Announcement of Funding Opportunity

Arthur O. Eve Higher Education Opportunity Program

Legislative	Section 6451 of the Education Law.		
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Authority	In May 1969, the New York State Legislature passed an amendment to		
	the Education Law that authorized a program to expand educational		
	opportunity in independent institutions of higher education. In 2016 the governor signed into law a new bill that amended the Education Law		
	6451. In the 2017-2018 Program Year, the Commissioner promulgated		
	changes to the Rules and Regulations 27-1 and 152-1 that were approved		
	by the Board of Regents to reflect the changes in the law.		
Purpose of	The primary objective of the Arthur O. Eve Higher Education Opportunity		
Grant	Program (HEOP) is to provide a broad range of services to New York State		
	residents who, because of educational and economic circumstances,		
	would otherwise be unable to attend a postsecondary educational		
	institution. Each HEOP institution must ensure that HEOP students are		
	provided with sufficient academic support services, tuition assistance,		
	supplemental financial assistance, and full need packaging to enable		
	them to successfully complete the institutional components required for		
	graduation.		
Project	2019-2024. Programs may begin as early as July 1, 2019 and must be		
Period	completed by June 30, 2024. The HEOP grant year runs from July 1 st to		
	June 30 th of each year.		
Eligible	Non-public institutions of higher education (including for-profit IHEs)		
Applicants	incorporated by the Legislature or chartered by the Board of Regents and		
	offering two or four-year degree programs registered with and approved		
	by the Board of Regents may submit proposals for program support.		
	Programs must serve matriculated students who are working toward a		
	degree.		
Amount of	An amount of \$35,632,544 was allocated for 2018-19 fiscal year. HEOP		
Funding	awards will be a maximum of \$7,000 per FTE (\$7,500 in the NY City		
	region) with a maximum 650 FTE for any one applicant and are subject to		
	the availability of funds. The program is operated on a five-year funding		
	cycle. Funds are appropriated by the legislature and Governor based		
	upon the State fiscal year; however, funds are contractually obligated		
	based upon the program year. A minimum of 15% match of the		
	requested HEOP grant is required from the institution's own resources.		
	Only those postsecondary institutions that are selected for a contract		
	award can be reimbursed for program expenses incurred.		

Application	Diasco submit one original and two	panias (both the narrative application	
Application	Please submit one original and two copies (both the narrative application		
Submission	and the budget/budget narrative) as well as one electronic copy of the		
Instructions,	complete application on a USB drive as follows:		
Due Date	 Narrative application, budget narrative and any attachments in 		
and Mailing	Word and/or searchable/editable PDF files		
Address	 The budget (FS10 form at <u>http://www.oms.nysed.gov/cafe</u>) and 		
	composite budget in Excel at		
	(http://www.highered.nysed.gov/kiap/colldev/HEOP/)		
	Please include one original signed cover sheet, one original signed FS10		
	budget form, and one original signed Acknowledgement Form in a		
	sealed envelope labeled "HEOP GC#19-008" postmarked by April 26 th ,		
	2019 to:		
	Not-for-profit applications	For-profit applications	
	New York State Education	NYS Education Department	
	Department	Attn: Adam Kutryb, RFP GC#19-008	
	Attn: Dan Nicolaescu	Bureau of Fiscal Management	
	HEOP-OPASS	Contract Administration Unit	
	89 Washington Avenue	89 Washington Avenue, Room	
	Room 960 EBA	501W EB	
	Albany, NY 12234	Albany, NY 12234	
Questions	Please submit questions via email to <u>HEOPRFP@nysed.gov</u> with the		
and	words RFP GC#19-008 in the subject line by March 25 th , 2019. A		
Answers	complete list of all Questions and Answers will be posted to		
	http://www.highered.nysed.gov/kiap/colldev/HEOP/ no later than April		
	12 th , 2019 together with a pre-recorded webcast.		
Non-	The Notice of Intent (NOI) is not a requirement for submitting a complete		
Mandatory	application by the application date; however, NYSED strongly encourages		
Notice of	all prospective applicants to submit an NOI to ensure a timely and		
Intent	thorough review and rating process. A non-profit applicant's NOI will also		
	help to facilitate timely review of its prequalification materials. The		
	notice of intent is a simple email notice stating your organization's (use		
	the legal name) intent to apply for this grant. Please also include your		
	organization's NYS Vendor ID. Please send the NOI to		
	HEOPRFP@nysed.gov with the words RFP GC#19-008 in the subject line		
	by April 10 th , 2019.		
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FERPA Statement

The New York State Education Department (NYSED) the regulating authority for education in New York State. NYSED is Federal Educational Rights and Privacy Act (FERPA) exempt as per the United States Department of Education's FERPA General Guidance, which states "There are several other exceptions to FERPA's prohibition against non-consensual disclosure of personally identifiable information from education records, some of which are briefly mentioned below. Under certain conditions (specified in the FERPA regulations), a school may non-consensually disclose personally identifiable information from education records: to authorized representatives of the Comptroller General of the United States, the Attorney General of the United States, the U.S. Secretary of Education, and State and local educational authorities for audit or evaluation of Federal or State supported education programs, or for the enforcement of or compliance with Federal legal requirements that relate to those programs"

http://www2.ed.gov/policy/gen/guid/fpco/ferpa/students.html

Non-Discrimination Statement

The New York State Education Department does not discriminate based on age, color, religion, sex, creed, disability, marital status, veteran status, national origin, race, gender, transgender status, genetic predisposition or carrier status, or sexual orientation in its educational programs, services and activities. Portion of any publication designed for distribution can be made available in a variety of formats, including Braille, large print or audiotape, upon request. Inquiries regarding this policy of nondiscrimination should be directed to the Department's Office for Diversity, Ethics, and Access, Room 530, Education Building, Albany, NY 12234.

Higher Education Opportunity Program (HEOP)

Application Guidance

Proposals submitted by the IHEs must comply with the requirements listed below. Items submitted that are outside the scope of this RFP will not be considered. Successful applications that include items outside the scope of the RFP may require revisions to ensure that any unacceptable components come into compliance.

A. Definitions of Frequently Used Terms

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

Arthur O. Eve Higher Education Opportunity Program (HEOP): An educational program approved by the NYS legislature that serves New York State residents who are both economically and educationally disadvantaged. HEOP provides a broad range of services to these students who, because of educational and economic circumstances, would otherwise be unable to attend postsecondary non-public educational institutions.

Commuter Student: A HEOP student who is living at home with parent(s) or guardian(s).

Compensatory Course: Supplementary courses designed to help educationally disadvantaged students reach high-levels of academic achievement and success.

Cost of attendance: For the purposes of ensuring full need packaging, the cost of attendance includes all costs associated with institutional attendance of a full-time undergraduate student, including but not limited to additional fees, books, housing, meal plan, and associated ancillary costs.

Current Program: This includes all institutions applying under this RFP which have existing HEOP.

Developmental Courses: Courses that combine pre-college and college-level material, with credit awarded for that portion of the course that is college-level work. There will be more classroom/contact hours for the student in such a course than in a regular catalog offering for the same credits. (Note: The NYS TAP can be used to provide reimbursement for credit hours only in developmental courses.)

Economically Disadvantaged student: An individual is economically disadvantaged if that person is a member of a household where the total annual income of such household is equal to or less than 185 percent of the amount under the annual United States Department of Health and Human Services poverty guidelines for the applicant's family size for the applicable year.

Educationally Disadvantaged student: An individual from a low-income family with potential for a successful collegiate experience, but who has not acquired the verbal, mathematical, and other

academic proficiencies required to complete college level work, and is not admissible, by the college's admissions standards.

First-time HEOP student: An individual who has never been matriculated at a postsecondary institution as a degree-seeking student in any regular semester or session prior to the HEOP Summer Program and has been accepted for enrollment by a participating HEOP institution.

Full Need Packaging: Total resources, including all grants, expected family and institution's contributions, work study, and loans to fully meet the needs of a student attending a HEOP institution (including room and board as needed); must be maintained for the duration of HEOP eligibility - even if the student loses TAP or its successor for any reason.

Full-Time Equivalent (FTE): The standard measuring unit used to calculate enrollment for students who are matriculated in a college or university.

General Admit Student: An individual who meets the admission standards of the accepting institution based on the criteria used by the school (i.e. test scores, high school average/GPA, school standing and other criteria).

Headcount: Refers to the actual number of students enrolled in a program regardless of the number of credit/semester hours for which they are enrolled.

HEOP Institution (IHE): A non-public institution, college or university incorporated by the New York State Board of Regents or the Legislature, or a school authorized by the Board of Regents to confer approved academic degrees which has been approved by NYSED as a legitimate academic organization for hosting the NYS funded Higher Education Opportunity Program.

HEOP Student: An individual who applied to, met the eligibility criteria based on Education Law 6451, was accepted at the IHE, completed the HEOP summer program, and matriculated at a participating HEOP institution.

HEOP Summer Program: A developmental and/or remedial program designed and hosted by a participating HEOP institution for newly admitted HEOP students. HEOP Summer Programs generally occur between July 1 and August 31 and are scheduled for <u>a minimum of four weeks to a maximum of eight weeks</u>.

Household: The total number of individuals living in the student's residence who are economically dependent on the same income as the one supporting the student as reported on FAFSA.

Institutional Match: The total amount of funds that the institution contributes towards HEOP from its own resources (state and federal grants are excluded) for the purposes of administering HEOP.

Matriculated Student: an individual who is enrolled at a college or university as a student and is working towards a degree. This student is usually enrolled in 12 or more credits per semester.

Maximum Allowable Loan: The maximum cumulative loan accrued by a HEOP student to complete a baccalaureate program.

New York State Resident: The applicant is a NYS resident as per Education Law (Section 661-5) if any of the following apply:

- 1. The student now resides in New York State and has lived in New York State for the last year of high school; or
- 2. The student was a NYS resident when the applicant entered military service, VISTA, or the Peace Corps and re-established New York State residency within six months after release from service; or
- The student has established residency in New York State at least one year before July 1st of the program year.

Education Law (Section 661-5) requires a student to be a legal resident of the state of New York to be eligible for most state scholarships and other awards. A New York court decision defined "residence" as the equivalent of "domicile" as it is used in the statute.

Non-public Institution: An accredited higher education institution in New York State not affiliated with the State University of New York (SUNY) or City University of New York (CUNY).

NYS Opportunity Program Student: a student who was determined to be eligible for and enrolled at one of the following NYS-opportunity programs: Educational Opportunity Program (EOP), Search for Education, Elevation, and Knowledge (SEEK), College Discovery (CD), and Higher Education Opportunity Program (HEOP).

Open Admissions: a non-competitive selection process that permits the admission of applicants regardless of their previous academic credentials or experiences.

Program Year: For purposes of these Guidelines, expenditures and activities occurring between July 1 and June 30 of the following year constitute a program year.

Remedial Course: Non-credit bearing courses usually for, but not limited to, the fields of English and mathematics, designed to prepare students for college level course work.

