

The University of the State of New York  
THE STATE EDUCATION DEPARTMENT  
Office of Higher Education  
Office of Postsecondary Access, Support and  
Science and Technology Entry Program  
89 Washington Avenue  
Education Building, Room 505W  
Albany, New York 12234

**Guidelines for Submission of  
Science and Technology Entry Program  
Proposals  
for the Period July 1, 2015– June 30, 2020  
RFP #GC15-005**

Proposals must be postmarked no later than April 14, 2015

## **Announcement of Funding Opportunity for the Science and Technology Entry Program 2015-2020**

### **Background:**

The New York State Education Department is pleased to announce competition for Science Technology Entry Program (STEP) grant contracts for the period of July 1, 2015 through June 30, 2020, 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, 2015 through June 30, 2020.

**March 13, 2015:** An informational webinar will be posted at <http://www.highered.nysed.gov/kiap/step/>

**March 20, 2015:** Deadline for questions to be submitted to [STEPrfp@nysed.gov](mailto:STEPrfp@nysed.gov)

**March 31, 2015:** A Question and Answer Summary will be posted at: <http://www.highered.nysed.gov/kiap/step/>

**April 3, 2015:** Non-Mandatory Notice of Intent due. See Non-Mandatory Notice of Intent section below.

**April 14, 2015:** Applications must be postmarked no later than April 14, 2015.

## **Funding:**

During the 2014-2015 program year \$11.4 million was awarded to 51 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, 2015, through June 30, 2020. 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 any individual STEP project will be \$450,000 per year. 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 PDF file and a copy of the budget documents (FS-10, Composite Budget, and Budget Narrative) in separate PDF files, in a sealed envelope labeled "Science Technology Entry Program Application GC#15-005";

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

RFP GC#15-005  
New York State Education Department  
Office of Postsecondary Access, Support and Success— STEP  
89 Washington Avenue, Room 505W EB  
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#15-005—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#15-005—DO NOT OPEN"; a **flash drive** containing a complete electronic copy (including attachments) of the proposal in one PDF file and a copy of the budget documents (FS-10, Composite Budget, and Budget Narrative) in separate PDF files in a separately sealed envelope labeled "Science Technology Entry Program Electronic Copy, GC#15-005—DO NOT OPEN"

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

Attn: Nell Brady, RFP GC#15-005  
NYS 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 new statewide prequalification process (described in <http://www.grantsreform.ny.gov/Grantees>) 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 April 3, 2015. Please send the NOI to [STEPrfp@nysed.gov](mailto:STEPrfp@nysed.gov).

**The State Education Department Contacts:****Program:**

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**M/WBE:**

Ms. Joan Ramsey

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

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## TABLE OF CONTENTS

	<u>Page</u>
I. INTRODUCTION .....	10
II. PURPOSE .....	10
III. INSTITUTIONAL ELIGIBILITY .....	10
IV. STUDENT ELIGIBILITY .....	10
V. PROGRAM REQUIREMENTS .....	11
VI. NYS ED CONSORTIUM POLICY FOR STATE AND FEDERAL DISCRETIONARY GRANT PROGRAMS.....	13
VII. PUBLIC RELATIONS/ATTRIBUTIONS OF FUNDING.....	14
VIII. NYS RESERVED RIGHTS.....	14
IX. FUNDING LIMITATIONS .....	15
X. BUDGET.....	22
XI. PROJECT OPERATIONAL GUIDELINES.....	25
XII. VENDOR RESPONSIBILITY AND M/WBE .....	27
XIII. NOT-FOR-PROFIT (NFP) PROMPT CONTRACTING.....	32
XIV. APPLICATION FOR FUNDING .....	33
XV. NARRATIVE FORMAT .....	34
XVI. APPLICATION REVIEW AND RATING PROCESS.....	38
XVII. METHOD OF DETERMINING AWARD.....	39
XVIII. NOTIFICATION OF AWARD .....	40
XIX. CONTRACT AWARD PROTEST PROCEDURES.....	40

## ATTACHMENTS

- I. 2015-2020 STEP APPLICATION FOR FUNDING
  - APPLICATION FOR FUNDING (COVER PAGE)
  - INSTITUTION TABLE OF CONTENTS
  - ABSTRACT
  - PROPOSAL NARRATIVE
  - PERFORMANCE MATRIX
  - STATEMENT OF ASSURANCES
  - VENDOR RESPONSIBILITY QUESTIONNAIRE
- II. STEP 2015-2016 PROPOSED COMPOSITE BUDGET  
  
LINK TO FS-10 AND NEW PAYEE INFORMATION (PI-1 FORM)
- III. PROPOSAL APPLICATION CHECKLIST & M/WBE CHECKLIST
- IV. PROPOSAL REVIEW RUBRIC
- V. M/WBE FORMS

## **Definitions of Frequently Used Terms:**

**Academic Intervention Services:** Services usually for, but not limited to, English and mathematics designed to prepare students for college level course work.

**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 is economically disadvantaged if he or she meets the income eligibility criteria. The income eligibility criteria will be published annually by STEP-SED for the 2015-2020 funding cycle. The eligibility standards set forth 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 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:

1. 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;
2. the student is living with foster parents and no monies are provided from the natural parents; or
3. the student is a ward of the State or a county.
4. the student receives free or reduced lunch at his or her secondary school (verified by the school).

**Eligible Applicants:** According to § 145-6.6(b) 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." Therefore, in order to be an eligible application, the degree-granting institution or lead institution of a consortium of such institutions must be the applicant/fiscal agent. A third party or other entity may not serve as the applicant/fiscal agent.

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

**Historically Under-represented:** 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:** For the purposes of participation in STEP, academic programs leading to licensed professions would be deemed acceptable for participation in STEP. Go to the following website to see a list of professions that are licensed, registered, or certified by the Board of Regents. New York State Licensed Professions: <http://www.op.nysed.gov/prof/>

**New York State Residency:** The student is a resident of the State if his/her domicile is in New York State and he/she is enrolled in grades 7 through 12.

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

**Scientific Field:** For the purposes of STEP participation under § 6454 of the Education Law, 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.

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

**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-SED:** New York State's primary coordination and administration unit for the Science Technology Entry Program; housed under SED's Office of Postsecondary Access, Support and Success.

**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 been 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:** For the purposes of participation in STEP under § 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 STEP PROGRAMS**

### **I. INTRODUCTION**

The New York State Education Department is pleased to announce competition for Science and Technology Entry Program (STEP) grant contracts for the period July 1, 2015 through June 30, 2020, 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 § 145-6.6(b) 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. 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:

- (1) an established record of conducting effective collaborative educational programs with neighboring secondary schools;
- (2) the ability and willingness to cooperate with other postsecondary institutions in operating a program funded pursuant to this section;
- (3) 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;
- (4) a location within a school district with an enrollment comprised of at least twenty percent minority.

### **IV. STUDENT ELIGIBILITY**

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

For the purpose of STEP, a student is considered a New York State resident if he or she resides in New York State and has lived in New York State for the last two terms of school prior to entry into the STEP program or resided in New York State for at least 12 months immediately preceding the first term for which he or she is seeking participation in the STEP program; minorities historically underrepresented in the scientific, technical, health-related, and licensed professions are Black or African American, Hispanic/Latino, American Indian or Alaska Native. A student is economically disadvantaged if he or she meets the income eligibility criteria. Income eligibility criteria will be distributed by STEP-SED.

**Documentation** - Institutions approved for funding are required to develop an application for STEP participants. In order to be accepted all required documentation must be complete. 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.

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.

When needed, economic disadvantage documentation would be a copy of the parent or legal guardian's signed most recent year's tax returns (IRS form 1040, 1040A, 1040EZ or 4506). 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 STEP-SED.

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 a plan of instruction and curriculum-related activities and services that includes:
  - a. curricula that shall, to the extent practical, 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.
  - b. academic, career and financial aid counseling to ensure that such students are fully aware of the opportunities and necessary preparations for professional careers in scientific, technical, or health-related fields.
  - c. quantifiable measures to assess the effectiveness of the instruction, 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.
  - d. effective collaborative educational programs with neighboring secondary schools; the ability and willingness to cooperate with other postsecondary institutions in operating a program;
  - e. 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 and must be closely coordinated with the academic or student affairs at the institution and provide suitable institutional support.
  - 1. Professional Staffing – (the following is a suggested guide to program staffing qualifications)
    - a. 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, he or she should have experience working with students from historically underrepresented or economically disadvantaged groups.
    - b. 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, he or she 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 grade levels by the end of the 2015-2020 grant/contract cycle.
  
- 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 advisement and career counseling 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 (including Common Core Learning Standards), which can be found at the following website: <http://www.emsc.nysed.gov/ciaj/standards.html>.
  
- G. Provide evidence of formal collaborations (i.e. MOU) 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.
  
