities and services that support this program requirement.	3	2.25	1.5	.75	0
<b>2.</b> The applicant describes the performance criteria and how positive performance will be verified.	3	2.25	1.5	.75	0

<b>Requirement #1 / <u>Comments:</u></b>	<b><u>Score:</u></b> <input type="text"/>	<b><u>Out of 6</u></b>
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<b>C. Program Requirements and Measures of Positive Performance Matrix #2:</b> <i>Describe the activities to increase student involvement in research, internships, college level coursework and/or service learning. [6 Points]</i>	<b>Very Good</b>	<b>Good</b>	<b>Fair</b>	<b>Poor</b>	<b>Not Found</b>
1. The applicant describes the activities and services that support this program requirement.	3	2.25	1.5	.75	0
2. The applicant describes the performance criteria and how positive performance will be verified.	3	2.25	1.5	.75	0
<div><div>Requirement #2 / <u>Comments:</u></div><div><div>Score:</div><div></div><div>Out of 6</div></div></div>					



<b>C. Program Requirements and Measures of Positive Performance Matrix #3:</b> <i>Describe the activities to enhance student skills in mathematics and the sciences that will facilitate the skills necessary to complete an Advanced Regents Diploma. [10 Points]</i>	<b>Very Good</b>	<b>Good</b>	<b>Fair</b>	<b>Poor</b>	<b>Not Found</b>
1. The applicant describes the activities and services that support this program requirement.	5	3.75	2.5	1.25	0
2. The applicant describes the performance criteria and how positive performance will be verified.	5	3.75	2.5	1.25	0
<div><div>Requirement #3 / <u>Comments:</u></div><div><u>Score:</u> <input type="text"/></div><div><u>Out of 10</u></div></div>					

<b>C. Program Requirements and Measures of Positive Performance Matrix #4:</b> <i>Describe how the project will implement a parent component with clearly defined roles, responsibilities, and activities. Outline the relationship between the parent and the program.</i> <b>[6 points]</b>	<b>Very Good</b>	<b>Good</b>	<b>Fair</b>	<b>Poor</b>	<b>Not Found</b>
<b>1.</b> The applicant describes the activities and services that support this program requirement.	3	2.25	1.5	.75	0
<b>2.</b> The applicant describes the performance criteria and how positive performance will be verified.	3	2.25	1.5	.75	0
<b>Requirement #4 / <u>Comments:</u></b>		<b><u>Score:</u></b>	<div></div>	<b><u>Out of 6</u></b>	

<b>C. Program Requirements and Measures of Positive Performance Matrix #5:</b> Describe Day of Service planning, implementation, and assessment for participation by students in their local community or the local community of the institution. These events are meant to expose students to opportunities in the licensed professions, scientific, and technical fields. <b>[2 points]</b>	<b>Very Good</b>	<b>Good</b>	<b>Fair</b>	<b>Poor</b>	<b>Not Found</b>
1. The applicant describes the activities and services that support this program requirement.	1	.75	.5	.25	0
2. The applicant describes the performance criteria and how positive performance will be verified.	1	.75	.5	.25	0

<b>Requirement #5 / <u>Comments:</u></b>	<b><u>Score:</u></b> <input type="text"/>	<b><u>Out of 2</u></b>
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C. Program Requirements and Measures of Positive Performance Matrix #6: <i>Describe the activities to develop and implement a STEP Advisory Committee with membership representatives from various stakeholder groups, such as students, parents, local K-12 administrators or teachers, and campus faculty or staff. Describe how the STEP Advisory Committee will assist with upcoming programming and the self-review process. [6 points]</i>	Very Good	Good	Fair	Poor	Not Found
1. The applicant describes the activities and services that support this program requirement.	3	2.25	1.5	.75	0
2. The applicant describes the performance criteria and how positive performance will be verified.	3	2.25	1.5	.75	0

Requirement #6 / <u>Comments:</u>	<u>Score:</u> <input type="text"/>	<u>Out of 6</u>
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C. Program Requirements and Measures of Positive Performance Matrix #7: <i>Describe activities that support student professional development opportunities: workshops, poster presentations, conferences that promote access to higher education and careers in math, science, technology, health-related fields, and the licensed professions. [6 points]</i>	Very Good	Good	Fair	Poor	Not Found
1. The applicant describes the activities and services that support this program requirement.	3	2.25	1.5	.75	0
2. The applicant describes the performance criteria and how positive performance will be verified.	3	2.25	1.5	.75	0