Resident Student: A student who does not live at home (with parents or guardians) during the academic year with criteria as follows: (a) an on-campus resident student is a student who lives in housing facilities owned and/or maintained by the institution; (b) an off-campus resident student is a student who does not live in institutionally-provided housing.

Senior level administrator: An institution employee who directly reports to either the institution's President and/or Chief Academic Officer (e.g. provost or Vice President of Academic Affairs).

Special Session: Interim sessions between academic year terms (i.e. summer session, winter session).

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

Start-up Programs: All institutions applying under this RFP that do not have a current Higher Education Opportunity Program at their institution.

Student with Disabilities: A student with a physical, mental or medical impairment resulting from anatomical, physiological, genetic or neurological conditions which prevents the exercise of a normal bodily function or is demonstrable by medically accepted clinical or laboratory diagnostic techniques or (b) a record of such an impairment or (c) a condition regarded by others as such an impairment, provided, however, that in all provisions of this article dealing with employment, the term shall be limited to disabilities which, upon the provision of reasonable accommodations, do not prevent the complainant from performing in a reasonable manner the activities involved in the job or occupation sought or held (New York State Human Rights Law § 292.21).

Waivers: A form of financial aid in which the school lowers or eliminates tuition or fee charges for qualified students.

B. Prequalification Requirement

The State of New York has implemented a new statewide prequalification process (described on the <u>Grants Management website</u>) designed to facilitate prompt contracting for not-for-profit vendors. **All not-for-profit vendors are required to pre-qualify prior to grant application.** This includes all currently funded not-for-profit institutions that have already received an award and are in the middle of the program cycle. The pre-qualification must be completed by all not-for-profit institutions prior to application in order to receive an award under this RFP. Please review the additional information regarding this requirement in the Prequalification for Individual Applications section below.

C. Description of Program

This program, as amended, is designed to support the screening, testing, counseling, tutoring, teaching, and partial financial assistance of New York State residents who:

- 1. Are graduates of an approved high school or have obtained a high school equivalency diploma or its equivalent;
- 2. Have potential for the successful completion of a higher education program; and
- 3. Are economically and educationally disadvantaged.

See section D. Student Eligibility below for detailed eligibility criteria.

Program Objectives

- 1. Provide access to postsecondary education to eligible students.
- 2. Identify, evaluate, and recruit eligible students and enable them to complete a higher education experience.
- 3. Improve the retention and graduation rates of disadvantaged students.

Full-time Higher Education Opportunity Programs

Students enrolled full-time in HEOP must carry a minimum of 12 credit hours or the equivalent per semester; therefore, the FTE for the program is calculated as follows:

Total credits for the program year for all students for all semesters (including the special sessions) in the program divided by 24.

A student enrolling for 12 or more credits in a term is using up one semester, or one-half (1/2) a year, of program eligibility.

Semesters of eligibility:

- 1. Two-year associate degree program: A student is allowed six semesters or equivalent of opportunity program eligibility
- 2. Four-year baccalaureate program: A student is allowed ten semesters or equivalent of opportunity program eligibility.
- 3. Five-year baccalaureate program: if a HEOP student is enrolled in a five-year registered academic program with NYSED requiring five years to complete (such as architecture, pharmacy and engineering), the student is eligible for up to 12 semesters of HEOP assistance.

The funds allocated by the Legislature are intended to supplement and expand, not supplant, existing efforts.

New York State Tuition Assistance Program (TAP): For students who participate in TAP, eligibility for five years is provided under Section 145-2.7 of the Commissioner's Regulations.

If, at any point during the program, a HEOP student loses TAP eligibility, that loss has no bearing on HEOP eligibility or funding. Eligibility for HEOP and eligibility for TAP are different and separate.

<u>Part-time student in a full-time program</u>: It is expected that all HEOP students enrolled in a program funded to serve full-time students will begin with a full-time academic course load. However, due to documented extenuating circumstances, a student may have to register for less than a full-time course load. Some examples include students with disabilities, medical problems or family responsibilities. The extenuating circumstances requiring less than full-time enrollment must be approved by the institution

and the documentation kept on file. If the qualified student needs to be on part-time status for more than four semesters in a four-year baccalaureate program (two semesters for an associate degree), the remaining eligibility will be calculated according to the part-time schedule below.

HEOP students attending part-time in a Full-Time program must enroll for at least six semester hours or the equivalent per term, except for graduating HEOP students in their last term when they can enroll for fewer hours than the minimum previously stated.

In requesting HEOP funds, both current and start-up program applicants must base the FTE number in their budget request on the number of students enrolled in the first year of the funding cycle. Start-up programs must include the projected FTEs for years 2-5, as these FTEs will be used to calculate budget awards for years 2-5. The total number of FTEs expected each year for current programs shall remain the same for the duration of the grant. For start-up programs, the total FTEs may steadily increase every year, as additional students enroll each year, until FTEs level off in the fourth year of funding.

Special Sessions

- NYSED funds are not available for continuing students to attend a special academic session without justification. It is the joint responsibility of the HEOP director and of an institutional financial aid officer to verify that all HEOP students attending a special session have a legitimate reason to do so. The institution is responsible and will be held accountable for this documentation.
- 2. If a student takes 12 or more credits or the equivalent during the special session, the student will have used one semester of eligibility.
- 3. Students are not using HEOP eligibility in a special session if:
 - a. The academic support services and financial assistance received by the students are funded by the institution and/or other sources only, and
 - b. The students are not reported on the HEOP roster for a special session.

Part-time Opportunity Programs

For part-time students enrolled in HEOP part-time the FTE is calculated as follows:

Part-time students FTE = Total credits attempted for the program year for all PT students in the program divided by 15.

Students part-time in HEOP must enroll for at least six semester hours or the equivalent per term. All academic terms for the program calendar year (July 1 - June 30) will be counted.

Part-time students in a part-time program can be enrolled in *special sessions* for 3 or more credits only in certain extenuating circumstances such as: students with disabilities, medical problems or family

responsibilities. This can happen for up to two semesters during their HEOP tenure as part-time students in a part-time program.

Credit hours of eligibility for part-time students:

- 1. Two-year associate degree program: A student is allowed 90 semester hours of eligibility.
- 2. Four-year baccalaureate program: A student is allowed 150 semester hours of eligibility.
- 3. Five-year baccalaureate program: A student is allowed 195 semester hours of eligibility.

Summer Program

An annual summer program is a mandatory requirement of HEOP. First-time HEOP students must be enrolled in a HEOP summer program. A HEOP summer program may occur at any time prior to the beginning of an institution's fall semester. It is strongly recommended that the summer program commence in early July and conclude by the middle of August. No applicant may have a proposal that includes a stipulation to allow first-time students to enroll in HEOP without attending the summer program.

HEOP Integration into the IHE Academic Community

HEOP is designed for economically and educationally disadvantaged students and must be an integral part of the college academic community. It must not be a peripheral activity segregated from other college programs. HEOP is an academic opportunity program and must be closely coordinated with the academic affairs at the institution.

The special economic and educational needs of HEOP students must be met. While admission and retention policies for HEOP students are expected to be flexible, institutions must determine a point at which the HEOP student will be subject to the same policies (such as academic probation or dismissal) as the general admit student population. Expectations for HEOP students must, however, not be less than the minimums on the institution's standard of academic progress chart filed with the NY State Education Department after the mid-point (i.e. 5 semesters for a four-year degree).

Supportive Academic Services

HEOP students must be academically supported through screening, pre-testing and post-testing evaluation, counseling, and tutoring. This includes instruction in, but not limited to, study skills and computer literacy, which can be achieved through workshops, seminars, and developmental and/or remedial courses. These services and/or strategies must be sufficiently tailored to meet the needs of HEOP students.

HEOP Office Organization and Administration

All programs must have a HEOP director. NYSED considers the role of the director pivotal to the implementation of a successful Higher Education Opportunity Program. The HEOP director is required

to be a minimum of 0.3 FTE dedicated to HEOP, however, NYSED recommends that the director is dedicated full-time to HEOP. HEOP funds or a combination of HEOP & institutional funds can be used to pay for the HEOP director's salary.

The HEOP director is responsible for providing leadership to HEOP and for the management of the contract and all related HEOP activities.

These activities include but are not limited to: on-site management of HEOP; management of the budget and amendments; planning, development, implementation and evaluation of programs and services; the hiring and supervision of staff; coordination of internal and external partnerships (e.g. IHE departments, high schools, community-based organizations et cetera); HEOP student recruitment, admissions and financial aid processes including student eligibility determination; data collection and reporting; and public relations.

The HEOP director must report to a senior level administrator of the institution. A senior level administrator is one who directly reports to either the institution's President, chief academic officer, and/or governing board. The institutions are strongly encouraged to have the HEOP director report to a Chief Academic Officer (e.g. provost or Vice President of Academic Affairs). The institution must clearly demonstrate how the program's organizational reporting will be integrated with the academic practices, policies, and personnel of the institution.

Any change in the structure or reporting relationship of the HEOP or the HEOP director must be reviewed and approved by NYSED prior to its implementation.

 HEOP Salary and Benefits: Salaries are negotiated by the institution with HEOP personnel; salaries and benefits must be equivalent with those paid to other campus employees with commensurate levels of training, skills, and responsibilities. HEOP staff is expected to receive treatment identical to other institutional officers of similar rank with respect to salary increases and employee benefits, including but not limited to tuition reimbursement, holiday and vacation leave, and health insurance coverage. Hourly paid educational assistants paid from HEOP funds must earn no less than the minimum wage in New York State.

It should be noted that salary increases may be requested for HEOP staff members from HEOP funds.

If HEOP personnel have non-HEOP responsibilities, institutional and/or other resources will also be required for their salaries. The institution's coverage of a portion of a salary for non-HEOP duties should not be reflected in the institutional match.

2. Institutional Officers: When HEOP funds are requested for regular line or staff officers of the institution (e.g., Financial Aid officer, Admissions officer), a job description is required detailing the duties to be performed that exceed what is normally expected of a person in such a position. This person must work under the direct supervision and guidance of the HEOP director for the HEOP specific duties.

- 3. Vacation and Holidays: In the absence of the institution's HEOP Director, NYSED requires that participating HEOP institutions designate professional staff that are involved with and knowledgeable about the institution's HEOP functions and will be available to answer internal and/or external HEOP-related inquires. This may include but is not limited to a HEOP assistant director or the senior staff member to whom the HEOP director reports.
- 4. Educational Assistants: Para-professionals who are hourly or salaried workers and provide counseling, tutorial services and/or other academic support services to students. This category is not limited to undergraduate or graduate students but may include full or part-time institutional employees.
- 5. Staffing Guidelines are provided in Appendix 1. These guidelines are strongly recommended levels necessary to ensure that the HEOP students are appropriately served. Final determinations must consider the funds made available by the enacted state budget, the institution, and other sources.