- H. Collaborate 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 or teachers, and campus faculty or staff. The purpose of the STEP Advisory Committee is to meet occasionally (e.g., annually or semi-annually) to discuss upcoming programming or the calendar of events and assist with the self-review process.
- K. Day of Service planning, implementation, and assessment for participation by STEP students in their local community or the local community of the institution. These events are meant to provide exploration of and exposure to careers in the licensed professions, scientific, and technical fields.
- 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 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**

Participants can form a consortium to apply for the grant. In order to do so, the consortium must meet the following requirements:

- 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:
  - i. Must be an eligible grant recipient as defined by statute;
  - ii. Must receive and administer the grant funds and submit the required reports to account for the use of grant funds;
  - iii. 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.
  - iv. 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.
  - v. Must be an active member of the consortium.
  - vi. 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.
  - vii. 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:

New York State Education Department  
Office of Postsecondary Access, Support and Success  
Science and Technology Entry Program  
89 Washington Avenue  
Education Building, 505W  
Albany, New York 12234  
Telephone: (518) 486-6042  
E-mail: [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 right to:

1. Reject any or all proposals received in response to the RFP;
2. Withdraw the RFP at any time, at the agency's sole discretion;
3. Make an award under the RFP in whole or in part;
4. Disqualify any bidder whose conduct and/or proposal fails to conform to the requirements of the RFP;
5. Seek clarifications of proposals;
6. Use proposal information obtained through site visits, management interviews and the state's investigation of a bidder's qualifications, experience, ability or financial standing, and any material or information submitted by the bidder in response to the agency's request for clarifying information in the course of evaluation and/or selection under the RFP;
7. Prior to the bid opening, amend the RFP specifications to correct errors or oversights, or to supply additional information, as it may become available;
8. Prior to the bid opening, direct bidders to submit proposal modifications addressing subsequent RFP amendments;
9. Change any of the scheduled dates;
10. Waive any requirements that are not material;
11. Negotiate with the successful bidder within the scope of the RFP in the best interests of the state;

12. Conduct contract negotiations with the next responsible bidder, should the agency be unsuccessful in negotiating with the selected bidder;
13. Utilize any and all ideas submitted in the proposals received;
14. Unless otherwise specified in the solicitation, every offer is firm and not revocable for a period of 90 days from the bid opening;
15. Require clarification at any time during the procurement process and/or require correction of arithmetic or other apparent errors for the purpose of assuring a full and complete understanding of an offerer's proposal and/or to determine an offerer's compliance with the requirements of the solicitation;
16. To 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, 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. 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** will be \$450,000 per year. 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. **Individual STEP projects that request a budget of \$200,000 or more a year are required to conduct a summer program. The minimum number of students (headcount) that must be served annually in a STEP project is 30 participants.**

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.)

**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. 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.)

**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.)

The maximum award for an **individual STEP project** will be \$450,000 per year. The maximum award for a **consortium STEP project** will be \$1,000,000 per year. (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:
  - a. Making whole any funded programs that have received a partial award;
  - b. Approving awards, in rank order, for eligible applicants who received passing scores, but who did not rank high enough to receive the initial funding;
  - c. 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 2015-2016 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	Max. Budget	Contracted Headcount	Max. Budget	Contracted Headcount	Max. Budget	Contracted Headcount	Max. Budget	Contracted Headcount	Max. Budget
30	\$60,000	59	\$118,000	88	\$176,000	117	\$225,000	146	\$268,500
31	\$62,000	60	\$120,000	89	\$178,000	118	\$226,500	147	\$270,000
32	\$64,000	61	\$122,000	90	\$180,000	119	\$228,000	148	\$271,500
33	\$66,000	62	\$124,000	91	\$182,000	120	\$229,500	149	\$273,000
34	\$68,000	63	\$126,000	92	\$184,000	121	\$231,000	150	\$274,500
35	\$70,000	64	\$128,000	93	\$186,000	122	\$232,500	151	\$276,000
36	\$72,000	65	\$130,000	94	\$188,000	123	\$234,000	152	\$277,500
37	\$74,000	66	\$132,000	95	\$190,000	124	\$235,500	153	\$279,000
38	\$76,000	67	\$134,000	96	\$192,000	125	\$237,000	154	\$280,500
39	\$78,000	68	\$136,000	97	\$194,000	126	\$238,500	155	\$282,000
40	\$80,000	69	\$138,000	98	\$196,000	127	\$240,000	156	\$283,500
41	\$82,000	70	\$140,000	99	\$198,000	128	\$241,500	157	\$285,000
42	\$84,000	71	\$142,000	100	\$199,500	129	\$243,000	158	\$286,500
43	\$86,000	72	\$144,000	101	\$201,000	130	\$244,500	159	\$288,000
44	\$88,000	73	\$146,000	102	\$202,500	131	\$246,000	160	\$289,500
45	\$90,000	74	\$148,000	103	\$204,000	132	\$247,500	161	\$291,000
46	\$92,000	75	\$150,000	104	\$205,500	133	\$249,000	162	\$292,500
47	\$94,000	76	\$152,000	105	\$207,000	134	\$250,500	163	\$294,000
48	\$96,000	77	\$154,000	106	\$208,500	135	\$252,000	164	\$295,500
49	\$98,000	78	\$156,000	107	\$210,000	136	\$253,500	165	\$297,000
50	\$100,000	79	\$158,000	108	\$211,500	137	\$255,000	166	\$298,500
51	\$102,000	80	\$160,000	109	\$213,000	138	\$256,500	167	\$300,000
52	\$104,000	81	\$162,000	110	\$214,500	139	\$258,000	168	\$301,500
53	\$106,000	82	\$164,000	111	\$216,000	140	\$259,500	169	\$303,000
54	\$108,000	83	\$166,000	112	\$217,500	141	\$261,000	170	\$304,500
55	\$110,000	84	\$168,000	113	\$219,000	142	\$262,500	171	\$306,000
56	\$112,000	85	\$170,000	114	\$220,500	143	\$264,000	172	\$307,500
57	\$114,000	86	\$172,000	115	\$222,000	144	\$265,500	173	\$309,000
58	\$116,000	87	\$174,000	116	\$223,500	145	\$267,000	174	\$310,500

**FUNDING LEVELS FOR INDIVIDUAL STEP PROJECTS**

Contracted Headcount	Max. Budget	Contracted Headcount	Max. Budget	Contracted Headcount	Max. Budget	Contracted Headcount	Max. Budget	Contracted Headcount	Max. Budget
175	\$312,000	204	\$353,000	233	\$382,000	262	\$411,000	291	\$440,000
176	\$313,500	205	\$354,000	234	\$383,000	263	\$412,000	292	\$441,000
177	\$315,000	206	\$355,000	235	\$384,000	264	\$413,000	293	\$442,000
178	\$316,500	207	\$356,000	236	\$385,000	265	\$414,000	294	\$443,000
179	\$318,000	208	\$357,000	237	\$386,000	266	\$415,000	295	\$444,000
180	\$319,500	209	\$358,000	238	\$387,000	267	\$416,000	296	\$445,000
181	\$321,000	210	\$359,000	239	\$388,000	268	\$417,000	297	\$446,000
182	\$322,500	211	\$360,000	240	\$389,000	269	\$418,000	298	\$447,000
183	\$324,000	212	\$361,000	241	\$390,000	270	\$419,000	299	\$448,000
184	\$325,500	213	\$362,000	242	\$391,000	271	\$420,000	300	\$449,000
185	\$327,000	214	\$363,000	243	\$392,000	272	\$421,000	301**	\$450,000**
186	\$328,500	215	\$364,000	244	\$393,000	273	\$422,000	302	\$450,000
187	\$330,000	216	\$365,000	245	\$394,000	274	\$423,000		
188	\$331,500	217	\$366,000	246	\$395,000	275	\$424,000		
189	\$333,000	218	\$367,000	247	\$396,000	276	\$425,000		
190	\$334,500	219	\$368,000	248	\$397,000	277	\$426,000		
191	\$336,000	220	\$369,000	249	\$398,000	278	\$427,000		
192	\$337,500	221	\$370,000	250	\$399,000	279	\$428,000		
193	\$339,000	222	\$371,000	251	\$400,000	280	\$429,000		
194	\$340,500	223	\$372,000	252	\$401,000	281	\$430,000		
195	\$342,000	224	\$373,000	253	\$402,000	282	\$431,000		
196	\$343,500	225	\$374,000	254	\$403,000	283	\$432,000		
197	\$345,000	226	\$375,000	255	\$404,000	284	\$433,000		
198	\$346,500	227	\$376,000	256	\$405,000	285	\$434,000		
199	\$348,000	228	\$377,000	257	\$406,000	286	\$435,000		
200	\$349,000	229	\$378,000	258	\$407,000	287	\$436,000		
201	\$350,000	230	\$379,000	259	\$408,000	288	\$437,000		
202	\$351,000	231	\$380,000	260	\$409,000	289	\$438,000		
203	\$352,000	232	\$381,000	261	\$410,000	290	\$439,000		

\*\* 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 priorities rubric: "activities and services to increase access to the number of historically under-represented students that support program requirements."