Requirement #7 / <u>Comments:</u>	<u>Score:</u> <input type="text"/>	<u>Out of 6</u>
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<b>D. Recruitment</b> <i>Describe all strategies, activities and processes used to recruit and select participants. [9 Points]</i>	Very Good	Good	Fair	Poor	Not Found
<b>1.</b> Describe all strategies and activities that will be used to recruit and select participants who are either economically disadvantaged or minorities historically underrepresented in the scientific, technical, and health-related professions. Based upon your region and school partners describe the type of targeted student groups that your program will recruit. The following criteria should be addressed: regional/community demographics, and school academic profile. Within this context describe your accepted student profile. A student profile incorporates the following criteria: total grade point average (GPA), science and math grade point average, Regents test scores for Integrated Algebra, Geometry, Algebra2/Trigonometry, Earth Science, Living Environment, Chemistry, and Physics.	5	3.75	2.5	1.25	0
<b>2.</b> Describe the process and list the criteria to select participants for any component of the program, such as requirements for internships, summer programming and other field experiences.	2	1.5	1	.5	0
<b>3.</b> Describe other nonacademic criteria that will be considered in the student selection process.	2	1.5	1	.5	0
<div> <b>Recruitment / <u>Comments:</u></b> <div> <b>Score:</b> <input type="text"/> <b>Out of 9</b> </div> </div>					

E. Retention <i>Describe how students will be retained in STEP. [4 Points]</i>	Very Good	Good	Fair	Poor	Not Found
1. The applicant describes strategies and activities used to retain STEP students and how the plan differs by class level, addressing all grades (7-12).	2	1.5	1	.5	0
2. Provide a timeline (e.g., summer, fall, winter, spring) of your activities.	2	1.5	1	.5	0

<b>Retention / <u>Comments:</u></b>	<b><u>Score:</u></b> <input type="text"/>	<b><u>Out of 4</u></b>
<div></div>		

<b>F. Project Staffing and Management</b>  <i>Describe how the project will be staffed, including a management plan and organizational chart. [5 Points]</i>	Very Good	Good	Fair	Poor	Not Found
<b>1.</b> Applicant describes all professional positions (full-time and part-time) that will be assigned directly to the project. Define role and scope of designated positions. If submitting separate proposals for two or more geographically separate campuses, each proposal should identify internal controls for any overlapping personnel.	1	.75	.5	.25	0
<b>2.</b> Applicant lists the names and attaches an appendix containing the current resumes for all fulltime and part-time professionals, including instructional staff, to be assigned to the project. The Project Director or Associate Director should have a minimum of a bachelor's degree with 3-5 years of program administration & management experience. The director should also have experience in fiscal management and budgetary oversight. In addition, he or she should have experience working with students from historically underrepresented or economically disadvantaged groups. Assistant Director or Coordinator should have a minimum of a bachelor's degree with 1-3 years of program administration & management experience. In addition, he or she should have experience working with students from historically underrepresented or economically disadvantaged groups.	1	.75	.5	.25	0
<b>3.</b> Applicant describes a management plan that will assure the effective completion of STEP project activities, given the fiscal and other resources available.  <b>(Consortium applicants only:</b> Demonstrate collaboration in order to establish best practices among consortium partners. Describe how the consortium will provide leadership and programmatic oversight of each site. Describe coordination and maintenance of all reports, student records, and fiscal transactions.)	2	1.5	1	.5	0
<b>4.</b> Provide an organization chart that indicates the management structure of the STEP program within the institution.  <b>(Consortium applicants only:</b> Provide an organization chart of the consortium arrangement.)	1	.75	.5	.25	0



<b>Project Staffing and Management / <u>Comments:</u></b>	<b><u>Score:</u></b> <input data-bbox="1154 203 1279 268" type="text"/>	<b><u>Out of 5</u></b>

<b>Technical Proposal Rating Scores by Section</b>
--

A. Institutional Expertise	<input type="text"/>	Out of 5 points
B. Cooperative Relationships	<input type="text"/>	Out of 10 points
C. Program Requirements	<input type="text"/>	Out of 42 points
D. Recruitment	<input type="text"/>	Out of 9 points
E. Retention	<input type="text"/>	Out of 4 points
F. Project Staffing and Management	<input type="text"/>	Out of 5 points
<b><u>Total Score:</u></b>		<input type="text"/>
		<b><u>Out of 75 Points</u></b>