D. <u>Student Eligibility</u>

An eligible new HEOP student must be a NYS resident and meet the following requirements upon admission:

Educational Disadvantage

Each institution shall establish its own criteria for educationally disadvantaged status, which shall include, but not be limited to, the following factors: predicting a student's probability of academic success, and non-admissibility, by the college's normal admissions standards, to the college at the matriculated status in a degree program. Further proof of educational eligibility is non-admissibility to a degree program for which application is made (e.g. a student could be admissible for general admission to the IHE but not meet the requirements to a specialized degree program such as nursing, engineering, computer science, etc.).

Moreover, IHEs that have entered into a contract are expected to give priority for admission into HEOP to the most educationally disadvantaged students based on each institution's established criteria. Recipients of Regents scholarships for academic excellence are not eligible.

Criteria for determining educational eligibility for HEOP includes but is not limited to the following:

- 1. Test scores (e.g. SAT, ACT, Regents Exams)
- 2. High School average/GPA
- 3. Class Rank
- 4. Diploma type (e.g. Regents diploma, GED/TASC)

- 5. Letters of recommendation
- 6. Personal interviews
- 7. Pre-testing
- 8. Attendance in a High Needs High School (documented) <u>http://www.p12.nysed.gov/irs/accountability/2011-12/NeedResourceCapacityIndex.pdf</u>

The admissions process must be designed to assess the applicant's potential for successful completion of a post-secondary academic program in accordance with this RFP. The decision to admit each applicant should be based on a complete evaluation of the applicant's educational profile. The verification of educational eligibility and the decision to admit an applicant as a HEOP student are the joint responsibilities of the HEOP Director and the Admissions Officer.

A HEOP student must be a recipient of an approved high school diploma or must have obtained a New York State high school equivalency diploma (general equivalency diploma) or its equivalent as presented below:

- 1. A New York State high school diploma received pursuant to section 100.5 of the Regulations of the Commissioner of Education, or
- 2. For students who were residents in another state during high school, a high school diploma issued by another U.S. state, or by a high school recognized by another U.S. state as equivalent to high school graduation as a resident in that state.
- 3. An approved state high school equivalency diploma is a diploma received pursuant to section 100.7 of this Title.

An approved general equivalency diploma is defined as one of the following:

- 1. Successful passage of the GED[®] Test Battery; or
- 2. Test Assessing Secondary Completion (TASC); or
- 3. A New York State High School Equivalency Diploma conferred under the procedure outlined in Commissioner's Regulation section 100.7.
- 4. NYSED does not recognize a correspondence/on-line high school diploma as meeting the requirements for a secondary education in New York State for NYS residents.

Post-secondary credit-bearing certificate or degree and college courses while in high school:

1. Students may have not earned a post-secondary credit-bearing certificate or degree while in high school with the exception NYS P-TECH.

- Students must not have earned more than 15 college credits while in high school except if those credits have been earned while the student attended any of the following NYS sponsored pre-collegiate opportunity programs:
 - a. Science and Technology Entry Program (STEP)
 - b. Liberty Partnerships Program (LPP)
 - c. NYS My Brother's Keeper (MBK)
 - d. Smart Scholars Early College High School Program (SS ECHS)
 - e. NYS Pathways in Technology Early College High School (NYS P-TECH)

The acceptance of these students in HEOP is not automatic; they may be accepted if they meet the HEOP eligibility requirements and at the discretion of the IHE. See appendix 2 for sample educational and economic eligibility forms.

Economic Disadvantage

A student is economically disadvantaged if he or she is a member of a household where the total annual income of such household is equal to or less than 185 percent of the amount under the annual United States Department of Health and Human Services poverty guidelines for the applicant's family size for the applicable year. Federal poverty guidelines are published annually by the Department of Health and Human Services in the Federal Register. Moreover, IHEs that have entered into a contract are expected to give priority to the recruitment and enrollment of applicants whose life patterns are characterized by historical economic and educational disadvantage.

- Indicators of historical economic and educational disadvantage may include evidence that the student or the student's family has endured long-term economic deprivation, membership in a group underrepresented in higher education, a history of high unemployment rates, a record of poor academic performance, and/or little or no accumulation of assets. Other indicators may include that the applicant or the applicant's family are unable to provide for more than the basic needs of family members and may be dependent on public assistance.
- 2. Loss of employment, or the separation, divorce or death of a wage earner in the calendar year prior to the academic year for which eligibility is being established and a resulting decrease in family income below income guidelines is not sufficient to establish historical economic disadvantage. Such cases must be reviewed carefully to determine longer term past patterns of economic disadvantage.
- 3. A maximum of 15 percent of the total number of HEOP students enrolled by an institution at any given time may come from households whose income exceeds 185 percent of the amount under the annual United States Department of Health and Human Services poverty guidelines for the applicant's family size for the applicable year, provided such institution has established to the satisfaction of the commissioner or his/her designee that unusual and extenuating circumstances as defined in this paragraph, exist for each such student.

Documentation shall be kept on file by the institution at which such students were enrolled, and shall be corroborated by a disinterested, reliable party. For purposes of this paragraph, unusual and extenuating circumstances shall be limited to the following:

- 1. Serious mismanagement of the household income with little accruing to the interest of the student; or
- 2. A one-time fluctuation in household income where there is a history of low income. Satisfactory evidence that a household's income in the previous three calendar years prior to the calendar year used for determining the student's economic eligibility fell within the limits of the applicable household income scale shall be sufficient to establish the existence of a one-time fluctuation in household income; or
- 3. Households with substantial long-term non-reimbursed medical obligations; or
- 4. Families which must maintain two households to maintain employment, if there is satisfactory documentation of a history of low income.

Reference to the household income scale need not be made if the student falls into one of the following categories, and documentation is available:

- 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 or their successor offices;
- 2. The student is living with foster parents who do not provide support for college, and no monies are provided from the natural parents; or
- 3. The student is a ward of the State or a county.

The eligibility standards set forth in this section apply only at the time of admission as a first-time freshman to a program. Once admitted, a student will continue to receive supportive services as needed, even if the family income rises above the current eligibility standards. However, a student's economic status shall be reviewed under a recognized needs analysis system each year and appropriate adjustments made in the student's financial aid package; students may only borrow more than the maximum loan amount to cover an amount equivalent to the Estimated Family Contribution.

The following shall be acceptable documentation of income:

1. Documentation of all income, earned dividends, and interest: signed copy of appropriate year's tax return (I.R.S. form 1040 or 1040a or 1040EZ, or 4506).

- 2. Documentation of no income: a copy of I.R.S. form 4506-T which has been filed by the student or family with the Internal Revenue Service or its successor office indicating that the student or parent did not file a return.
- 3. Documentation of pension, annuity or unemployment benefits: letter from the applicable agency showing appropriate year's total award (if not reported on I.R.S. form 1040, 1040a or 1099).
- 4. Documentation of social security, supplemental security income or Veterans Administration noneducational benefits: letter from the applicable agency showing applicable year's total award for each member of the household or I.R.S. form 1099 for each member of the household.
- 5. Documentation of social services payments: verification from a branch of the Office of Temporary and Disability Assistance or Office of Children and Family Services or their successor offices, showing year of benefits received and names of recipients.
- 6. Documentation of child support and/or alimony: court order, affidavit, or student's financial aid form.
- 7. Documentation of additional members in household: birth certificates, marriage certificates, third-party verification, or similar documentation acceptable to the commissioner.
- 8. Income means all taxable and nontaxable funds which are received by the household. Such funds may be derived from sources including but not limited to wages, dividends, interest, social security, disability pensions, veterans' benefits and unemployment benefits. The following shall not constitute income:
 - a. Monies received specifically for educational purposes from sources such as social security, veterans' cost of education benefits, and education grants from the Office of Vocational Rehabilitation or its successor office.
 - b. Social services or public assistance payments received through the family assistance program, safety net assistance, and the family day-care program, or social security supplemental income.
- 9. All HEOP students must file a Free Application for Federal Student Aid (FAFSA) with the United States Department of Education or its successor for the academic year in which benefits pursuant to section 6451 of the Education Law are sought.

Eligibility Documentation Policy

Each institution which has entered into a contract pursuant to section 6451 of the Education Law shall maintain on file a record of each student's completed grant and FAFSA applications and other

documents establishing the student's educational and economic eligibility status for the program, by no later than 30 days from the commencement of the academic term. The institution may require having the applicants whose parents are self-employed certify that the income they are reporting to the institution is correct by submitting a notarized affidavit.

All student eligibility documentation is subject to review by NYSED and the Office of the State Comptroller (OSC) and/or other NYS auditors. If, during review, any students are found to have incomplete files, the institution will be notified in writing as to missing documentation that must be obtained and placed in the students' folders either as hard copy or stored electronically.

If NYSED staff finds during a documentation review that any student is ineligible for HEOP, NYSED reserves the right to ask for the student to be removed from the HEOP roster.

If the student is responsible for misreporting income and/or educational data, the student will be removed from the program/roster with no liability for the institution. If the IHE is responsible for admitting the student in violation of HEOP economic and/or educational eligibility requirements, the IHE is then responsible for the costs incurred and will be found liable, too. In these instances, the IHE will be informed in writing and enrollment reports and payments will be adjusted accordingly.

Certification forms, with signatures of the Chief Administrator, the Chief Financial Aid Officer and the HEOP Director, will attest to the educational disadvantage and economic eligibility of each program student. These forms must be submitted as part of the HEOP reports as described in the Reports section. See appendix 2 for sample economic eligibility form.

Equity and Non-Discrimination Policy

Students must be selected without regard to age, color, religion, creed, disability, marital status, veteran status, national origin, race, sex (including pregnancy), gender, genetic predisposition or carrier status, transgender status or sexual orientation.

All HEOP students, including those with disabilities, must be provided the same level of accommodations as general admit students in all areas pertaining to their education including but not limited to on-campus housing, food services, participation at conferences and workshops, and computer and laboratory access.

All majors (restricted or otherwise – including those with additional costs) offered by the IHE to general admit students must be available to HEOP students. While the students may have to meet additional academic criteria as prescribed by that major, they cannot be restricted based on extra cost of attendance.

HEOP funds may not be used to support programs that are segregated on any basis, including admissions policy, housing arrangements, classroom facilities, and allocation of financial aid.

Open Admissions

HEOP students selected under open admissions should be tested for academic preparedness and, if necessary, be required to undertake remedial work and receive other supportive services necessary to do college-level work. To be considered for HEOP eligibility at an open admissions institution, a student must meet acceptable academic criteria that differentiate the HEOP student from general admitted students (e.g., lower test scores, lower GED/TASC scores than other admitted students). These criteria must be clearly described in the proposal. They also need to meet one of the following criteria:

- 1. Possesses a high school diploma; or
- 2. Possesses a high school equivalency diploma; or
- Is seeking a high school equivalency diploma under Commissioner's Regulations section 100.7

Opportunity Transfer Students

Only students transferring from opportunity programs funded under Section 6451 or 6452 (Higher Education Opportunity Program, Educational Opportunity Program, Search for Education, Elevation, and Knowledge, College Discovery) of the New York State Education Law are eligible to transfer into HEOP.