**FUNDING LEVELS FOR CONSORTIA STEP PROJECTS**

Contracted Headcount	Max. Budget	Contracted Headcount	Max. Budget	Contracted Headcount	Max. Budget	Contracted Headcount	Max. Budget	Contracted Headcount	Max. Budget
30	\$60,000	59	\$118,000	88	\$176,000	117	\$225,000	146	\$268,500
31	\$62,000	60	\$120,000	89	\$178,000	118	\$226,500	147	\$270,000
32	\$64,000	61	\$122,000	90	\$180,000	119	\$228,000	148	\$271,500
33	\$66,000	62	\$124,000	91	\$182,000	120	\$229,500	149	\$273,000
34	\$68,000	63	\$126,000	92	\$184,000	121	\$231,000	150	\$274,500
35	\$70,000	64	\$128,000	93	\$186,000	122	\$232,500	151	\$276,000
36	\$72,000	65	\$130,000	94	\$188,000	123	\$234,000	152	\$277,500
37	\$74,000	66	\$132,000	95	\$190,000	124	\$235,500	153	\$279,000
38	\$76,000	67	\$134,000	96	\$192,000	125	\$237,000	154	\$280,500
39	\$78,000	68	\$136,000	97	\$194,000	126	\$238,500	155	\$282,000
40	\$80,000	69	\$138,000	98	\$196,000	127	\$240,000	156	\$283,500
41	\$82,000	70	\$140,000	99	\$198,000	128	\$241,500	157	\$285,000
42	\$84,000	71	\$142,000	100	\$199,500	129	\$243,000	158	\$286,500
43	\$86,000	72	\$144,000	101	\$201,000	130	\$244,500	159	\$288,000
44	\$88,000	73	\$146,000	102	\$202,500	131	\$246,000	160	\$289,500
45	\$90,000	74	\$148,000	103	\$204,000	132	\$247,500	161	\$291,000
46	\$92,000	75	\$150,000	104	\$205,500	133	\$249,000	162	\$292,500
47	\$94,000	76	\$152,000	105	\$207,000	134	\$250,500	163	\$294,000
48	\$96,000	77	\$154,000	106	\$208,500	135	\$252,000	164	\$295,500
49	\$98,000	78	\$156,000	107	\$210,000	136	\$253,500	165	\$297,000
50	\$100,000	79	\$158,000	108	\$211,500	137	\$255,000	166	\$298,500
51	\$102,000	80	\$160,000	109	\$213,000	138	\$256,500	167	\$300,000
52	\$104,000	81	\$162,000	110	\$214,500	139	\$258,000	168	\$301,500
53	\$106,000	82	\$164,000	111	\$216,000	140	\$259,500	169	\$303,000
54	\$108,000	83	\$166,000	112	\$217,500	141	\$261,000	170	\$304,500
55	\$110,000	84	\$168,000	113	\$219,000	142	\$262,500	171	\$306,000
56	\$112,000	85	\$170,000	114	\$220,500	143	\$264,000	172	\$307,500
57	\$114,000	86	\$172,000	115	\$222,000	144	\$265,500	173	\$309,000
58	\$116,000	87	\$174,000	116	\$223,500	145	\$267,000	174	\$310,500

**FUNDING LEVELS FOR CONSORTIA STEP PROJECTS**

Contracted Headcount	Max. Budget	Contracted Headcount	Max. Budget	Contracted Headcount	Max. Budget	Contracted Headcount	Max. Budget	Contracted Headcount	Max. Budget
175	\$312,000	204	\$353,000	233	\$382,000	262	\$411,000	291	\$440,000
176	\$313,500	205	\$354,000	234	\$383,000	263	\$412,000	292	\$441,000
177	\$315,000	206	\$355,000	235	\$384,000	264	\$413,000	293	\$442,000
178	\$316,500	207	\$356,000	236	\$385,000	265	\$414,000	294	\$443,000
179	\$318,000	208	\$357,000	237	\$386,000	266	\$415,000	295	\$444,000
180	\$319,500	209	\$358,000	238	\$387,000	267	\$416,000	296	\$445,000
181	\$321,000	210	\$359,000	239	\$388,000	268	\$417,000	297	\$446,000
182	\$322,500	211	\$360,000	240	\$389,000	269	\$418,000	298	\$447,000
183	\$324,000	212	\$361,000	241	\$390,000	270	\$419,000	299	\$448,000
184	\$325,500	213	\$362,000	242	\$391,000	271	\$420,000	300	\$449,000
185	\$327,000	214	\$363,000	243	\$392,000	272	\$421,000	301	\$450,000
186	\$328,500	215	\$364,000	244	\$393,000	273	\$422,000	302	\$451,000
187	\$330,000	216	\$365,000	245	\$394,000	274	\$423,000	303	\$452,000
188	\$331,500	217	\$366,000	246	\$395,000	275	\$424,000	304	\$453,000
189	\$333,000	218	\$367,000	247	\$396,000	276	\$425,000	305	\$454,000
190	\$334,500	219	\$368,000	248	\$397,000	277	\$426,000	306	\$455,000
191	\$336,000	220	\$369,000	249	\$398,000	278	\$427,000	307	\$456,000
192	\$337,500	221	\$370,000	250	\$399,000	279	\$428,000	308	\$457,000
193	\$339,000	222	\$371,000	251	\$400,000	280	\$429,000	309	\$458,000
194	\$340,500	223	\$372,000	252	\$401,000	281	\$430,000	310	\$459,000
195	\$342,000	224	\$373,000	253	\$402,000	282	\$431,000	311	\$460,000
196	\$343,500	225	\$374,000	254	\$403,000	283	\$432,000	312	\$461,000
197	\$345,000	226	\$375,000	255	\$404,000	284	\$433,000	313	\$462,000
198	\$346,500	227	\$376,000	256	\$405,000	285	\$434,000	314	\$463,000
199	\$348,000	228	\$377,000	257	\$406,000	286	\$435,000	315	\$464,000
200	\$349,000	229	\$378,000	258	\$407,000	287	\$436,000	316	\$465,000
201	\$350,000	230	\$379,000	259	\$408,000	288	\$437,000	317	\$466,000
202	\$351,000	231	\$380,000	260	\$409,000	289	\$438,000	318	\$467,000
203	\$352,000	232	\$381,000	261	\$410,000	290	\$439,000	319	\$468,000

**FUNDING LEVELS FOR CONSORTIA STEP PROJECTS**

Contracted Headcount	Max. Budget	Contracted Headcount	Max. Budget	Contracted Headcount	Max. Budget	Contracted Headcount	Max. Budget	Contracted Headcount	Max. Budget
320	\$469,000	349	\$498,000	378	\$527,000	407	\$556,000	436	\$585,000
321	\$470,000	350	\$499,000	379	\$528,000	408	\$557,000	437	\$586,000
322	\$471,000	351	\$500,000	380	\$529,000	409	\$558,000	438	\$587,000
323	\$472,000	352	\$501,000	381	\$530,000	410	\$559,000	439	\$588,000
324	\$473,000	353	\$502,000	382	\$531,000	411	\$560,000	440	\$589,000
325	\$474,000	354	\$503,000	383	\$532,000	412	\$561,000	441	\$590,000
326	\$475,000	355	\$504,000	384	\$533,000	413	\$562,000	442	\$591,000
327	\$476,000	356	\$505,000	385	\$534,000	414	\$563,000	443	\$592,000
328	\$477,000	357	\$506,000	386	\$535,000	415	\$564,000	444	\$593,000
329	\$478,000	358	\$507,000	387	\$536,000	416	\$565,000	445	\$594,000
330	\$479,000	359	\$508,000	388	\$537,000	417	\$566,000	446	\$595,000
331	\$480,000	360	\$509,000	389	\$538,000	418	\$567,000	447	\$596,000
332	\$481,000	361	\$510,000	390	\$539,000	419	\$568,000	448	\$597,000
333	\$482,000	362	\$511,000	391	\$540,000	420	\$569,000	449	\$598,000
334	\$483,000	363	\$512,000	392	\$541,000	421	\$570,000	450	\$599,000
335	\$484,000	364	\$513,000	393	\$542,000	422	\$571,000	451	\$600,000
336	\$485,000	365	\$514,000	394	\$543,000	423	\$572,000	452	\$601,000
337	\$486,000	366	\$515,000	395	\$544,000	424	\$573,000	453	\$602,000
338	\$487,000	367	\$516,000	396	\$545,000	425	\$574,000	454	\$603,000
339	\$488,000	368	\$517,000	397	\$546,000	426	\$575,000	455	\$604,000
340	\$489,000	369	\$518,000	398	\$547,000	427	\$576,000	456	\$605,000
341	\$490,000	370	\$519,000	399	\$548,000	428	\$577,000	457	\$606,000
342	\$491,000	371	\$520,000	400	\$549,000	429	\$578,000	458	\$607,000
343	\$492,000	372	\$521,000	401	\$550,000	430	\$579,000	459	\$608,000
344	\$493,000	373	\$522,000	402	\$551,000	431	\$580,000	460	\$609,000
345	\$494,000	374	\$523,000	403	\$552,000	432	\$581,000	461	\$610,000
346	\$495,000	375	\$524,000	404	\$553,000	433	\$582,000	462	\$611,000
347	\$496,000	376	\$525,000	405	\$554,000	434	\$583,000	463	\$612,000
348	\$497,000	377	\$526,000	406	\$555,000	435	\$584,000	464	\$613,000