<b>FISCAL VIABILITY</b> <b><u>Applies to NOT-FOR-PROFIT INSTITUTIONS Only</u></b> <b>From the Composite Budget, FS-10 Form and Budget Narrative</b>
---

Budgetary Standards [25 Points]	Very Good	Good	Fair	Poor	Not Found
<b>1. STAFFING</b> - Description of the costs in Professional and Support Service staffing (all items are appropriately budgeted and clearly supported as essential to the operation of STEP).	5	3.75	2.5	1.25	0
<b>2. PURCHASED SERVICES EXPENSES</b> - Description and justification of the expenses in the Purchased Services category (all items are appropriately budgeted and clearly supported and are allowable costs for the operation of STEP).	5	3.75	2.5	1.25	0
<b>3. SUPPLIES AND MATERIALS</b> - Description and justification of the expenses in the Supplies and Materials category (all items are appropriately budgeted and clearly supported and are allowable costs for the operation of STEP).	5	3.75	2.5	1.25	0
<b>4. TRAVEL</b> - Description and justification of the expenses in the Travel category (all items are appropriately budgeted and clearly supported and are allowable costs for the operation of STEP).	5	3.75	2.5	1.25	0
<b>5. INSTITUTIONAL MATCH</b> - Description and justification of the amount and categories of the institutional match as found on the Composite Budget.	5	3.75	2.5	1.25	0

<b>Budgetary &amp; Fiscal Viability / <u>Comments:</u></b>	<b><u>Score:</u></b>	<input style="width: 50px; height: 20px;" type="text"/>	<b><u>Out of 25</u></b>
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**FISCAL VIABILITY**  
**Applies to FOR-PROFIT INSTITUTION Only**

**Contract Administration Unit**

FISCAL VIABILITY FOR PROFIT INSTITUTIONS [25 Points]		
	Possible Points	Score
Best Value Total State Grant Cost	20	_____
Best Value Institutional Match	5	_____
Total Fiscal Viability FOR-PROFIT INSTITUTIONS	25	_____

PROPOSAL REVIEW CRITERIA  
GRAND TOTAL

Proposal Narrative

Out of 75 points

Budget

Out of 25 points

GRAND TOTAL SCORE

Out of 100 points

<b>M/WBE Documents Package</b> <b>(original signatures required)</b>			
<input type="checkbox"/> <b>Full Participation</b> <input type="checkbox"/> <b>Request Partial Waiver</b> <input type="checkbox"/> <b>Request Total Waiver</b>			
<b>Forms Required</b>			
Type of Form	Full Participation	Request Partial Waiver	Request Total Waiver
Calculation of M/WBE Goal Amount	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
M/WBE Cover Letter	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>M/WBE 100</b> Utilization Plan	<input type="checkbox"/>	<input type="checkbox"/>	<b>N/A</b>
<b>M/WBE 102</b> Notice of Intent to Participate	<input type="checkbox"/>	<input type="checkbox"/>	<b>N/A</b>
<b>M/WBE 105</b> Contractor's Good Faith Efforts	<b>N/A</b>	<input type="checkbox"/>	<input type="checkbox"/>
<b>M/WBE 101</b> Request for Waiver Form and Instructions	<b>N/A</b>	<input type="checkbox"/>	<input type="checkbox"/>
<b>EEO 100</b> Staffing Plan and Instructions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>SED Comments:</b> Has the applicant complied with the application instructions? <input type="checkbox"/> Yes <input type="checkbox"/> No			
SED Reviewer: _____ Date: _____			

## M/WBE Goal Calculation Worksheet

**RFP # and Title:** \_\_\_\_\_

**Applicant Name:** \_\_\_\_\_

The M/WBE participation goal is 30% of each grantee's total discretionary non-personal service budget. Discretionary non-personal service budget is defined as the total budget, excluding the sum of funds budgeted for direct personal services (i.e., professional and support staff salaries); fringe benefits; the portion of the budget in purchased services representing stipends; indirect costs; rent, lease, and utilities, if these are allowable expenditures.