The HEOP Director and the Admissions Officer must be aware of and adhere to the following in making decisions about prospective transfers: The semesters a transfer student has spent in any previous NYS opportunity program(s) will be used to calculate the student's remaining semesters of eligibility. The acceptance of these students in HEOP at a certain IHE is not automatic; they need to apply, be considered for transfer, and may be accepted at the discretion of the IHE if they meet the school's requirements at the time of transfer and if there is space available in that program.

The accepting IHE's general transfer application must contain an option for transfer applicants to identify themselves as opportunity transfer students (HEOP/EOP/SEEK/CD). A copy must be attached to their file. An opportunity transfer student must also complete a specific HEOP transfer application detailing the number of semesters and of credits attempted at any other opportunity institution (HEOP/EOP/SEEK/CD).

A NYS-Opportunity program student who is transferring to a HEOP Institution must be made aware of the availability of space within the IHE's program as there is no waitlist for the Higher Education Opportunity Program transfer admissions.

HEOP Institutions must have a mechanism available in the transfer application process for a student to self-identify as an NYS-Opportunity program student. The IHE's transfer application must explicitly include a mechanism for the student to self-identify as a HEOP, EOP or SEEK/CD student. It is the responsibility of the IHE's Admissions and HEOP offices to make sure that NYS-opportunity program

transfer students are admitted to the IHE as HEOP students. NYS-opportunity students should not be transferred in as "general admit" students when applying to a HEOP Institution.

However, in the extenuating circumstance that a NYS-Opportunity program student chooses to accept transfer/admission and enrolls in an IHE as a general admit student, after being notified by the IHE that there are no seats available in HEOP, the student cannot be "moved" from general admit category into the IHE's HEOP if a space becomes available later.

This will prevent NYS-Opportunity program students from being put at a disadvantage by simultaneously taking loans above the limits prescribed and by not having any HEOP support for one or more semesters during which they may be on a "waitlist."

NYS Opportunity students who have been made aware that there are no seats available in that Institution's HEOP and choose to enroll as a general admit student forfeit their right to a seat in that IHE's HEOP when they accept admission as general admit transfers. However, such a student does not lose eligibility as an NYS-Opportunity student and may transfer to another NYS-Opportunity institution and resume the use of eligibility.

All IHE's must retain a completed and signed HEOP Transfer Student Certification Form (Appendix 3). Copies of transfer certification forms must be retained by the IHE that the student is transferring from and by the institution that the student is transferring to. NYSED reserves the right to request copies of transfer applications and transfer certification forms.

E. Full Need Packaging

The process of making financial aid determinations to ensure full-need packaging must be documented and maintained by the HEOP director or institutional Financial Aid officer. The cost of attendance for HEOP students must include realistic subsistence costs, in addition to institutional charges. First-time HEOP Students attending the HEOP summer program cannot be charged for their attendance.

Financial Aid Award Letter and Revisions

- 1. Institutions must send a financial aid award letter to each HEOP student that clearly estimates a student's total need, by expense category, and the federal and state financial aid available for the student, by source.
- 2. All financial aid award letters should be mailed or sent electronically, and copies placed in the students' files in the HEOP office within a month of the start of the fall term, or, if the student is a Spring semester admit, within a month of the start of the spring term.

A revised financial aid award letter should be placed in the student's file prior to the end of the program year.

Maximum Allowable Loans

- The maximum cumulative loan for a resident HEOP student to complete a baccalaureate program is \$\$25,000 and the maximum cumulative loan for a commuter HEOP student to complete a baccalaureate program is \$20,000 for all students who start in the 2019-2024 RFP cycle.
- It is strongly recommended that first-time HEOP students not be packaged with loans. However, if a first-time HEOP student is packaged with loans the student may not be packaged with more than \$5,000 per year for residential students and \$4,000 per year for commuter students.
- 3. An allowance of \$500 per semester in loans is permitted for NYC IHE resident students (for a total of \$30,000 for a resident HEOP student to complete a baccalaureate program in NYC).

F. Prorating Loans and Exceptions

For students who are transferring from other NYS opportunity programs (SEEK/CD/EOP), the IHE should assess the amount of loans the student has taken while in another opportunity program and package the student with no more than \$5,000 for residential students and \$4,000 for commuter students for each year the student is enrolled.

Example: Students who transfer to an IHE in their junior year and have two years to graduate can accrue up to \$5,000 in loans per year if they are resident HEOP students and up to \$4,000 in loans per year if they are commuter HEOP students at the new IHE.

If an opportunity student transfers out of the IHE to an institution without an opportunity program and then returns to a HEOP institution, the loan limits at the receiving IHE are not impacted by the loans taken by the opportunity student while attending an institution that does not offer a NYS opportunity program. Transfer NYS opportunity students must be packaged with no more than \$5,000 for residential students and \$4,000 for commuter students for each year the student is enrolled.

Exceptions can be made for students who need to take loans to cover no more than the expected family contribution (EFC). In the rare case of unusual and extraordinary circumstances where it is necessary for students to take out loans above the mandatory loan limits, IHEs must submit a written request to NYSED with documentation justifying packaging additional loans. This justification must be submitted and approved by NYSED before packaging a student with loans that exceed the loan limits. IHEs must not allow students to take out additional loans without prior approval. HEOP and Financial Aid offices at the IHE must work in conjunction to monitor HEOP students' financial aid and ensure compliance with this mandate. Institutions found not complying with this mandate will be required to adjust students' accounts to meet the above-mentioned loan maximums including but not limited to refunds and credits to the students.

G. Expenditures

Allowable Expenditures

Section 6451 of the Education Law and Section 152-1.5 of the Commissioner's Regulations specifically provide the only areas for which HEOP funds may be expended. Higher Education Opportunity Program funds must be spent only for:

- 1. Special testing, counseling and guidance services while screening potential enrollees.
- 2. Remedial courses, developmental or compensatory courses and summer classes for such students.
- 3. Special tutoring, counseling and guidance services for such enrolled students.
- 4. Any necessary supplemental financial assistance, which may include the cost of books and necessary maintenance for such enrolled students.
- 5. Partial reimbursement for tuition for regular academic courses up to 50%.
- 6. Student travel for academic activities or conferences as well as travel abroad as part of their program of studies.
- 7. Expenses related to helping students apply for and prepare for graduate or professional school; including preparation materials, guides, classes, fees for exams for graduate and professional schools and for professional licensure, and travel to and from test centers.
- 8. The hiring of enrolled students participating in an Arthur O. Eve opportunity for higher education work-study program comprised of peer tutoring, peer counseling, peer mentoring and activities related to HEOP and/or the administration of HEOP at the institution.

Non-Allowable Expenditures

HEOP funds may not be used to supplant funding of other existing programs. HEOP funds cannot be used for those expenditures made from Federal or other already available funds. If specific costs are deemed unreasonable or unnecessary in a proposal, NYSED in collaboration with the HEOP Director, will modify the proposed budget to include only allowable expenses.

The following costs are non-allowable:

- 1. Rental of office or meeting space, storage facilities, equipment, fixtures or communication cost (phone, postage, and/or electronic communication cost), clerical assistance, and staff travel.
- 2. Indirect costs (e.g. administration, office, security, utilities)

- 3. Salary or stipend of the HEOP Director's Supervisor or someone designated as a Principal Investigator for the grant contract.
- 4. Items which previously have been assumed by the institution.

Funds from NYSED sponsored programs

- When several state funded programs for disadvantaged students exist on a campus (e.g. CSTEP), it is NYSED's recommendation to encourage cooperation and, where possible, joint programming.
- 2. "Double-counting" of students for reimbursement for the same activity from more than one program will not be permitted.

When an institution offers multiple support programs, fiscal accountability for HEOP funds must be maintained by prorating the cost of services. The cost charged to HEOP funds must reflect the percentage of HEOP students in the total population served. Using these "shared services," HEOP students need not be served exclusively by HEOP-supported personnel, and HEOP supported personnel need not serve exclusively HEOP students, provided the overall program budget reflects the prorating concept and permits separate accounting of HEOP funds. Institutional documentation of the prorating methods and related data must be maintained as part of HEOP records.

H. Institutional Obligation

All HEOP students must be provided the same level of accommodations as general admit students in all areas pertaining to their education including but not limited to: on-campus residential housing, food services, attendance to conferences and workshops, computer and laboratory access, access to online courses with supportive services, sufficient office space, classroom space, study space, space for commuter students, etc., based upon the number of students served and the type of academic support services provided and other support for the program to be effective.

Staffing for HEOP must be consistent with the staffing levels for other institutionally based academic support services. Each institution's HEOP is required to commit to having a HEOP director on staff who serves as the administrative head of HEOP and is responsible for the day-to-day program management duties, program planning responsibilities, and program reporting.

Each institution is also responsible for providing sufficient academic support and clerical staff to meet the needs of the institution's HEOP students.

Because of limited state allocated HEOP funds, institutions are urged to use all available outside resources and all possible institutional resources to maintain the effort in support of HEOP.

Maintenance of effort means that institutions should provide at least the same level of program support and student financial aid per student as in the previous year of funding.

Public Relations & Attribution of HEOP Funding

To ensure the continued support and the commitment of resources of an IHE to Arthur O. Eve HEOP, there must be public awareness of the program's positive impact on the lives of HEOP 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 your program's existence.

To facilitate public awareness, all HEOP funded Institutions must ensure that all public relations materials and activities, such as institutional brochures and award ceremonies, as well as web postings on the institution's own and associated web sites and on Facebook, Twitter, Instagram, Google+, and any other social media outlets, acknowledge that the institution's HEOP and its activities are supported, in whole or in part, by the New York State Education Department. Also, when local, statewide, or national media report on the achievements or honors received by HEOP students or staff, New York State Education Department's funding must be acknowledged. In addition, the HEOP director must submit copies of all local, statewide, or national media stories about their program and/or the program participants and staff to the State Education Department at the following email address heoprfp@nysed.gov. The foregoing publicity requirements are subject to any additional terms and conditions that are defined in the master grant contract.

Institutional Matching funds

A minimum of 15% match of the requested HEOP grant is required from the institution's own resources. Institutional accounts must be structured to reflect this contribution by appropriate line item.

HEOP funds cannot be used for indirect costs. Further, federal and state grant funds may not be used for matching purposes. Indirect expenses which may be included as an institutional match, shall not exceed twenty percent (20%) of the total institutional matching funds.

Each institution participating in HEOP is responsible for maintenance of effort which means providing at least the same level of tuition assistance, academic support services, and supplemental financial assistance per student in each consecutive year of the funding cycle (2019 – 2024).

I. Budgets (FS-10)

Applicants must submit a FS-10 budget with this application for the first year of the project period of July 1, 2019 – June 30, 2020. The budget will be reviewed and scored.