**FUNDING LEVELS FOR CONSORTIA STEP PROJECTS**

Contracted Headcount	Max. Budget	Contracted Headcount	Max. Budget	Contracted Headcount	Max. Budget	Contracted Headcount	Max. Budget	Contracted Headcount	Max. Budget
465	\$614,000	494	\$643,000	523	\$672,000	552	\$701,000	581	\$730,000
466	\$615,000	495	\$644,000	524	\$673,000	553	\$702,000	582	\$731,000
467	\$616,000	496	\$645,000	525	\$674,000	554	\$703,000	583	\$732,000
468	\$617,000	497	\$646,000	526	\$675,000	555	\$704,000	584	\$733,000
469	\$618,000	498	\$647,000	527	\$676,000	556	\$705,000	585	\$734,000
470	\$619,000	499	\$648,000	528	\$677,000	557	\$706,000	586	\$735,000
471	\$620,000	500	\$649,000	529	\$678,000	558	\$707,000	587	\$736,000
472	\$621,000	501	\$650,000	530	\$679,000	559	\$708,000	588	\$737,000
473	\$622,000	502	\$651,000	531	\$680,000	560	\$709,000	589	\$738,000
474	\$623,000	503	\$652,000	532	\$681,000	561	\$710,000	590	\$739,000
475	\$624,000	504	\$653,000	533	\$682,000	562	\$711,000	591	\$740,000
476	\$625,000	505	\$654,000	534	\$683,000	563	\$712,000	592	\$741,000
477	\$626,000	506	\$655,000	535	\$684,000	564	\$713,000	593	\$742,000
478	\$627,000	507	\$656,000	536	\$685,000	565	\$714,000	594	\$743,000
479	\$628,000	508	\$657,000	537	\$686,000	566	\$715,000	595	\$744,000
480	\$629,000	509	\$658,000	538	\$687,000	567	\$716,000	596	\$745,000
481	\$630,000	510	\$659,000	539	\$688,000	568	\$717,000	597	\$746,000
482	\$631,000	511	\$660,000	540	\$689,000	569	\$718,000	598	\$747,000
483	\$632,000	512	\$661,000	541	\$690,000	570	\$719,000	599	\$748,000
484	\$633,000	513	\$662,000	542	\$691,000	571	\$720,000	600	\$749,000
485	\$634,000	514	\$663,000	543	\$692,000	572	\$721,000	601	\$750,000
486	\$635,000	515	\$664,000	544	\$693,000	573	\$722,000	602	\$751,000
487	\$636,000	516	\$665,000	545	\$694,000	574	\$723,000	603	\$752,000
488	\$637,000	517	\$666,000	546	\$695,000	575	\$724,000	604	\$753,000
489	\$638,000	518	\$667,000	547	\$696,000	576	\$725,000	605	\$754,000
490	\$639,000	519	\$668,000	548	\$697,000	577	\$726,000	606	\$755,000
491	\$640,000	520	\$669,000	549	\$698,000	578	\$727,000	607	\$756,000
492	\$641,000	521	\$670,000	550	\$699,000	579	\$728,000	608	\$757,000
493	\$642,000	522	\$671,000	551	\$700,000	580	\$729,000	609	\$758,000

**FUNDING LEVELS FOR CONSORTIA STEP PROJECTS**

Contracted Headcount	Max. Budget	Contracted Headcount	Max. Budget	Contracted Headcount	Max. Budget	Contracted Headcount	Max. Budget	Contracted Headcount	Max. Budget
610	\$759,000	639	\$788,000	668	\$817,000	697	\$846,000	726	\$875,000
611	\$760,000	640	\$789,000	669	\$818,000	698	\$847,000	727	\$876,000
612	\$761,000	641	\$790,000	670	\$819,000	699	\$848,000	728	\$877,000
613	\$762,000	642	\$791,000	671	\$820,000	700	\$849,000	729	\$878,000
614	\$763,000	643	\$792,000	672	\$821,000	701	\$850,000	730	\$879,000
615	\$764,000	644	\$793,000	673	\$822,000	702	\$851,000	731	\$880,000
616	\$765,000	645	\$794,000	674	\$823,000	703	\$852,000	732	\$881,000
617	\$766,000	646	\$795,000	675	\$824,000	704	\$853,000	733	\$882,000
618	\$767,000	647	\$796,000	676	\$825,000	705	\$854,000	734	\$883,000
619	\$768,000	648	\$797,000	677	\$826,000	706	\$855,000	735	\$884,000
620	\$769,000	649	\$798,000	678	\$827,000	707	\$856,000	736	\$885,000
621	\$770,000	650	\$799,000	679	\$828,000	708	\$857,000	737	\$886,000
622	\$771,000	651	\$800,000	680	\$829,000	709	\$858,000	738	\$887,000
623	\$772,000	652	\$801,000	681	\$830,000	710	\$859,000	739	\$888,000
624	\$773,000	653	\$802,000	682	\$831,000	711	\$860,000	740	\$889,000
625	\$774,000	654	\$803,000	683	\$832,000	712	\$861,000	741	\$890,000
626	\$775,000	655	\$804,000	684	\$833,000	713	\$862,000	742	\$891,000
627	\$776,000	656	\$805,000	685	\$834,000	714	\$863,000	743	\$892,000
628	\$777,000	657	\$806,000	686	\$835,000	715	\$864,000	744	\$893,000
629	\$778,000	658	\$807,000	687	\$836,000	716	\$865,000	745	\$894,000
630	\$779,000	659	\$808,000	688	\$837,000	717	\$866,000	746	\$895,000
631	\$780,000	660	\$809,000	689	\$838,000	718	\$867,000	747	\$896,000
632	\$781,000	661	\$810,000	690	\$839,000	719	\$868,000	748	\$897,000
633	\$782,000	662	\$811,000	691	\$840,000	720	\$869,000	749	\$898,000
634	\$783,000	663	\$812,000	692	\$841,000	721	\$870,000	750	\$899,000
635	\$784,000	664	\$813,000	693	\$842,000	722	\$871,000	751	\$900,000
636	\$785,000	665	\$814,000	694	\$843,000	723	\$872,000	752	\$901,000
637	\$786,000	666	\$815,000	695	\$844,000	724	\$873,000	753	\$902,000
638	\$787,000	667	\$816,000	696	\$845,000	725	\$874,000	754	\$903,000

**FUNDING LEVELS FOR CONSORTIA STEP PROJECTS**

Contracted Headcount	Max. Budget	Contracted Headcount	Max. Budget	Contracted Headcount	Max. Budget	Contracted Headcount	Max. Budget		
755	\$904,000	774	\$923,000	793	\$942,000	813	\$962,000	833	\$982,000
756	\$905,000	775	\$924,000	794	\$943,000	814	\$963,000	834	\$983,000
757	\$906,000	776	\$925,000	795	\$944,000	815	\$964,000	835	\$984,000
758	\$907,000	777	\$926,000	796	\$945,000	816	\$965,000	836	\$985,000
759	\$908,000	778	\$927,000	797	\$946,000	817	\$966,000	837	\$986,000
760	\$909,000	779	\$928,000	798	\$947,000	818	\$967,000	838	\$987,000
761	\$910,000	780	\$929,000	799	\$948,000	819	\$968,000	839	\$988,000
762	\$911,000	781	\$930,000	800	\$949,000	820	\$969,000	840	\$989,000
763	\$912,000	782	\$931,000	801	\$950,000	821	\$970,000	841	\$990,000
764	\$913,000	783	\$932,000	802	\$951,000	822	\$971,000	842	\$991,000
765	\$914,000	784	\$933,000	803	\$952,000	823	\$972,000	843	\$992,000
766	\$915,000	785	\$934,000	804	\$953,000	824	\$973,000	844	\$993,000
767	\$916,000	786	\$935,000	805	\$954,000	825	\$974,000	845	\$994,000
768	\$917,000	787	\$936,000	806	\$955,000	826	\$975,000	846	\$995,000
769	\$918,000	788	\$937,000	807	\$956,000	827	\$976,000	847	\$996,000
770	\$919,000	789	\$938,000	808	\$957,000	828	\$977,000	848	\$997,000
771	\$920,000	790	\$939,000	809	\$958,000	829	\$978,000	849	\$998,000
772	\$921,000	791	\$940,000	810	\$959,000	830	\$979,000	850	\$999,000
773	\$922,000	792	\$941,000	811	\$960,000	831	\$980,000	851**	\$1,000,000**
				812	\$961,000	832	\$981,000		

\*\* 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 priorities rubric: "activities and services to increase access to the number of historically under-represented

students that support program requirements."

## 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 STEP-SED. See E. Transfer of Funds below for additional information.
3. Program changes (especially personnel) 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 counseling, financial aid counseling, career counseling, college readiness counseling, 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 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, such as field trips, STEP student conference expenses, program achievement/awards, and related fees/charges, including charges for recreational facilities and activities, 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 STEP-SED. If a program closes, any equipment purchased with STEP-SED funds must be released for transfer to another STEP program so that equipment continues to support STEP students. STEP-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 NYSED liaison).
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.

Adjustments to an award amount will occur if items within the proposed budget are deemed to be non-allowable or inappropriate.

#### 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 :
  - i. Equipment purchases
  - ii. Stipends
  - iii. 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 Benefits

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 15<sup>th</sup>.
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 sufficient access to and use of space needed to conduct the following: group meetings/workshops, conferencing, confidential academic and/or financial counseling, program administration, and tutoring services. Should a conflict regarding this provision arise, STEP-SED shall investigate the situation and issue a written decision regarding the adequacy of the access and space.
    - c. Projects must be conducted at a facility, which will, to the greatest extent possible, meet the accessibility needs of individuals with disabilities who will participate in project activities.
    - d. The institutions conducting the programs are responsible for reasonable accommodations, such as interpreters, assistive listening devices, large print or Braille materials, etc.
  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 STEP-SED and the institution.
    - b. The budget indicating matching funds may be amended only upon the written agreement of both parties.
- G. STEP Payment Schedule
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 STEP-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. This is due to STEP-SED no later than April 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 <http://www.oms.nysed.gov/cafe/guidance/guidelines.html>.
  3. Not-for-Profit Applicants:
    - a. The initial payment of 25% 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**).

For-Profit Applicants:

- a. Funds will be distributed using the SED grant contract process. 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:

- a. 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.
- b. 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.
- c. Student records must be maintained for six years after the student graduates.
- d. 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.
- e. 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, 2015, but must be completed by June 30, 2016. 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, regular mail, or fax. 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 STEP-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 as well as the initial expenditures and activities in operating the STEP in a form and manner prescribed by STEP-SED. The STEP student headcount indicated on the report will be used to ensure that the institution has met their

budgeted STEP student headcount. The mid-year report shall cover the period from July 1 through December 31.