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

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

**This form is only for use in the 2020-2025 STEP and CSTEP grants.  
It may not be used with any other grant program.**

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

**RFP # and Title:** \_\_\_\_\_

**Name of Applicant:** \_\_\_\_\_

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

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

Please indicate which one of the following is included with the M/WBE Documents Submission:

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

**By my signature on this Cover Letter, I certify that I am authorized to bind the Bidder's firm contractually.**

---

**Typed or Printed Name of Authorized Representative of the Firm**

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

---

**Signature**

---

**Date**



**M/WBE UTILIZATION PLAN**

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

Bidder's Name: \_\_\_\_\_ Telephone: \_\_\_\_\_ Email: \_\_\_\_\_

Address: \_\_\_\_\_ Federal ID No.: \_\_\_\_\_

City, State, Zip: \_\_\_\_\_ Solicitation No.: \_\_\_\_\_

<b>Certified M/WBE</b>	<b>Classification (check all applicable)</b>	<b>Description of Work (Subcontracts/Supplies/Services)</b>	<b>Annual Dollar Value of Subcontracts/Supplies/Services</b>
Name _____ Address _____ City, State, ZIP _____ Phone / Email _____ Federal ID _____	NYS ESD CERTIFIED  MBE _____  WBE _____		\$ _____
Name _____ Address _____ City, State, ZIP _____ Phone / Email _____ Federal ID _____	NYS ESD CERTIFIED  MBE _____  WBE _____		\$ _____

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

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

Please Print Below

NAME OF PREPARER \_\_\_\_\_  
TITLE OF PREPARER \_\_\_\_\_  
TELEPHONE/EMAIL \_\_\_\_\_  
DATE \_\_\_\_\_

<b>FOR AUTHORIZED USE ONLY</b>
--------------------------------

REVIEWED BY _____	DATE _____
UTILIZATION PLAN APPROVED <input type="checkbox"/> YES <input type="checkbox"/> NO	DATE _____
NOTICE OF DEFICIENCY ISSUES <input type="checkbox"/> YES <input type="checkbox"/> NO	DATE _____
NOTICE OF ACCEPTANCE ISSUED <input type="checkbox"/> YES <input type="checkbox"/> NO	DATE _____

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

**INSTRUCTIONS:**

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

Bidder / Applicant Name: _____			Federal ID No.: _____		
Address: _____			Phone No.: _____		
City: _____	State: _____	ZIP Code: _____	Email: _____		
Signature of Authorized Representatives of Bidder/Applicant's Firm _____			Print or Type Name and Title of Authorized Representative of Bidder/Applicant's Firm _____		
Date: _____					

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

Name of M/WBE: _____			Federal ID No.: _____		
Address: _____			Phone No.: _____		
City: _____	State: _____	ZIP Code: _____	Email: _____		
<b>BRIEF DESCRIPTION OF SERVICES OR SUPPLIES TO BE PERFORMED BY MBE OR WBE:</b>					
<b>DESIGNATION:</b> <input type="checkbox"/> <b>MBE Subcontractor</b> <input type="checkbox"/> <b>WBE Subcontractor</b> <input type="checkbox"/> <b>MBE Supplier</b> <input type="checkbox"/> <b>WBE Supplier</b>					

**Part C – CERTIFICATION STATUS (CHECK ONE):**

<input type="checkbox"/> The undersigned is a certified M/WBE by the New York State Division of Minority and Women-Owned Business Development (MWBD).	
<input type="checkbox"/> The undersigned has applied to New York State's Division of Minority and Women-Owned Business Development (MWBD) for M/WBE certification.	
<b>THE UNDERSIGNED IS PREPARED TO PROVIDE SERVICES OR SUPPLIES AS DESCRIBED ABOVE AND WILL ENTER INTO A FORMAL AGREEMENT WITH THE BIDDER/APPLICANT CONDITIONED UPON THE BIDDER/APPLICANT'S EXECUTION OF A CONTRACT WITH THE NYS EDUCATION DEPARTMENT.</b>	
The estimated dollar amount of the agreement:     \$ _____	_____ Signature of Authorized Representative of M/WBE Firm
_____ Date	_____ Printed or Typed Name and Title of Authorized Representative

**M/WBE CONTRACTOR GOOD FAITH EFFORTS CERTIFICATION (FORM 105)****PROJECT / CONTRACT #** \_\_\_\_\_I, \_\_\_\_\_  
(Bidder / Applicant)\_\_\_\_\_  
(Title) **of** \_\_\_\_\_  
(Company)\_\_\_\_\_  
(Address) \_\_\_\_\_  
(Telephone Number)