Budgeted costs must comply with applicable State and federal laws and regulations and the Department's Fiscal Guidelines. These guidelines, as well as the FS-10 form, are available online at the <u>Grants Finance website</u>. The FS-10 must bear the original signature of the College/University President/Chancellor (Chief School / Administrative Officer) or that person's designee.

- 1. To ensure audit accountability, each institution must adhere to the Generally Accepted Accounting Principles and reflect HEOP and institutional monies by line item, separate from all other institutional accounts. State, institutional, Federal, and other grant funds must be clearly delineated. Each student's financial aid account must reflect all aid sources separately, including HEOP tuition funds and supplemental financial assistance (e.g. room and board). The HEOP grant supplements other sources of aid included in a student's financial aid package. HEOP funds will be considered "first-out" in cases of over-packaging found on audit, review, or site visit (i.e. a student is overpackaged without loans, then HEOP funds are the first to be removed from the financial aid package).
- 2. The HEOP director must be involved in and responsible for the preparation of budgetary documents and coordination of HEOP fiscal affairs. In addition, the HEOP director is responsible for the day-to-day administration of HEOP at the campus as well as the recruitment, planning, and reporting requirements of the program. The institution's Chief Administrator is ultimately responsible for the implementation of the HEOP contract on the campus.
- NYSED staff will review budget(s) submitted by the HEOP director. Budget(s) must be modified if they include non-allowable items. The HEOP director will be notified by NYSED in the event that budget(s) needs to be modified.
- 4. All HEOP 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.

Information about the categories of expenditures and general information on allowable costs, applicable cost principles and administrative regulations are available in the <u>Fiscal Guidelines for</u> <u>Federal and State Aided Grants</u>.

For more information, visit the Grants Finance website.

Allowable direct costs include the following:

Academic support services

Including HEOP administrative direction, counseling, academic guidance, remedial/developmental education, summer academic programs, tutoring, academic support, and similar academic activities related to special testing, counseling and guidance services during the screening potential enrollees.

- 1. Salaries for Professional Staff, including the HEOP Director, as well as salaries for assistant directors, counselors, faculty, professional tutors, and professional counselors, should be recorded under Code 15 Professional Salaries.
- 2. The pay for HEOP students employed as a HEOP work-study program and Educational Assistants should be recorded under Code 16.

- 3. Costs of consultants and other contractual services should be recorded under Code 40 Purchased Services.
- 4. Other Academic Support Services deemed allowable under sec. 6451 of the Education Law and Section 152-1.5 of the Commissioner's Regulations for HEOP, including special testing, tutoring or guidance services, should be recorded under the appropriate FS-10 category.
 - Fee waivers may be granted by the test examining agency for low-incomefamily/students. Waivers should be sought before using HEOP funds for testing services.
 - b. Payments related to helping students apply for and prepare for graduate or professional school are allowed. This includes preparation materials, guides, classes, fees for exams for graduate and professional schools and for professional licensure, and travel to and from test centers. It is necessary to retain waivers on file as well as receipts for expenditures in this category consistent with the accounting and purchasing procedures of institutional policy, along with all agreements between the institution and contractor(s) and reports provided by the contractor.
 - c. The rate for fringe benefits cannot exceed the actual rate paid by the institution and should be recorded under Code 80 Employee Benefits.

Remedial, Developmental, Compensatory, and Summer Courses

- 1. Section 6451 of Education Law allows for HEOP funding of "remedial courses, developmental or compensatory courses and summer classes."
- 2. Institutions may request HEOP funding of tuition charges for remedial and developmental courses as required and budgeted under code 40 Purchased Services.
- 3. If the HEOP grant and/or institution budget is paying the salary of the course instructor as recorded under Code 15 Professional Staff, HEOP and/or institution funds must not be used to pay for tuition for that course.
- 4. If the HEOP grant and/or institution budget is paying the salary of the course instructor, as recorded under Code 15 Professional Staff, the institution must not charge tuition for such a course or list tuition as an institutional contribution.
- 5. When both HEOP and non-HEOP students are enrolled in a remedial or developmental course, the salary of the instructor paid by HEOP funds must be prorated accordingly.
- 6. If a student is enrolled in a remedial or developmental course in which a tuition charge is based only on the credit portion of the course, HEOP funds may be requested for the costs of the remaining portion of the course (under code 40 Purchased Services).

<u>Example</u>: A student enrolls in a developmental English course meeting four contact hours/week (fifteen-week semester) for three credits. The student is charged tuition based on the three credits. HEOP funds may be requested for the actual costs of instructional time for the remaining hour of the course.

7. If HEOP pays an instructor's salary for coursework used to generate a student's tuition charges, the student's tuition must be reduced by a proportionate amount.

Example: If a full-time matriculated student is taking 12 hours in a semester of which 3 hours are in a remedial/ developmental course (where remedial/developmental tuition or the instructor's salary is paid for by HEOP), the student may only be charged ¾ of the total regular tuition charge for that semester.

Tuition Assistance

- Under the provisions of section 6451 of the Education Law and 152-1.8 of the Commissioner's Regulations, such funds must be limited to the costs of developmental, remedial, and compensatory courses; and to reimburse the institutions for no more than 50 percent of the tuition charged for the regular academic program (courses must be related to the student's program of study).
- 2. Grantees may request tuition reimbursement on a schedule that is consistent with the institution's standard tuition collection processes. For example, if a grantee collects tuition from students prior to the start of each semester, and after the end of the previous semester, that institution will request tuition reimbursement for that semester during that same time period. Budgeted tuition costs must be based upon the actual student FTE of HEOP students currently enrolled in the institution for that semester or the projected FTE of HEOP students for new programs.
- 3. Tuition Assistance should be recorded on the FS-10 budget form under category Code 40 Purchased Services.

Supplemental Financial Assistance

Under the provisions of section 6451 of the Education Law, such funds are limited to:

- 1. Room and board for resident students and meals for commuter students or a portion thereof should be recorded on the FS-10 under category Code 40 Purchased Services.
- 2. Travel to and from the student's home, for both residential and commuter students, including study abroad as deemed necessary by the academic course of study is permitted as well as student travel for academic activities or conferences; travel expenses should be recorded under Code 46 Travel Expenses.

- 3. Textbooks and instructional materials as deemed necessary by the program of study should be recorded under Code 45 Supplies and Materials.
- 4. Personal expenses, with a limitation of \$1,000 per year, should be recorded under Code 45 Supplies and Materials.
- 5. Medical, vison and dental insurance should be recorded on the FS-10 under category Code 40 Purchased Services.

Transfer of Funds

 Consistent with the <u>Fiscal Guidelines for Federal and State Grants</u>, budget transfers must be requested using Form FS-10-A: Proposed Amendment for a Federal or State Project. HEOP Directors must first email their NYSED liaison and make a request to amend their budget. After receiving an emailed request, the liaison will send an invitation to the Director to complete an FS-10-A.

After drafting the FS-10-A, the HEOP Director needs to inform the corresponding NYSED liaison that the budget amendment is ready to be reviewed. After review, the liaison may request corrections or more information. When the liaison determines that the FS-10-A is satisfactory, an email confirmation will be sent. Any budget amendments that do not follow this procedure may not be reviewed and may cause delays in amending budgets.

- For years 1 through 4 (2019-2023), FS-10-A forms must be submitted anytime between the start date of any funding year and May 1st of that year. For the last year (2023-2024) in the program cycle (2019-2024), the deadline for the request for approval of transfer of funds is April 15th for the budget period.
- Funds must not be expended until the budget amendment has been approved in writing by the Grants Finance Office, and if applicable, approved by the Office of the State Comptroller.
- 4. A formal contract amendment will be required if a budget amendment results in transfer of funds between budget categories of more than ten percent of the total contract value for contracts under \$5 million, or five percent of the total contract value for contracts over \$5 million. This contract amendment will require the approval of the Attorney General and the Office of the State Comptroller, in addition to SED.
- 5. Failure to follow the procedures outlined above may result in the disallowance of all expenditures not previously approved by SED.

J. Entitles' Responsibility

Projects must operate under the jurisdiction of the appropriate governing body (e.g. Board of Trustees) and are subject to at least the same degree of accountability as all other expenditures of the local

agency. The local board of education, or other appropriate governing body (Board of Trustees), is responsible for the proper disbursement of, and accounting for project funds. Written agency policy concerning wages, mileage and travel allowances, overtime compensation, or fringe benefits, as well as State rules pertaining to competitive bidding, safety regulations and inventory control must be followed. Supporting or source documents are required for all grant related transactions entered into the local agency's recordkeeping systems. Source documents that authorize the disbursement of grant funds consist of purchase orders, contracts, time and effort records, delivery receipts, vendor invoices, travel documentation and payment documents.

Supporting documentation for grants and grant contracts must be kept for at least six years after the last payment was made unless otherwise specified by program requirements. Additionally, audit or litigation will "freeze the clock" for records 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 grants, please refer to the <u>Fiscal Guidelines for Federal and State</u> <u>Aided Grants.</u>

K. <u>Reporting</u>

Grantees must submit performance reports as prescribed below. The performance reports should demonstrate that substantial progress has been made toward meeting the project goals and the program performance indicators. Additional information about the annual performance reports will be made available to grantees by SED after grant awards are made.

Awards will be subject to the availability of funds and satisfactory performance of the grantee in previous academic years including but not limited to meeting 95% of the contracted number of FTEs and having HEOP students meet at least 90% of the overall retention and graduation rates at that IHE.

- 1. Each institution receiving a HEOP award will be required to submit to NYSED two program reports annually: an interim report and a final report.
- 2. The interim report is due every year on the second Friday of November. This report specifies the participating HEOP students in the Summer session (by name) and the headcount and FTE for the students enrolled that Fall in a form and manner prescribed by NYSED. The student FTE reported on the interim report will be used to ensure that the institution has met its contracted number of FTEs. Certification forms, with signatures of the Chief Administrator, the Chief Financial Aid Officer and the HEOP Director, will attest to the educational disadvantage and economic eligibility of each program student.
- 3. The final program reports are due on July 30th after each program year. This report, in a form and manner prescribed by NYSED, outlines the institution's expenditures and activities in HEOP for the program year and provides:

- a. An analysis of program operation in terms of the stated objectives and the extent to which the objectives were achieved.
- b. An analysis of the progress of students served by the program with a comparison to other students enrolled by the institution.
- c. An itemization of the institution's support of such program during the contract period including the use of outside (Federal, State and local) funds.
- d. Plans for program change, expansion and development.
- e. The extent and nature of faculty, staff, student, and community involvement and participation in program development and implementation to improve retention and graduation rates.
- f. As indicated, the institution's program reports will be reviewed upon receipt by NYSED for accuracy and completeness. The institution will be notified if its submission is incomplete and/or requires additional information.
- g. Extensions of report deadlines must be requested and approved in writing prior to the deadlines. Acceptable written notification may include email, regular mail, or fax. All communication relating to an extension of reporting deadlines must be copied to the President of the IHE. An extension may only be approved for a maximum of 10 business days after which, if the report is not finalized, the HEOP funds will not be released until it is finalized; if the report is not finalized within 30 business days then all NYSED funds to the institution will not be released.