- b. The final program report is due on September 15<sup>th</sup> 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 STEP-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 priorities and the extent to which the priorities were achieved.
  - ii. Plans for program change, expansion and development.
  - iii. An itemization of the institution's support of such program during the contract period including the use of outside (Federal, State and local) funds.
  - iv. The extent and nature of faculty, staff, student, and community involvement and participation in program planning and development.
  - v. Data:
    - i. on the persistence rate of participating students;
    - ii. on the persistence rate of participating students in completing mathematics and science courses in an academic track;
    - iii. 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 will be required to 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 STEP-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**

### **Vendor Responsibility**

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

[http://www.osc.state.ny.us/vendrep/resources\\_docreq\\_agency.htm](http://www.osc.state.ny.us/vendrep/resources_docreq_agency.htm).

NYSED recommends that vendors file the required Vendor Responsibility Questionnaire online via the New York State VendRep System. To enroll in and use the New York State VendRep System, see the VendRep System Instructions available at [http://www.osc.state.ny.us/vendrep/vendor\\_index.htm](http://www.osc.state.ny.us/vendrep/vendor_index.htm) or go directly to the VendRep System online at <https://portal.osc.state.ny.us>.

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

Vendors opting to complete and submit a paper questionnaire can obtain the appropriate questionnaire from the VendRep website [www.osc.state.ny.us/vendrep](http://www.osc.state.ny.us/vendrep) or may contact NYSED or the Office of the State Comptroller's Help Desk for a copy of the paper form.

#### Subcontractors:

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

- 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

### **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 20% of each applicant's total discretionary non-personal service budget over the entire term of the grant. Discretionary non-personal service budget is defined as total 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.

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

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

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

#### **METHODS TO COMPLY**

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

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

##### **COMPLETE FORMS:**

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

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

##### **COMPLETE FORMS:**

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

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

##### **COMPLETE FORMS:**

M/WBE Goal Calculation Worksheet  
M/WBE Cover Letter  
M/WBE 101 Request for Waiver

## **GOOD FAITH EFFORTS**

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

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

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

## **REQUEST FOR WAIVER**

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

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

All payments to Minority and Women-Owned Business Enterprise subcontractor(s) should be reported to the NYSED M/WBE Program Unit using the M/WBE 103 Quarterly M/WBE Compliance Report. This report should be submitted on a quarterly basis and can be found at [www.oms.nysed.gov/fiscal/MWBE/forms.html](http://www.oms.nysed.gov/fiscal/MWBE/forms.html).

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

## **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 which 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 Reform Website \(http://www.grantsreform.ny.gov/\)](http://www.grantsreform.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 5:00 PM on 04/14/15 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](#) ([http://www.grantsreform.ny.gov/sites/default/files/docs/VENDOR\\_POLICY\\_MANUAL\\_V.2\\_10.10.13.pdf](http://www.grantsreform.ny.gov/sites/default/files/docs/VENDOR_POLICY_MANUAL_V.2_10.10.13.pdf)) on the Grants Reform Website details the requirements and an [online tutorial](#) (<http://grantsreform.ny.gov/youtube>) are available to walk users through the process.

### 1) Register for the Grants Gateway.

- On the Grants Reform Website, download a copy of the [Registration Form for Administrator](#) (<http://grantsreform.ny.gov/sites/default/files/RegistrationFormforAdministratorfillable.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 have previously registered and do not know your Username please email [grantsreform@budget.ny.gov](mailto:grantsreform@budget.ny.gov). If you do not know your Password please click the [Forgot Password](#) ([https://grantsgateway.ny.gov/IntelliGrants\\_NYSGG/PersonPassword2.aspx?Mode=Forgot](https://grantsgateway.ny.gov/IntelliGrants_NYSGG/PersonPassword2.aspx?Mode=Forgot)) link from the main log in 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. 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@mail.nysed.gov](mailto:prequal@mail.nysed.gov) or to the Grants Reform Team at [grantsreform@budget.ny.gov](mailto:grantsreform@budget.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.**

## 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 Appendix A – STANDARD CLAUSES FOR NEW YORK STATE CONTRACTS states that in accordance with Section 142 of the State Finance Law, a contract shall be void and of no force and effect unless the contractor provides and maintains coverage during the life of the contract for the benefit of such employees as are required to be covered by the provisions of the WCL. Under provisions of the 2007 Workers' Compensation Reform Legislation (WCL Section 141-b), any person, or entity substantially owned by that person: subject to a final assessment of civil fines or penalties, subject to a stop-work order, or convicted of a misdemeanor for violation of Workers' Compensation laws Section 52 or 131, is barred from bidding on, or being awarded, any public work contract or subcontract with the State, any municipal corporation or public body for one year for each violation. The ban is five years for each felony conviction.
3. Proof of Coverage Requirements
  - a. 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
  - a. 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:
  - b. 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
  - c. Form SI-12– Certificate of Workers' Compensation Self-Insurance; or Form GSI-105.2 Certificate of Participation in Workers' Compensation Group Self-Insurance; or
  - d. 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.

### **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**

Interested institutions must submit one original and **two** copies of the Application for Funding along with a flash drive containing a complete electronic copy (including attachments) of the proposal in one PDF file and a copy of the budget documents (FS-10, Composite Budget, and Budget Narrative) in separate PDF files. **The original must be clearly identified with original signature (in blue ink) of the CEO or designee.**

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

- A. Cover Page
- B. Proposal application checklist (Attachment III)
- C. Table of Contents (including page numbers)
- D. Abstract
- E. Proposal Narrative
- F. The Budget should include the FS-10 budget form, composite budget, and a budget narrative, which provides explanation and background justification for all State STEP expenses entered onto the FS-10. Budget Narrative justifies all proposed expenditures, which must include details clarifying their nature, and the method of the calculation for each cost. The budget narrative should not exceed 10 pages and should be organized in the order of the categories on the FS-10.
- G. For Non-Profit, and For-Profit Institutions  
Proposed Budget for a Federal or State Project (FS-10).  
Website: <http://www.oms.nysed.gov/cafe/forms.html>
- H. New Payee Information Form (if required)
- I. Statement of Assurances with the original signature of the CEO or designee
- J. M/WBE Package

## **XV. NARRATIVE FORMAT**

The proposal narrative should describe all 2015-2020 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. The maximum length of the proposal narrative is 30 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, 1.5 spaced, with a standard 1" margin. The name of the institution should 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 requirements for inclusion in the narrative. Proposals that are presented in the requested format facilitate the review process. Applications that do not follow the format described in this document or that fail to include all information requested under each major category may lose points. 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 minimum average score of 45 on the narrative section (A-F) is required to be further considered for a grant.

### **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 effective collaborative educational programs with neighboring secondary schools. (5 points)

### **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 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) by the end of the 2015-2020 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.). Include a letter of support from participating programs. (3 points)

2. 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 a letter of support from key campus resources, departments or faculty. (2 points)
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 points)
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 points)

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

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 counseling, 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 points)
2. Describe the activities to increase student involvement in research, internships, college level coursework and/or service learning. (6 points)
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 and the Common Core curriculum. (6 points)
4. Describe how the project will implement a parent component with clearly defined roles, responsibilities, and activities. (6 points)
5. Describe Day of Service planning, implementation, and assessment for participation by STEP students in their local community or the local community of the institution. These events are meant to both bring a highlight to the experience of STEP students in education for the licensed professions, scientific, and technical fields, and to provide an opportunity to showcase community collaboration in utilizing the skills learned in the classroom. (6 points)
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 how the STEP Advisory Committee will assist with upcoming programming and the self-review process. (6 points)
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 points)

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. 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 points)
2. 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 points)
  3. Describe other nonacademic criteria that will be considered in the student selection process. (2 points)
- E. Retention: (4 points)
- a. Describe how your program plans to retain students. Discuss how the plan differs from grade level to grade level, addressing all grades (7-12).
  - b. Provide a timeline (e.g., summer, fall, winter, spring) of your recruitment and retention activities.
- 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 point)
  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. 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 point)
  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 points)
  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 point)
- G. Budget/Budget Narrative (25 points)
- The Budget narrative shall be a detailed written explanation of the use of state STEP funds in each of the expenditures on the FS-10. The budget narrative will ensure that funds are expended for allowable STEP activities.