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

- (1) Copies of its solicitations of certified minority- and women-owned business enterprises and any responses thereto;
- (2) If responses to the contractor's solicitations were received, but a certified minority- or woman-owned business enterprise was not selected, the specific reasons that such enterprise was not selected;
- (3) Copies of any advertisements for participation by certified minority- and women-owned business enterprises timely published in appropriate general circulation, trade and minority- or women-oriented publications, together with the listing(s) and date(s) of the publication of such advertisements;
- (4) Copies of any solicitations of certified minority- and/or women-owned business enterprises listed in the directory of certified businesses;
- (5) The dates of attendance at any pre-bid, pre-award, or other meetings, if any, scheduled by the State agency awarding the State contract, with certified minority- and women-owned business enterprises which the State agency determined were capable of performing the State contract scope of work for the purpose of fulfilling the contract participation goals;
- (6) Information describing the specific steps undertaken to reasonably structure the contract scope of work for the purpose of subcontracting with, or obtaining supplies from, certified minority- and women-owned business enterprises.
- (7) Describe any other action undertaken by the bidder to document its good faith efforts to retain certified minority - and women- owned business enterprises for this procurement.

Submit additional pages as needed.

\_\_\_\_\_  
Authorized Representative Signature\_\_\_\_\_  
Date

**M/WBE CONTRACTOR UNAVAILABLE CERTIFICATION****PROJECT / CONTRACT #** \_\_\_\_\_I, \_\_\_\_\_  
(Authorized Representative)\_\_\_\_\_  
(Title) (Company)\_\_\_\_\_  
(Address) (Telephone Number)

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

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

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

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

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

\_\_\_\_\_  
Authorized Representative Signature Date Print Name

**M/WBW 105A**

## REQUEST FOR WAIVER FORM

(Bidder / Applicant Name)		(Solicitation/Contract Number)	(Federal ID Number)
(Address)			(Telephone)
(City)	(State)	(ZIP Code)	(Email)

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

<b>BIDDER / APPLICANT IS REQUESTING (Check all that apply):</b>			
<input type="checkbox"/> <b>MBE Waiver</b> - A waiver of the MBW goal for this procurement is requested.  <div style="display: flex; justify-content: space-between; width: 80%; margin: 0 auto;"> <span><input type="checkbox"/> <b>Total</b></span> <span><input type="checkbox"/> <b>Partial</b> _____ %</span> </div>	<input type="checkbox"/> <b>WBE Waiver</b> - A waiver of the MBW goal for this procurement is requested.  <div style="display: flex; justify-content: space-between; width: 80%; margin: 0 auto;"> <span><input type="checkbox"/> <b>Total</b></span> <span><input type="checkbox"/> <b>Partial</b> _____ %</span> </div>		
<input type="checkbox"/> <b>Waiver Pending ESD Certification</b> (Check here if subcontractor of supplier is not certified M/WBE, but an application for certification has been filed with Empire State Development)			
Subcontractor/Supplier Name: _____		Date of Application Filing: _____	

PREPARED BY (Signature): \_\_\_\_\_ Date: \_\_\_\_\_

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

NAME OF PREPARER: \_\_\_\_\_  
(type or print)

TITLE OF PREPARER: \_\_\_\_\_

TELEPHONE: \_\_\_\_\_

EMAIL: \_\_\_\_\_

FOR AUTHORIZED USE ONLY	
REVIEWED BY: _____	DATE: _____
WAIVER GRANTED: <input type="checkbox"/> YES <input type="checkbox"/> NO  <input type="checkbox"/> TOTAL WAIVER <input type="checkbox"/> ESD CERTIFICATION WAIVER <input type="checkbox"/> PARTIAL WAIVER <input type="checkbox"/> CONSITIONAL WAIVER <input type="checkbox"/> NOTICE OF DEFICIENCY                      DATE: _____	
COMMENTS:	

## REQUIREMENTS AND DOCUMENT SUBMISSION INSTRUCTIONS

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

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

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

**EQUAL EMPLOYMENT OPPORTUNITY - STAFFING PLAN****Instructions on Page 2**

Bidder's Name: \_\_\_\_\_ Telephone: \_\_\_\_\_ Email: \_\_\_\_\_

Address: \_\_\_\_\_ Federal ID No.: \_\_\_\_\_

City, State, Zip: \_\_\_\_\_ Solicitation No.: \_\_\_\_\_

Report Includes:

- ☐ Work force to be utilized on this contract ☐ Contractor
- ☐ Contract/Subcontractor's Total Work Force ☐ Subcontractor Name: \_\_\_\_\_

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

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

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

DATE: \_\_\_\_\_

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

PHONE: \_\_\_\_\_

(print or type)

EMAIL: \_\_\_\_\_

## STAFFING PLAN INSTRUCTIONS

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

### Instructions for Completing:

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

### RACE/ETHNIC IDENTIFICATION

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

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



## ATTACHMENT R

### DATA SECURITY AND PRIVACY PLAN

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

shall be subject to the following requirements:

1. The Contractor shall take all reasonable measures to protect the confidentiality of the Data as required by federal and state laws and regulations applicable to the Contractor. These may include but are not limited to the New York State Social Services Law, Personal Privacy Protection Law and Education Law §2-d; the federal Social Security Act and Family Educational Rights and Privacy Act; internet security laws; and any regulations promulgated thereunder.
2. The Contractor has full and final responsibility for the security of the Data. The Contractor agrees to implement reasonable technical and physical security measures to ensure the confidentiality, integrity and availability of the Data. Such security measures may be reviewed by the State, both through an informal audit of policies and procedures and/or through inspection of security methods used within the Contractor's infrastructure, storage, and other physical security. The Contractor should review its implementation and maintenance of its security review periodically to protect the data in strict compliance with statutory and regulatory requirements.
3. The Contractor's security measures must also include:
  - a. Provision that access to the Data is restricted solely to staff who need such access to carry out the responsibilities of the Contractor under this agreement, and that such staff will not release such Data to any unauthorized party;
  - b. All confidential Data are stored on computer and storage facilities maintained within Contractor's computer networks, behind appropriate firewalls;
  - c. Access to computer applications and Data are managed through appropriate userID/password procedures;
  - d. Contractor's computer network storing the Data is scanned for inappropriate access through an intrusion detection system. NYSED has the right to perform a site visit to review the vendor's security practices if NYSED feels it is necessary;
  - e. That Contractor have a disaster recovery plan that is acceptable to the State;
  - f. Satisfactory redundant and uninterruptible power and fiber infrastructure provisions; and

- g. A copy of the Contractor's security review evidencing compliance with these requirements must be submitted to NYSED for review and approval within 6 months of the signing of the contract or before the first certification test is performed, whichever occurs first.
4. The Data must be returned to NYSED upon termination or expiration of this Agreement, or at such point that the Data are no longer needed for the purpose referenced in this Agreement, or, at the sole discretion of NYSED, securely destroyed. All hard copies of personally identifiable Data in the possession of the Contractor must be securely destroyed, and all electronic Data must be purged from the network in a manner that does not permit retrieval of the data. The contractor is specifically prohibited from commingling any data from outside sources into the Data received from NYSED, except as specifically authorized by NYSED.
5. If personally identifiable data of students, teachers or building principals will be disclosed to the Contractor by NYSED for purposes of the Contractor providing services to NYSED, the Contractor must comply with the following requirements of Education Law §2-d (Chapter 56, Subpart L of the Laws of 2014) and any implementing regulations:
- a. Any officers or employees of the third-party contractor and its assignees who have access to student data or teacher or principal data have received or will receive training on the federal and state law governing confidentiality of such data prior to receiving access;
  - b. limit internal access to education records to those individuals that are determined to have legitimate educational interests;
  - c. not use the education records for any other purposes than those explicitly authorized in its contract;
  - d. except for authorized representatives of the third party contractor to the extent they are carrying out the contract, not disclose any personally identifiable information to any other party:
    - (i) without the prior written consent of the parent or eligible student; or
    - (ii) unless required by statute or court order and the party provides a notice of the disclosure to the department, district board of education, or institution that provided the information no later than the time the information is disclosed, unless providing notice of the disclosure is expressly prohibited by the statute or court order;
  - e. maintain reasonable administrative, technical and physical safeguards to protect the security, confidentiality and integrity of personally identifiable student information in its custody; and
  - f. use encryption technology consistent with Education Law §2-d and any implementing regulations.
6. If requested by NYSED to make any disclosure of aggregated data using the Data provided to or stored by the Contractor, Contractor must ensure that the disclosed aggregated data cannot reasonably be used to identify a particular individual. Aggregated data will be considered identifiable if the disclosure has less than five (5) data elements per cell or the data elements per cell comprise 100% of the subject population.

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