L. Monitoring

NYSED intends to perform one technical support and site visit per five-year grant cycle for each grant recipient. Desk reviews will be performed before such visit. Documentation must be sent securely as prescribed by NYSED and not by email.

Maintenance of HEOP Records

- 1. Fiscal records, including those identifying an expense of HEOP funds, must be maintained for seven full years, or longer if required by institutional policy or practice.
- 2. Student records must be maintained for six years after the student graduates.
- 3. If a student withdraws from the institution prior to graduation, the student's HEOP 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.

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. This also applies to institutions that are phased out from HEOP.

Probation for HEOP Institutions

Circumstances in which the IHEs will be put on probation:

- 1. Not meeting the 95% threshold for contracted FTEs.
- 2. Non-compliance with RFP requirements (e.g. delinquent reports, budgets, exceeding maximum loan limits).
- 3. Retention and/or Graduation Rates for HEOP students less than 90% of the IHE's overall students' rates for two consecutive years.

The IHEs will have to submit a performance improvement plan and are subject to receive a site visit at NYSED's discretion. The IHEs not meeting the 95% threshold for contracted FTEs can only ask for the reimbursement of funds congruent with the actual enrolment (e.g. if only 80% of the contracted FTEs were served during the year, the IHE can only be reimbursed for 80% of the allocated funds).

Phase-out procedures

Funds will be prioritized to support currently enrolled HEOP students in projects that phase out, subject to availability of funding.

1. Phase out due to institutional decision to stop participating in HEOP

Institutions funded in the 2019-24 RFP that decide to stop participating in HEOP will be phased out from HEOP. The phase-out plan between SED and the IHE must continue to include full-need packaging to allow remaining HEOP students to be supported for up to four years beyond the end of the initial contract period or until all remaining HEOP students graduate/transfer/ exhaust eligibility, whichever is sooner. During the phase-out period, the institution must still provide all support services mandated by the RFP and may continue to use HEOP funds for this purpose, if approved by SED as part of the phase-out plan. During this period an institution cannot recruit any new students.

2. Phase out due to insufficient improvement during probationary period

Institutions that have been on probation for two or more consecutive years with insufficient improvement may be phased out from HEOP. Institutions being phased out for probationary reasons will only receive funding for full-need packaging for their HEOP students; however, funds cannot be used towards administrative expenses, such as staffing, or any other support services. The phase-out period will be up to four years beyond the end of the initial contract period or until all remaining HEOP students graduate/transfer/ exhaust eligibility, whichever is sooner. The institution must still provide all support services

mandated by the RFP during the phase-out period; however, HEOP funds cannot be used for this purpose. During the initial probation period these institutions can add students to allow them to meet the contracted FTEs. Once a determination has been made that an institution will be phased out, it cannot recruit any new students.

3. Phase out due to unsuccessful reapplication

Institutions that are unsuccessful in their reapplication in the next round of 2024-2029 funding cycle will be phased out from HEOP. Institutions being phased out for unsuccessful applications will only receive funding for full-need packaging for their HEOP students; however, funds cannot be used towards administrative expenses, such as staffing, or any other support services. The phase-out period will be up to four years beyond the end of the initial contract period or until all remaining HEOP students graduate/transfer/ exhaust eligibility, whichever is sooner. The institution must still provide all support services mandated by the RFP; however, HEOP funds cannot be used for this purpose. During this period an institution cannot recruit any new students.

Timetable for Payment

- The Grant Contract is fully executed when it has been signed by the IHE's Chief Executive Officer, the New York State Education Department, the Office of New York State Attorney General, and the New York State Office of the State Comptroller.
- 2. Not-for-Profit Grantees:
 - a. The initial payment of 25% of the annual budget will be made no later than 90 days after the beginning of the budget period.
 - b. Subsequent payments would be made following the submission and approval of an FS-25 form, based upon actual expenses to date, plus anticipated expenditures for the next month. Regardless of the amount of anticipated expenditures, requests for funds using FS25s may total no more than 90 percent of a grantee's budget for that budget period.
 - c. The final payment occurs upon the approval of the Final Program and Expenditure Report (FS-10F). FS-10-Fs are due on July 30th after each program year and will be submitted directly to NYSED's Grants Finance office. The final budget report must match expenses that were approved in the FS-10 or the most recent approved FS-10-A. Grants Finance will inform the program office if there are unallowable expenses in the FS-10-Fs. FS-10-Fs that do not match the approved expenses are subject to be rejected and will further delay final payment to the institution. FS-10-F forms can be found at the following website: <u>http://www.oms.nysed.gov/cafe/forms/</u>.

Late submissions of budgetary forms and reports may result in the suspension of funds.

- 3. For-Profit Grantees: For-profit grantees will not receive advance payments. They may receive interim payments (up to 90 percent of the grant contract), but only actual expenditures will be reimbursed. The final reimbursement payment occurs upon the approval of the Final Program and Expenditure Reports (FS- 10F). Late submissions of budgetary forms and reports may result in the suspension of funds.
- 4. All Grantees: Grantees may request tuition reimbursement on a schedule that is consistent with the institution's standard tuition collection processes. For example, if a grantee collects tuition from students prior to the start of each semester, and after the end of the previous semester, that institution will request tuition reimbursement for that particular semester during that same time period. Budgeted tuition costs must be based upon the actual student FTE of HEOP students currently enrolled in the institution for that semester.

Accessibility of Web-Based Information and Applications

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

M. Requirements for Funding

Payee Information Form/NYSED Substitute W-9 – The <u>Payee Information Form</u> 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 specifics 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.

N. 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 <u>Grants Management</u> <u>Website</u>.

Proposals received from not-for-profit applicants that have not Registered and are not Prequalified in the Grants Gateway by 5:00 PM on the proposal due date of April 26, 2019 cannot be evaluated. Such proposals will be disqualified from further consideration.

Below is a summary of the steps that must be completed to meet registration and prequalification requirements. The <u>Vendor Prequalification Manual</u> on the Grants Management Website details the requirements and <u>online tutorials</u> are available to walk users through the process.

- 1. Register for the Grants Gateway.
 - a. On the Grants Management Website, download a copy of the <u>Registration Form for</u> <u>Administrator</u>. 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.
 - b. If you have previously registered and do not know your Username please email <u>grantsgateway@its.ny.gov.</u> If you do not know your Password please click the <u>Forgot Password</u> link from the main log in page and follow the prompts.
- 2. Complete your Prequalification Application.
 - a. Log in to the Grants Gateway. 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.
 - b. 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.
 - c. 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.
 - d. Specific questions about the prequalification process should be referred to your agency representative at prequal@nysed.gov or to the Grants Management Team at grantsgateway@its.ny.gov.

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.
- 2. If your Prequalification reviewer has questions or requests changes you will receive email notification from the Gateway system.

3. 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.

O. Method of Award

Awarding of Funds to Non-Profit Institutions

Each eligible proposal will be reviewed by at least two individuals. Each reviewer will score the proposal according to the indicated point criteria in the Proposal Narrative and the Budget using the Proposal Evaluation Rubric. If individual scores are more than 15 points apart, another reviewer will score the application. The two scores closest in numeric value will be averaged to calculate the final average score of the application. If the third reviewer's score is equal to the average of the two original scores, the third reviewer's score will become the final score.

Each proposal will be categorized according to the Regents Higher Education Regions. See <u>http://www.highered.nysed.gov/ocue/aipr/guidance/gpr7.html</u>.

The highest-ranking applicant in each region with a passing score will be funded at the amount of their request, pending modification of the budget if it includes unallowable expenses.

The remaining funds will be pooled into a single statewide sum to be awarded to the remaining eligible unfunded applicants in rank order by final application statewide score. This process should result in at least one program per region and should also support those meritorious applications competing on a statewide basis.

Proposals that receive a final average score of 65 or more will be considered for funding. In the event of tied scores, proposals with the highest score on in the Proposal Narrative – Part 1 will be ranked higher. A second tie breaker will be the highest score on Academic Support Services scoring rubric in the Proposal Narrative of the application. Budgets will be adjusted to eliminate any unallowable or inappropriate expenditure.

If there are funds remaining that will not fully support funding the next highest application in the statewide ranking, that applicant will be given the opportunity to receive a partial award. If an eligible applicant chooses not to accept the partial award, the next eligible applicant will be contacted.

If additional funding becomes available, and NYSED chooses to distribute this funding to applicants of this current RFP, NYSED will allocate the funds in this order by:

- 1. Making whole any funded programs that have received a partial award;
- 2. Approving awards, in rank order, for eligible applicants who received passing scores, but who did not rank high enough to receive the initial funding; and

3. Allocating additional funds proportionately, based upon student FTE, among already awarded programs.

Such plan will be subject to review and approval by the Office of the State Comptroller. If there is a reduction in funding for HEOP, the fiscal reduction will be made across the board on all funded programs, based upon the proportion of FTEs of each institution as part of the total HEOP FTE state-wide.

Awarding of Funds to For-Profit Institutions:

- 1. A maximum of \$500,000 will be set aside for the highest-ranking for-profit applicants statewide providing that they receive a passing score of 45 points or more on the Narrative Application (valued at 80 points total).
- 2. The Narrative Application of each proposal will be reviewed and scored and those applicants who receive at least 45 points on the Narrative Application (Parts 1 of the scoring rubric) will move on to the cost review phase of the award process.
- For for-profit applicants, the 20 points available for the financial portion of the application will be awarded pursuant to a formula. This calculation will be computed by the Contract Administration Unit upon completion of the technical scoring by the technical review panel.
- 4. The financial score will be determined based on the following criteria: providing the lowest HEOP tuition assistance amount per academic year FTE (10 points), the lowest academic support service amount per academic year FTE (5 points), and the lowest HEOP supplemental financial assistance per academic year FTE (5 points). The points for each of these components are added together, creating a fiscal viability score.
- The aggregate score of both the Narrative Application (technical) and Budget/Budget Narrative (cost) will be calculated for each proposal that has passed the technical review stage.
- 6. The contract(s) issued pursuant to this RFP will be awarded to the for-profit applicant whose aggregate technical and cost score is the highest among all the for-profit proposals rated, and then the next highest-ranked for-profit applicant, and the next, until there are insufficient funds to award the next ranked for-profit applicant in full. These applicants will be funded at the amount of their request, pending modification of the budget if it includes unallowable expenses.
- 7. In the event of a tie score, the contract will be awarded to the applicant whose budget component reflects the lowest overall cost.
- 8. If there are no eligible for-profit applicants or If funds remain after the awarding the forprofit applicants, these funds revert to the non-profit allocation method.
- 9. Programs administered by for-profit institutions are subject to the same operational controls and guidelines as those for other awardees.