- Complete an FS-10 that shows all expenses requested from STEP funds. The FS-10 form may be found at: <http://www.oms.nysed.gov/cafe/forms/> Applications shall include the FS-10 in MS Excel format.
- Complete the STEP Composite Budget Form (Attachment II) to indicate the proposed expenditures for the project from July 1, 2015 through June 30, 2016. The 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.**

**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.

<b>Section</b>	<b>Points</b>
<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, related business/ industry and professions</li> <li>4. Statewide and regional activities</li> </ol>	<b>10</b> (3) (2) (2) (3)
<b>C. Program Requirements (Performance Matrix)</b> Program Requirements and Measures of Positive Performance <ol style="list-style-type: none"> <li>1. Describe program services and activities that include: tutoring, academic counseling, 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 and the Common Core curriculum.</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 STEP students in their local community or the local community of the institution.</li> <li>6. Describe the activities to develop and implement a STEP Advisory Committee with membership representatives from various stakeholder groups.</li> <li>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.</li> </ol>	<b>42</b> (6) (6) (6) (6) (6) (6) (6)
<b>D. Recruitment</b> <ol style="list-style-type: none"> <li>1. Describe all strategies and activities to recruit and select targeted STEP participants</li> <li>2. Describe the process and criteria to select participants for various components of the program</li> <li>3. Describe other nonacademic criteria that will be considered in the student selection process.</li> </ol>	<b>9</b> (5) (2) (2)
<b>E. Retention</b> Description of student retention and tracking activities	<b>4</b> (4)
<b>F. Project Staffing &amp; Management</b> <ol style="list-style-type: none"> <li>1. Position descriptions</li> <li>2. Resumes of project staff</li> <li>3. Management plan</li> <li>4. Organizational charts</li> </ol>	<b>5</b> (1) (1) (2) (1)
<b>G. Budget –</b> <b>Not-for Profit applicants – budget narrative, FS-10, Composite Budget</b> <b>For – Profit applicants - Scored by Contract Administration Unit</b>	<b>25</b>
<b>TOTAL</b>	<b>100</b>

## **XVII. METHOD OF DETERMINING AWARD:**

1. A minimum average score of 45 on the narrative section is considered passing and required to be further considered for a grant.

### **Method of Award:**

1. Awarding of Funds to Not-for-Profit Institutions
  - a. The Narrative Application scores will be determined by two reviewers. The narrative section is worth a total of 75 points. An applicant must receive a minimum average of 45 points on their Narrative Application in order to be eligible.
  - b. 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.
  - c. 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.
  - d. If, however, the two reviewer's scores show a discrepancy of more than 20 points, the proposal will go to a third reviewer. After the third review, the mathematical average of all three reviewer's scores will be the final score.
  - e. 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.
  - f. In the event of a tie score, the tie breaker will be the highest score on the Narrative Application.
  - g. If the scores remain tied after this step, a second tiebreaker will be the applicant with the highest score in the Program Requirement section will be ranked higher.
  - h. 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.
2. Awarding of Funds to For-Profit Institutions
  - a. A maximum of \$450,000 will be set aside for the highest ranking for-profit applicants statewide.
  - b. For-profit applicants must receive an average passing score of 45 points or more on the Narrative Application in order to be eligible (valued at 75 points total).
  - c. The budget section of the proposal represents 25 points of the final score.
    - Twenty (20) points will be awarded pursuant to a formula that measures cost per student. 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.
  - d. In the event of a tie score, the tie breaker will be the highest score on the Narrative Application.

- e. 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.
- f. 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.
- g. 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 five (5) business days of receiving notice of non-award from NYSED. Applicants may request a debriefing letter on the selection process regarding this RFP by submitting a written request to the Fiscal Contact person at:

NYS Education Department  
Contract Administration Unit  
89 Washington Avenue  
Room 501W EB  
Albany, NY 12234

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 may protest the NYSED award decision subject to the following:

1. The protest must be in writing and must contain specific factual and/or legal allegations setting forth the basis on which the protesting party challenges the contract award by NYSED.
2. Applicants must request a debriefing prior to initiating a Contract Award protest.



3. The protest must be filed within ten (10) business days of receipt of a debriefing. The protest letter must be filed with:

NYS Education Department  
Contract Administration Unit  
89 Washington Avenue  
Room 501W EB  
Albany, NY 12234

4. 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.
5. 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.

**SCIENCE AND TECHNOLOGY ENTRY PROGRAM (STEP) 2015-2020 Application**  
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 containing a complete electronic copy (to include attachments) of the proposal in one PDF file and a copy of the budget documents (FS-10, Composite Budget, and Budget Narrative) in separate PDF files must be postmarked no later than April 14, 2015.

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

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

Institution Contact: \_\_\_\_\_

Title: \_\_\_\_\_

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

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

E-mail address: \_\_\_\_\_

Annual Projected number of  
Program participants:

\_\_\_\_\_ \*Summer      \_\_\_\_\_ Academic year      \_\_\_\_\_ \*\* Unduplicated Count

*\*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.*

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

\_\_\_\_\_

If you are applying as part of a consortium list your member institutions: \_\_\_\_\_

I hereby certify that I am the applicant's chief school/administrative officer and that the information contained in this application is, to the best of my knowledge, complete and accurate. I further certify, to the best of my knowledge, that any ensuing program and activity will be conducted in accordance with all applicable Federal and State laws and regulations, application guidelines and instructions, Assurances, Certifications, Appendix A, Appendix A-1G and that the requested budget amounts are necessary for the implementation of this project. It is understood by the applicant that this application constitutes an offer and, if accepted by the NYS Education Department or renegotiated to acceptance, will form a binding agreement. It is also understood by the applicant that immediate written notice will be provided to the grant program office if at any time the applicant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

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

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

President name: \_\_\_\_\_

President signature: \_\_\_\_\_ Date: \_\_\_\_\_

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

**Table of Contents**

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

(Page 3 of 15 )

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 \_\_\_\_\_

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

**Project operation (check 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: No. of weeks \_\_\_\_\_ Days per week \_\_\_\_\_

Academic year only: No. of weeks \_\_\_\_\_ After school: No. of hours per week \_\_\_\_\_

Summer and academic year: Total No. of weeks \_\_\_\_\_  
Saturday: No. of hours per week \_\_\_\_\_

**Programs should operate a minimum of 18 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 by the end of the 2015-2020 grant/contract cycle.**

\_\_\_\_\_ Seventh grade

\_\_\_\_\_ Eighth grade

\_\_\_\_\_ Ninth grade

\_\_\_\_\_ Tenth grade

\_\_\_\_\_ Eleventh grade

\_\_\_\_\_ Twelfth grade

\_\_\_\_\_ TOTAL

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

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

Using the template found below, provide a separate chart for each requirement. All of 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:

1. 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.
2. For each activity and service, indicate the staff that will be responsible for the implementation of each objective.
3. For each activity and/or service, indicate the full-time equivalent (FTE). **Full-time equivalent (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 his or her time on the project; an FTE of 0.5 signifies that the worker spends half of his or her time serving the project.
4. 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)

**Program Requirement 1:** Describe academic program services and activities that include tutoring, academic and career counseling, 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>	We do 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>	We actively measure 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	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>



<b>Program Requirement 2:</b> 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>	We are unable to provide services to increase student involvement in research, internships, and college level coursework and/or service learning.			
<b>Developing Level 2</b>	We encourage 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>	We actively work 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	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>

**Program 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>	We do 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>	We encourage 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>	We encourage 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	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>

<b>Program Requirement 4:</b> Implement a parent component with clearly defined roles, responsibilities, and activities. Outline the relationship between the parent and the program.				
<b>Level</b>	<b>Measure of Positive Performance</b>			
<b>Beginning Level 1</b>	We have not developed a parent component for our project.			
<b>Developing Level 2</b>	We have a core group of parents with whom we meet regularly.			
<b>Proficient Level 3</b>	We have 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>	<b>Staff Responsible</b>	<b>FTE</b>	<b>Level</b>	<b>Measure of Positive Performance</b>
First Year:				<u><b>Describe performance outcomes using qualitative and quantitative measures:</b></u>
Second Year:				<u><b>Describe performance outcomes using qualitative and quantitative measures:</b></u>
Third Year:				<u><b>Describe performance outcomes using qualitative and quantitative measures:</b></u>
Fourth Year:				<u><b>Describe performance outcomes using qualitative and quantitative measures:</b></u>
Fifth Year:				<u><b>Describe performance outcomes using qualitative and quantitative measures:</b></u>

<b>Program Requirement 5: Describe Day of Service planning, implementation, and assessment.</b>				
<b>Level</b>	<b>Measure of Positive Performance</b>			
<b>Beginning Level 1</b>	We have not participated in Day-of-Service activities but we provide prospective students and parents with information.			
<b>Developing Level 2</b>	We participate 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>	We offer 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.			
<b>Activities/Services</b>	<b>Staff Responsible</b>	<b>FTE</b>	<b>Level</b>	<b>Measure of Positive Performance</b>
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>

<b>Program Requirement 6:</b> 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>	We have not developed a STEP Advisory Committee component for our project.			
<b>Developing Level 2</b>	We have a core group of key stakeholders with whom we meet on an informal basis to discuss STEP initiatives.			
<b>Proficient Level 3</b>	We have 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	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>

<b>Program Requirement 7:</b> Provide <b>student</b> 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>		We do 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>		We do 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>		We 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.		
Activities/Services	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>



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

<b>STEP 2015-2016 COMPOSITE BUDGET</b>
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\*ROUND CENTS TO THE NEAREST DOLLAR

Line No.	Expenditure Category	Code	STEP (1)	Institution (2)	Other Sources (3)	TOTAL (4)
1	<b>Salaries for Professional Personnel</b>	15				
2	<b>Salaries for Non-Professional Personnel</b>	16				
	a. Clerical/Secretarial					
	b. Student Assistants					
	c. Other					
3	<b>Purchased Services</b>	40				
4	<b>Supplies &amp; Materials</b>	45				
	a. Instructional					
	b. Other					
5	<b>Travel Expenses</b>	46				
	a. Student/Programmatic					
	b. Staff/Administrative					
6	<b>Employee Benefits</b>	80				
	a. Professional__%					
	b. Clerical/Secretarial__%					
	c. Student Assistants__%					
	d. Other__%					
7	<b>SUBTOTAL of Lines 1-6</b>					
8	<b>Indirect Cost*</b>	90				
9	<b>Minor Remodeling</b>	30				
10	<b>Equipment</b>	20				
11	<b>GRAND TOTAL (Lines 7 - 10)</b>					

\*Expenditures for Indirect Cost may not exceed 8% of CSTEP funds (col. 1, line 7). Expenditures for Indirect Cost may not exceed 20% of institutional funds (SUBTOTAL col. 2, line 7). Equipment is not included when computing Indirect Cost.

\*\* The institutional match (GRAND TOTAL col. 2 & 3, line 11) must be at least 25% of the grant award (GRAND TOTAL col. 1, line 11)

**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/>

## 2015-2020 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.

<u>Request for Proposal Sections</u>	<u>Checked-Applicant</u>	<u>Checked-SED</u>
A. 2015-2020 Cover page/Application for Funding (Original signature required)	<input type="checkbox"/>	<input type="checkbox"/>
B. Proposal Application Checklist	<input type="checkbox"/>	<input type="checkbox"/>
C. Is the applicant Pre-Qualified? (While not an application component, non-profit applicants must be prequalified in order to be eligible for this grant opportunity)	<input type="checkbox"/>	<input type="checkbox"/>
D. Table of Contents	<input type="checkbox"/>	<input type="checkbox"/>
E. Abstract	<input type="checkbox"/>	<input type="checkbox"/>
F. Proposal Narrative	<input type="checkbox"/>	<input type="checkbox"/>
G. Statement of Assurances (Original Signature Required)	<input type="checkbox"/>	<input type="checkbox"/>
H. Vendor Responsibility Questionnaire (Acknowledgement of Completion)	<input type="checkbox"/>	<input type="checkbox"/>
I. 2015-2016 Proposed Budget Form FS-10 and written budget narrative	<input type="checkbox"/>	<input type="checkbox"/>
J. STEP Composite Budget	<input type="checkbox"/>	<input type="checkbox"/>
K. New Payee Information PI-1 Form If necessary (Original signature)	<input type="checkbox"/>	<input type="checkbox"/>
L. Workers Compensation Documentation (encouraged)	<input type="checkbox"/>	<input type="checkbox"/>
M. Disability Benefits Documentation (encouraged)	<input type="checkbox"/>	<input type="checkbox"/>

**M/WBE Documents Package (original signatures required)**

Full Participation       Request Partial Waiver       Request Total Waiver

	<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"/>	N/A
<b>M/WBE 102</b> Notice of Intent to Participate	<input type="checkbox"/>	<input type="checkbox"/>	N/A
<b>M/WBE 105</b> Contractor's Good Faith Efforts	N/A	<input type="checkbox"/>	<input type="checkbox"/>
<b>M/WBE 101</b> Request for Waiver Form and Instructions	N/A	<input type="checkbox"/>	<input type="checkbox"/>
<b>EEO 100</b> Staffing Plan and Instructions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**SED Comments:**

Has the applicant complied with the application instructions?  Yes  No

SED Reviewer: \_\_\_\_\_ Date: \_\_\_\_\_

PROPOSAL REVIEW CRITERIA  
SCIENCE AND TECHNOLOGY ENTRY PROGRAM  
2015-2020

**FOR USE BY NYSED APPLICATION REVIEW COMMITTEE**

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

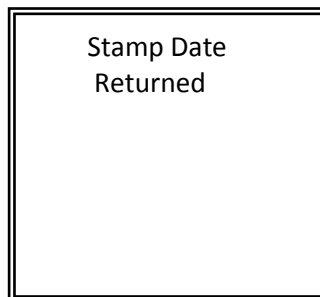
Proposal Number \_\_\_\_\_

Date Sent to Reviewer: \_\_\_\_\_

Reviewer: \_\_\_\_\_  
(Name Signature)

Total Score: \_\_\_\_\_

Please rate and provide detailed comments for each category at the end of the review sheet. Indicate strengths and weaknesses of this proposal and make suggestions for improvement. State your concerns and recommendations clearly because they may be presented to the proposing institution/entity for a response. Further, comments and concerns will be helpful to Science and Technology Entry Program staff as they provide technical assistance to improve and enhance funded programs. If you need additional space, please feel free to staple additional pages to this form and indicate the item to which each comment refers.



**STEP Reviewer's Criteria**

	Excellent (Max Score)	Good	Fair	Poor	Not Found	Your Rating
<b>A. Institutional Expertise [5 Points]</b>						
1. 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 effective collaborative educational programs with neighboring secondary schools.	5	4	3	2	0	
SUBTOTAL						
<b>Comments:</b>						

	Excellent (Max Score)	Good	Fair	Poor	Not Found	Your Rating
<p><b>B. Cooperative Relationships [10 points]</b> 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.</p> <p>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.</p>						
<p>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 services to all grade levels (7-12) by the end of the 2015-2020 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 a letter/MOU from participating programs.</p>	3	2	1	.5	0	
<p>2. 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 a letter of support from key campus resources, departments or faculty.</p>	2	1	.5	.25	0	
<p>3. Describe how government agencies, business, and/or industry in scientific and</p>	2	1	.5	.25	0	

licensed professions will participate in the planning and implementation of the project. Include a letter of support from participating program.						
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	2	1	.5	0	
SUBTOTAL						
<b>Comments:</b>						



Program Requirements and Measures of Positive Performance Matrix	Excellent (Max Score)	Good	Fair	Poor	Not Found	Your Rating
<b>C-1.</b> Describe program services and activities that include: tutoring, academic, career and financial aid counseling, 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. <b>[6 points]</b>						
1. The applicant describes activities and services that support this program requirement.	3	2	1	.5	0	
2. The applicant describes the performance criteria and how positive performance will be verified.	3	2	1	.5	0	
SUBTOTAL						
<b>Comments:</b>						

Program Requirements and Measures of Positive Performance Matrix	Excellent (Max Score)	Good	Fair	Poor	Not Found	Your Rating
<b>C-2.</b> Describe the activities to increase student involvement in research, internships, college level coursework and/or service learning. <b>[6 points]</b>						
1. The applicant describes activities and services to support this program requirement.	3	2	1	.5	0	
2. The applicant describes the performance criteria and how positive performance will be verified.	3	2	1	.5	0	
SUBTOTAL						
<b>Comments:</b>						

<b>Program Requirements and Measures of Positive Performance Matrix</b>	Excellent (Max Score)	Good	Fair	Poor	Not Found	Your Rating
<b>C-3.</b> Describe the activities to enhance student skills in mathematics and the sciences that will facilitate the skills necessary to complete an Advanced Regents Diploma and the Common Core curriculum. <b>[6 points]</b>						
1. The applicant describes activities and services that support this program requirement.	3	2	1	.5	0	
2. The applicant describes the performance criteria and how positive performance will be verified.	3	2	1	.5	0	
SUBTOTAL						
<b>Comments:</b>						

<b>Program Requirements and Measures of Positive Performance Matrix</b>	<i>Excellent (Max Score)</i>	<i>Good</i>	<i>Fair</i>	<i>Poor</i>	<i>Not Found</i>	<i>Your Rating</i>
<b>C-4.</b> 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. <b>[6 points]</b>						
1. The applicant describes activities and services that support this program requirement.	3	2	1	.5	0	
2. The applicant describes the performance criteria and how positive performance will be verified.	3	2	1	.5	0	
SUBTOTAL						
<b>Comments:</b>						

<b>Program Requirements and Measures of Positive Performance Matrix</b>	Excellent (Max Score)	Good	Fair	Poor	Not Found	Your Rating
<p><b>C-5.</b> Describe Day of Service planning, implementation, and assessment for participation by STEP students in their local community or the local community of the institution. These events are meant to both bring a highlight to the experience of STEP students in education for the licensed professions, scientific, and technical fields, and to provide an opportunity to showcase community collaboration in utilizing the skills learned in the classroom.</p> <p><b>[6 points]</b></p>						
<p>1. The applicant describes activities and services that support this program requirement.</p>	3	2	1	.5	0	
<p>2. The applicant describes the performance criteria and how positive performance will be verified.</p>	3	2	1	.5	0	
<p>SUBTOTAL</p>						
<p><b>Comments:</b></p>						

<b>Program Requirements and Measures of Positive Performance Matrix</b>	Excellent (Max Score)	Good	Fair	Poor	Not Found	Your Rating
<b>C-6.</b> 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. <b>[6 points]</b>						
1. The applicant describes activities and services that support this program requirement.	3	2	1	.5	0	
2. The applicant describes the performance criteria and how positive performance will be verified.	3	2	1	.5	0	
SUBTOTAL						
<b>Comments:</b>						

<b>Program Requirements and Measures of Positive Performance Matrix</b>	Excellent (Max Score)	Good	Fair	Poor	Not Found	Your Rating
<b>C-7.</b> Describe activities that support <b>student</b> 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. <b>[6 points]</b>						
1. The applicant describes activities and services that support this program requirement.	3	2	1	.5	0	
2. The applicant describes the performance criteria and how positive performance will be verified.	3	2	1	.5	0	
SUBTOTAL						
<b>Comments:</b>						

	Excellent (Max Score)	Good	Fair	Poor	Not Found	Your Rating
<b>D. Recruitment [9 points]</b>						
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. 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	4	3	2	0	
2. 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	.25	0	
3. Describe other nonacademic criteria that will be considered in the student selection process.	2	1	.5	.25	0	
SUBTOTAL						
<b>Comments:</b>						

	Excellent (Max Score)	Good	Fair	Poor	Not Found	Your Rating
<b>E. Retention [4 points]</b>						
1. 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	.25	0	
2. Provide a timeline (e.g., summer, fall, winter, spring) of your activities.	2	1	.5	.25	0	
SUBTOTAL						
<b>Comments:</b>						