P. Debriefing Procedures

All unsuccessful applicants may request a debriefing within fifteen (15) calendar days of receiving notice 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

The Fiscal Contact person will make arrangements with program staff to provide a written summary of the proposal's strengths and weaknesses, as well as recommendations for improvement. Within ten (10) business days, the program staff will issue a written debriefing letter to the bidder.

Q. Contract Award Protest Procedures

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

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

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

3. 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 bidder 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.

4. 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.

R. Minority and Women-Owned Business Enterprise (M/WBE) Participation Goals

The Higher Education Opportunity Program (HEOP) is an educational academic program outlined in section 6451 of the Education Law. The program enables institutions of higher education to provide economic and academic assistance to students specifically recruited to participate due to their economic and academic disadvantage. The statute creating HEOP does not include sufficient identifiable procurement possibilities to warrant the inclusion of MWBE provisions in this RFP.

The New York State Division of Minority and Women's Business Development (DMWBD) allows state agencies and authorities to reasonably exclude, from their annual MWBE Goal Plan, goods, materials or services that have been determined to offer no MWBE prime or subcontracting opportunities. Notwithstanding the foregoing, NYSED remains committed to promoting the participation of certified Minority and Women-Owned Business Enterprises. Therefore, NYSED strongly encourages applicants to seek New York State certified M/WBE subcontractors or suppliers to the extent possible for expenditure items in their budget submissions.

S. Contract Terms and Conditions

Grant awards to non-profit and for-profit organizations 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.

T. NYSED's Reservation of Rights

NYSED reserves the right to: (1) reject any or all proposals received in response to the RFP; (2) withdraw the RFP at any time, at the agency's sole discretion; (3) make an award under the RFP in whole or in part; (4) disqualify any bidder whose conduct and/or proposal fails to conform to the requirements of the RFP; (5) seek clarifications of proposals; (6) use proposal information obtained through site visits, management interviews and the state's investigation of a bidder's qualifications, experience, ability or financial standing, and any material or information submitted by the bidder in response to the agency's request for clarifying information in the course of evaluation and/or selection under the RFP; (7) prior to the bid opening, amend the RFP specifications to correct errors or oversights, or to supply additional information, as it becomes available; (8) prior to the bid opening, direct bidders to submit proposal modifications addressing subsequent RFP amendments; (9) change any of the scheduled dates; (10) waive any requirements that are not material; (11) negotiate with the

successful bidder within the scope of the RFP in the best interests of the state; (12) conduct contract negotiations with the next responsible bidder, should the agency be unsuccessful in negotiating with the selected bidder; (13) utilize any and all ideas submitted in the proposals received; (14) unless otherwise specified in the solicitation, every offer is firm and not revocable for a period of 90 days from the bid opening; (15) require clarification at any time during the procurement process and/or require correction of arithmetic or other apparent errors for the purpose of assuring a full and complete understanding of an offeror's proposal and/or to determine an offeror's compliance with the requirements of the solicitation; (16) request best and final offers.

U. Vendor Responsibilities

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

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 <u>VendRep System Instructions</u> or go directly to the <u>VendRep System online</u>.

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 <u>ITServiceDesk@osc.state.ny.us</u>.

Vendors opting to complete and submit a paper questionnaire can obtain the appropriate questionnaire from the <u>VendRep website</u> 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

V. Worker's Compensation Coverage and Debarment

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.

Workers' compensation requirements are covered by WCL Section 57, while disability benefits are covered by WCL Section 220(8). The Workers' Compensation Benefits clause in the Master Contract for Grants states that in accordance with Section 142 of the State Finance Law, a contract shall be void and of no force and effect unless the contractor provides and maintains coverage during the life of the contract for the benefit of such employees as are required to be covered by the provisions of the WCL.

Under provisions of the 2007 Workers' Compensation Reform Legislation (WCL Section 141-b), any person, or entity substantially owned by that person: subject to a final assessment of civil fines or penalties, subject to a stop-work order, or convicted of a misdemeanor for violation of Workers' Compensation laws Section 52 or 131, is barred from bidding on, or being awarded, any public work contract or subcontract with the State, any municipal corporation or public body for one year for each violation. The ban is five years for each felony conviction.

PROOF OF COVERAGE REQUIREMENTS

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

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

Proof of Workers' Compensation Coverage

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

• 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

- Form SI-12 Certificate of Workers' Compensation Self-Insurance; or Form GSI-105.2 Certificate of Participation in Workers' Compensation Group Self-Insurance; or
- **CE-200** Certificate of Attestation of Exemption from NYS Workers' Compensation and/or Disability Benefits Coverage.

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:

- Form DB-120.1 Certificate of Disability Benefits Insurance; or
- Form DB-155 Certificate of Disability Benefits Self-Insurance; or
- **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 <u>New York State Workers' Compensation Board website</u>. 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.

Higher Education Opportunity Program Application Cover Page

Agency Code	Ag	ency	Со	de
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Name Applicant Agency:			Name and Title of Contact Person:			
Address:			Telephone:			
City:	ZIP Code:		Fax:			
County:			E-Mail:			
contained in this application is, to the best of my knowledge, that a applicable Federal and State laws Certifications, and the terms and budget amounts are necessary fo that this application constitutes a renegotiated to acceptance, will immediate written notice will be	o the best of my known ny ensuing program and regulations, ag conditions outlined or the implementation offer and, if accept form a binding agre provided to the gra	owledge, and action oplication I in the M on of this pted by th ement. It nt progra	trative officer and that the information complete and accurate. I further certify, to vity will be conducted in accordance with all guidelines and instructions, Assurances, aster Grant Contract, and that the requested project. It is understood by the applicant ne NYS Education Department or is also understood by the applicant that m office if at any time the applicant learns come erroneous by reason of changed			
Total Number of Students Served over the cycle:			idget Requested over the cycle:			
Original Signature of Chief Administrative Officer: Type (in blue ink)			lame of Chief Administrative Officer:			
Date:						

Application Checklist

Listed below are the required documents for a complete application package, to be submitted with the application. Use this checklist to ensure that your application submission is complete and in compliance with application instructions.

Required Documents	Checked-Applicant	Checked–SED
Application Cover Page with Original Signature of Chief Administrative Officer		
Payee Information Form (if applicable)		
Application Checklist		
Acknowledgement Form		
Proposal Narrative		
<u>FS-10 Budget</u> (signature required)		
Composite Budget		
Budget Narrative		
Worker's Compensation Documentation (encouraged)		
Disability Benefits Documentation (encouraged)		
Is the applicant prequalified, if required? (While no documentation is required with the application, the applicant may be required to prequalify in order to be eligible for this grant opportunity)		
Is the applicant a for-profit IHE?	Yes	No
SED Comments: Has the applicant complied with the application instructions?	Yes No	1
SED Reviewer:	Date:	

Acknowledgement Form

Institution Name:

By signing below, the applicant acknowledges the following important program aspects:

- The institution will operate a Summer Program with a minimum of 4 weeks for all first-time students.
- The HEOP director will report to a senior level administrator as defined in the 2019-2024 RFP.
- The HEOP Director will remain at least 0.3 FTE for the duration of the program.
- The institution will ensure HEOP students will be fully packaged and not be encumbered by cumulative loans above the HEOP RFP mandatory limit of \$20,000 for commuter students and \$25,000 for resident students (a total of \$30,000 for a <u>resident</u> HEOP student to complete a baccalaureate program in NYC).
- The institution will meet the minimum of 15 % institutional match required for the duration of the grant
- All majors (restricted or otherwise including those with additional costs) offered by the IHE to general admit students are available to HEOP students

Chief Executive Officer / President:

Print Name:

Sign & Date:

CERTIFICATION – Sexual Harassment Policy

By submission of this application, each applicant and each person signing on behalf of any applicant certifies, and in case of a joint application each party thereto certifies as to its own organization, under penalty of perjury, that the applicant has and has implemented a written policy addressing sexual harassment prevention in the workplace and provides annual sexual harassment prevention training to all of its employees. Such policy shall, at minimum, meet the requirements of section two hundred one-g of the labor law.

X. Proposal Guidelines

Page Limits

Proposal Narrative and Budget Narratives will have to meet a page limit; unauthorized attachments or addenda will not be read by the reviewers. The attachments must be double-spaced 8.5" x 11" pages with one-inch margins. Charts/tables are not required to adhere to this standard. Use Calibri font in a 12-point size.

- 1. Proposal Narrative-- no more than 30 pages
- 2. Budget Narrative-- no more than 5 pages

Each IHE may submit more than one proposal if:

- a. the IHE has different sets of student populations that qualify for HEOP (e.g. a proposal for a program dedicated to full-time students and a separate proposal for a program dedicated to part-time students)
- b. the IHE has different schools or colleges under a central authority and/or charter and there are separate admission standards for each school or college

The maximum number of FTE for any institution of higher education making one or more HEOP applications will be capped at a total of 650 FTE per program year. No funds will be provided for more than 650 FTEs - regardless of the number of separate applications submitted for separate campuses or different sets of student populations that qualify for HEOP. The Budget must include the FS-10 budget form, a budget narrative (see evaluation rubric) and a composite budget, which provides explanation and background justification for all expenses entered onto the FS-10 to include the institutional contribution and funds from other sources. HEOP expenses and matching funds will be grouped under the FS10 allowable categories.

In requesting HEOP funds, both current and start-up program applicants must base the FTE number in their budget requests on the number of students enrolled in the first year of the funding cycle. Start-up programs must include the projected FTEs for years 2-5, as these FTEs will be used to calculate budget awards for years 2-5; staffing plans for these applicants must account for the increase in FTEs within the first four years. The number of FTEs expected each year for current programs must remain the same. For start-up programs, FTEs may steadily increase, as additional students enroll each year, until FTEs level off in the fourth year of funding.

Proposal Narrative (80 points)

Provide a comprehensive description of the proposed project. Be clear, precise and adhere to the following required format. Make sure to avoid circular reasoning. The narrative will be reviewed in accordance with the following points and rubric.

- 1. Executive Summary (2 points)
- 2. Organizational Background (8 points)
- 3. Need (4 points)
- 4. Goals/Objectives (6 points)
- 5. Methods (5 points)
- 6. Recruitment and Admissions (8 points)
- 7. HEOP Summer Program (10 points)
- 8. Academic Year Academic Support Services (15 points)
- 9. Student Financial Aid (20 points)
- 10. Probation and Termination Policies and Procedures (2 points)

I. Narrative

- A. Application Cover Page
- B. Executive Summary: (1-page max) 2 points

This section summarizes the proposal's purpose, scope, and outcomes.

C. Organizational Background ("Who" section): (3 pages max) 8 points

This section should include:

- 1. An overview and brief description of the organization.
- This section should explain why your organization is qualified to be a HEOP institution; this includes a brief history, accomplishments, qualifications, and experience in education opportunity programs and/or serving the needs of disadvantaged populations.

 Description of compliance with reporting requirements and student outcomes in the last HEOP cycle or for similar opportunity programs (e.g. C/STEP, TRIO, or similar campus-based programs supported by the IHE).