	Excellent (Max Score)	Good	Fair	Poor	Not Found	Your Rating
<b>F. Project Staffing and Management [5 points]</b>						
1. 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	
2. 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	
3. 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	.25	0	

4. 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	
SUBTOTAL						
<b>Comments:</b>						

**TECHNICAL PROPOSAL RATING SCORE**

**Proposal narrative score:**

A.	Institutional Expertise	_____	(5 pt. max)
B.	Cooperative Relationships	_____	(10 pt. max)
C.	Program Requirements And Measures of Positive Performance	_____	(42 pt. max)
D.	Recruitment	_____	(9pt. max)
E.	Retention	_____	(4 pt. max)
F.	Project Staffing/Management	_____	(5 pt. max)
	Total A-F =	_____	(75 pts. Maximum)

Applicants must receive an average passing score of 45 points or more on the Proposal Narrative in order to be eligible

<b>FISCAL VIABILITY 25 POINTS</b> <b>APPLIES TO NOT-FOR-PROFIT INSTITUTIONS ONLY</b> <b>FROM THE COMPOSITE BUDGET, FS-10 AND BUDGET NARRATIVE</b>					
<b><u>Standard</u></b>	<b><u>Excellent</u></b>	<b><u>Good</u></b>	<b><u>Fair</u></b>	<b><u>Poor</u></b>	<b><u>Not Found</u></b>
	<b>5 Points</b>	<b>4 Points</b>	<b>3 Points</b>	<b>2 Point</b>	<b>0</b>
Description and justification of the costs in Professional and Support Service staffing (all items are appropriately budgeted and clearly supported as essential to the operation of STEP)					
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)					
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)					
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)					
Description and justification of the amount and categories of the institutional match as fund on the Composite Budget.					
<b>Instructions:</b> Enter Score					
<b><u>Comments:</u></b>					

<b>FISCAL VIABILITY NON-PROFIT INSTITUTIONS [25]</b>	<b>Possible Points</b>	<b>Score</b>
Staffing	5	
Purchased Services Expenses	5	
Supplies and Materials	5	
Travel	5	
Institutional Match	5	
<b>Total Fiscal Viability NON-PROFIT INSTITUTIONS</b>	<b>25</b>	<b>_____</b>
<b>PART 3 FISCAL VIABILITY FOR PROFIT INSTITUTIONS [25]</b>		
	<b>Possible Points</b>	<b>Score</b>
Best Value Total State Grant Cost	20	
Best Value Institutional Match	5	
<b>Total Fiscal Viability FOR-PROFIT INSTITUTIONS</b>	<b>25</b>	<b>_____</b>
<b>Total Fiscal Viability</b>	<b>25</b>	

<b>GRAND TOTAL</b>		
Proposal Narrative	75	
Budget	25	
<b>GRAND TOTAL SCORE</b>	<b>100</b>	

**M/WBE Documents**

**M/WBE Goal Calculation Worksheet**

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

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

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

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

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

	<b>Budget Category</b>	<b>Amount budgeted for items excluded from M/WBE calculation</b>	<b>Totals</b>
<b>1.</b>	<b>Total Budget</b>		
<b>2.</b>	<b>Professional Salaries</b>		
<b>3.</b>	<b>Support Staff Salaries</b>		
<b>4.</b>	<b>Fringe Benefits</b>		
<b>5.</b>	<b>Indirect Costs</b>		
<b>6.</b>	<b>Rent/Lease/Utilities*</b>		
<b>7.</b>	<b>Sum of lines 2, 3 ,4 ,5, and 6</b>		
<b>8.</b>	<b>Line 1 minus Line 7</b>		
<b>9.</b>	<b>M/WBE Goal percentage (20%)</b>		<b>0.20</b>
<b>10.</b>	<b>Line 8 multiplied by Line 9 =MWBE goal amount</b>		

\*If not included in #5

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

**NAME OF GRANT PROGRAM** \_\_\_\_\_

**NAME OF APPLICANT** \_\_\_\_\_

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

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

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

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



## M/WBE UTILIZATION PLAN

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

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

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

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

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

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

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

NAME AND TITLE OF PREPARER: \_\_\_\_\_  
*(print or type)*

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

DATE \_\_\_\_\_

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

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

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

Bidder/Applicant Name: \_\_\_\_\_ Federal ID No.: \_\_\_\_\_  
Address: \_\_\_\_\_ Phone No.: \_\_\_\_\_  
City \_\_\_\_\_ State \_\_\_\_\_ Zip Code \_\_\_\_\_ E-mail: \_\_\_\_\_  
Signature of Authorized Representative of Bidder/Applicant's Firm \_\_\_\_\_  
Date: \_\_\_\_\_ Print or Type Name and Title of Authorized Representative of Bidder/Applicant's Firm \_\_\_\_\_

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

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

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

**DESIGNATION:**  MBE Subcontractor  WBE Subcontractor  MBE Supplier  WBE Supplier

**PART C - CERTIFICATION STATUS (CHECK ONE):**

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

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

The estimated dollar amount of the agreement \$ \_\_\_\_\_

\_\_\_\_\_ Date

\_\_\_\_\_  
Signature of Authorized Representative of M/WBE Firm

\_\_\_\_\_  
Printed or Typed Name and Title of Authorized Representative

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

PROJECT/CONTRACT # \_\_\_\_\_

I, \_\_\_\_\_  
(Bidder/Applicant)

\_\_\_\_\_ of \_\_\_\_\_  
(Title) (Company)

\_\_\_\_\_ ( ) \_\_\_\_\_  
(Address) (Telephone Number)

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

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

Submit additional pages as needed.

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

\_\_\_\_\_  
Date

**M/WBE CONTRACTOR UNAVAILABLE CERTIFICATION**

**RFP#/PROJECT NAME** \_\_\_\_\_

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

\_\_\_\_\_ (Address) \_\_\_\_\_ (Phone)

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

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

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

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

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

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

**REQUEST FOR WAIVER FORM**

**BIDDER/APPLICANT NAME:**

**TELEPHONE:**

**ADDRESS:**

**EMAIL:**

**FEDERAL ID NO.:**

**CITY, STATE, ZIPCODE:**

**RFP#/PROJECT NO.:**

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

<b>BIDDER/APPLICANT IS REQUESTING (check all that apply):</b>	
<input type="checkbox"/> <b>MBE Waiver</b> - A waiver of the MBE goal for this procurement is requested. <div style="margin-left: 40px;"> <input type="checkbox"/> Total                      <input type="checkbox"/> Partial _____%         </div>	<input type="checkbox"/> <b>WBE Waiver</b> - A waiver of the WBE goal for this procurement is requested. <div style="margin-left: 40px;"> <input type="checkbox"/> Total                                      <input type="checkbox"/> Partial _____%         </div>
<input type="checkbox"/> <b>Waiver Pending ESD Certification</b> (check here if subcontractor or supplier is not certified M/WBE, but an application for certification has been filed with Empire State Development)  Subcontractor/Supplier Name: _____ Date of application filing: _____	

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

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

NAME OF PREPARER: _____  TITLE OF PREPARER: _____  TELEPHONE: _____  EMAIL: _____	<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <th style="text-align: center; padding: 5px;"><b>FOR AUTHORIZED USE ONLY</b></th> </tr> <tr> <td style="padding: 5px;">           REVIEWED BY: _____             DATE: _____   <b>WAIVER GRANTED</b>   <input type="checkbox"/> YES   <input type="checkbox"/> NO  <input type="checkbox"/> TOTAL WAIVER                      <input type="checkbox"/> PARTIAL WAIVER  <input type="checkbox"/> ESD CERTIFICATION WAIVER                      <input type="checkbox"/> NOTICE OF DEFICIENCY  <input type="checkbox"/> CONDITIONAL WAIVER            COMMENTS: _____         </td> </tr> </table>	<b>FOR AUTHORIZED USE ONLY</b>	REVIEWED BY: _____  DATE: _____  <b>WAIVER GRANTED</b> <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> TOTAL WAIVER <input type="checkbox"/> PARTIAL WAIVER <input type="checkbox"/> ESD CERTIFICATION WAIVER <input type="checkbox"/> NOTICE OF DEFICIENCY <input type="checkbox"/> CONDITIONAL WAIVER COMMENTS: _____
<b>FOR AUTHORIZED USE ONLY</b>			
REVIEWED BY: _____  DATE: _____  <b>WAIVER GRANTED</b> <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> TOTAL WAIVER <input type="checkbox"/> PARTIAL WAIVER <input type="checkbox"/> ESD CERTIFICATION WAIVER <input type="checkbox"/> NOTICE OF DEFICIENCY <input type="checkbox"/> CONDITIONAL WAIVER COMMENTS: _____			

## REQUIREMENTS AND DOCUMENT SUBMISSION INSTRUCTIONS

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

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

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

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

Applicant Name: \_\_\_\_\_ Telephone: \_\_\_\_\_  
 Address: \_\_\_\_\_ Federal ID No.: \_\_\_\_\_  
 City, State, ZIP: \_\_\_\_\_ Project No: \_\_\_\_\_

Report includes:

Work force to be utilized on this contract OR

Applicant's total work force

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

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

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

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

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

TELEPHONE/EMAIL: \_\_\_\_\_

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. 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.
2. 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. Enter the name, title, phone number and email address for the person completing the form. Sign and date the form in designated areas.
6. 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.