4. IHE Interrelationships:

- a. Provide a copy of the organizational chart of the institution and of the area of responsibility of the official to whom the HEOP Director reports. The HEOP director must report to a senior level administrator of the institution. A senior level administrator is one who directly reports to either the institution's President, chief academic officer, and/or governing board or boards. The institutions are strongly encouraged to have the HEOP director report to a Chief Academic Officer (e.g. provost or Vice President of Academic Affairs).
- b. List the campus-wide committees on which HEOP staff members serve.
- c. Please reference the following and include as attachments:
 - i. A section on Key Personnel and/or HEOP Management
 - ii. Job/Title Descriptions (do not use resumes in lieu of Job/Title Descriptions).

5. Internal Program Relationships:

Describe the internal structure of the HEOP office. Include:

- a. The HEOP staff positions that have coordinating responsibilities for the major components of the program (e.g. summer program, admissions, financial aid, counseling, tutoring, evaluation, budgeting, reporting).
- b. A HEOP organization chart for all program-related personnel.
- D. Need ("Why" section): (2 pages max) 4 points

This section should include:

1. Why does the institution seek to operate HEOP?

- A description of the target population, including the local and other communities, the institution is seeking to serve, and include information such as demographics, poverty, educational opportunities, and high-needs high schools in the areas served. Recruitment from the local community is encouraged.
- E. Goals/Objectives ("What" section): (5 pages max) 6 points

This section should include:

- 1. Goals: should be in accordance with the goals for HEOP as established by SED which are:
 - a. To enroll the most educationally and economically disadvantaged HEOP eligible students in competitive programs of study (e.g. nursing, engineering). All majors (restricted or otherwise – including those with additional costs) offered by the IHE to general admit students must be available to HEOP students. (2 pages max)
 - b. To provide the necessary training and supportive services that assist HEOP students in succeeding academically. (2 pages max)
 - c. To engage and retain HEOP students to graduation and assist them in pursuing postgraduate academic and/or employment opportunities. (2 pages max)
- 2. Objectives: should be clear (use Specific, Measurable, Achievable, Relevant, and Time-Bound [SMART]) objectives that are directly related to achieving the goals.
 - a. Describe the program objectives that are unique to your IHE.
 - b. Describe outcome objectives (benefits to the IHE community and HEOP students).
- F. Methods ("How" Section): (2 pages max) 5 points

How does the institution plan on achieving the stated goals and objectives?

- G. Recruitment and Admissions: (4 pages max) 8 points
 - 1. Population

- a. State how many students the institution is looking to support each year of the HEOP cycle.
- Describe the specific characteristics (economic, educational i.e. high-needs high schools, geographic location) of the pool of potential HEOP eligible students from which the IHE intends to draw applicants.
- c. Describe the program and services available on campus for serving underrepresented populations such as low income, first-generation students and in need of academic support.
- 2. Recruitment and Admissions strategies
 - a. Discuss the strategy the IHE uses to recruit HEOP students.
 - b. Discuss the recruitment and admissions processes for HEOP students.
 - c. Explain how the IHE will narrow down the initial pool to accept, admit and enroll students into HEOP.
 - d. Provide a HEOP admissions timetable for 2019-2020 that includes:
 - i. Recruitment
 - ii. Selection
 - iii. Acceptance letter
 - iv. Cut-off dates
- 3. Selection Criteria
 - Provide a chart that shows the admissions criteria for regular admit students and for HEOP students. If applicable, include:
 - i. Test scores (e.g. SAT, ACT, Regents Exams)
 - ii. High School average/GPA

- iii. Class Rank
- iv. Diploma type (e.g. Regents diploma, GED/TASC)
- v. Pre-testing
- vi. Attendance in a High Needs High School
- vii. Any other quantifiable criteria used
- b. Provide a description of the qualitative criteria (e.g. letters of recommendation, personal interviews, et cetera) used for both groups of students.

H. HEOP Summer Program: (4 pages max) 10 points

Discuss all summer activities designed to prepare HEOP students for the rigor of the academic year and prepare them to integrate into the college community. This includes:

- The number of potential first-time HEOP students participating in the HEOP Summer Program.
- Description of the counseling and advisement services to be offered to first-time HEOP students. Include:
 - a. List of staff, by title, which will provide counseling services, including:
 - i. Counselor to student ratio (the assigned counseling caseload for each staff position involved in counseling).
 - ii. Description of the use of summer peer counselors, including:
 - (A). Discussion of their specific qualifications and responsibilities.
 - (B). Description of the training and supervision to be provided.
 - b. Counseling staff orientation and in-service training.
- 3. Types of counseling provided (e.g., personal, academic, financial, career, psychological), including:

- a. Frequency of counseling contacts with individual first-time HEOP students
- b. Coordination with campus counseling services (e.g., academic advisement, career planning and placement, counseling center).
- 4. Referral system for off-campus counseling services.
- 5. Description of the tutoring services to first-time HEOP students. Include:
 - a. Types of tutoring services provided (e.g., individual, group, peer, professional, structured review classes, computer-assisted instruction).
 - b. Coordination and monitoring of tutoring services, including the evaluation process used to determine tutoring effectiveness, and coordination with other tutoring services available on campus (e.g., Learning Center).
- Description of the remedial/developmental coursework to be offered to first-time HEOP students, including:
 - a. Titles of all remedial/developmental courses to be offered.
 - b. Student diagnostic testing, placement, and scheduling for these courses.
 - c. Grading policies for these courses.
 - d. Faculty recruitment, selection, training and orientation.
 - e. The system used for the coordination and supervision of faculty.
- 7. Other services provided for first-time HEOP students, including:
 - a. HEOP Summer Program and Orientation.
 - b. Non-classroom activities (academic, career, social, cultural and recreational).
 - c. Room, travel and meal arrangements, as applicable.
 - d. Post-summer evaluation of individual student progress and advisement for the academic year.

- e. Tentative weekly Summer Program schedule of courses and activities.
- I. Academic Year Academic Support Services: (4 pages max) 15 points

Describe the academic year services that have been developed to support all levels of HEOP students in attaining academic success and graduation.

- Description of academic year counseling and advisement services for enrolled HEOP students. Include a listing of staff, by title, providing academic year counseling services, including:
 - a. Counselor to student ratio (the assigned counseling caseload for each staff position involved in counseling).
 - b. description, with rationale, of the use of any peer counselors, including discussion of their specific qualifications, responsibilities, training and supervision.
 - c. professional counseling staff orientation and in-service training.
- Types of counseling provided (e.g., personal, academic, financial, career, psychological), including:
 - a. Minimum number of counseling contacts required for each student, by term and year of study.
 - b. Additional counseling contact requirements for special categories of students (e.g., first-time HEOP, HEOP transfers, HEOP students under probation).
 - c. Coordination with campus counseling services (e.g., academic advisement, career planning and placement, counseling center).
 - d. Referral system for on and off-campus counseling services.
- 3. Description of tutoring services, including:
 - a. Types of tutoring services provided to meet these needs (e.g., individual, small group, peer, professional, structured review classes, and the use of computerized services).

- b. Tutor recruitment and selection process including qualifications.
- c. Tutor orientation and training.
- 4. Coordination and monitoring of tutoring services, including:
 - a. Evaluation process used to determine tutoring effectiveness.
 - b. Description of other tutoring services available on campus and the coordinating mechanisms in place.
- 5. Description of academic year remedial and/or developmental courses to be offered if any, including:
 - a. Titles for all remedial and/or developmental courses to be offered.
 - b. Student diagnostic testing, placement, and scheduling for such courses.
 - c. Grading policies for these courses
- 6. Procedures used to appoint and evaluate instructors, including:
 - a. faculty recruitment and selection process.
 - b. faculty training and orientation programs.
 - c. planned system for coordination and supervision of faculty.
 - d. Communication vehicles established between HEOP staff and course instructors working with the same students.
- Other academic support activities available on campus and how they are used by HEOP students, including coordination between HEOP and the campus learning skills center, if one exists.
- J. Student Financial Aid: (4 pages max) 20 points

Describe the processes used to budget, package, award, and disburse financial assistance to program students (keeping in mind that HEOP requires full need packaging). Include:

- 1. HEOP director's involvement in the development of financial aid policy and packaging procedures.
- 2. Federally-recognized needs analysis system used (i.e. FASFA or its successor and/or other federally-recognized Institutional methodology).
- Institution's general policies regarding student financial aid and any special policies for HEOP students.
- 4. Self-help policy for HEOP Students (loans, work, and student and expected family contribution).
- 5. Institution policy for the allocation of discretionary funds (e.g. Federal SEOG, FWS and loans) and aid from other sources.
- 6. Institution policy regarding the effects of outside grants and scholarships on the financial aid package of program students.
- 7. Timetable with dates for issuing award letters to first-time and continuing HEOP students.
- 8. Disbursement procedures and timetable.
- K. Probation and Termination Policies and Procedures: (2 pages max) 2 points

Describe probation and termination policies in place for both general admit students and HEOP students and their relationships to the SED-approved standard of academic progress chart for the IHE, including but not limited to:

- 1. HEOP staff's role in probation/dismissal decisions for HEOP students.
- 2. Dismissal policies with HEOP student appeal provisions.
- 3. Exit counseling provided to HEOP students.
- J. Extra credit section: up to 5 points

Describe how the program will provide financial aid packages that keeps the annual loans less than the maximum allowed.

II. Form FS-10 Budget and Narrative (20% of score)

Provide an itemized budget on the FS-10 budget form, a HEOP composite budget and a narrative of a maximum of five pages describing how the requested funds will be used for the **first year** of the project.

Budgeted items must be reasonable in cost and necessary for the project to receive the maximum points. SED staff will eliminate any unallowable or unreasonable items in the budget. Grantees will not be allowed to substitute new items for those that have been eliminated.

Budgeted costs must follow applicable state and federal laws and regulations and the Department's Fiscal Guidelines. These guidelines, as well as the FS-10 form, are available online on the <u>Grants</u> <u>Finance website</u>. The FS-10 must bear the original signature of the College/University President/Chancellor (Chief School/Administrative Officer).

Information about the categories of expenditures, as well as general information about allowable costs, applicable cost principles and administrative regulations are available in the <u>Fiscal Guidelines for</u> <u>Federal and State Aided Grants</u>.

All applicants must submit:

- A complete FS-10 budget form (not counted in the page total) for the first year of the program, which clearly identifies costs associated with the major program activities described in the narrative.
- 2. A complete HEOP composite budget form to identify the amount of requested HEOP funds, institutional funds, and other funds being used in each of the allowable cost categories.
 - a. The institutional match portion of the worksheet provides the applicant with the ability to record the categories of expenditures used in the calculation of the required institutional match.
 - b. In requesting HEOP funds, both the current and the start-up program applicants must base the FTE number in their budget requests on the number of students enrolled in the first year of the funding cycle. Start-up programs must include in the composite budget form the projected FTEs for years 2-5, as these FTEs will be used

to calculate budget awards for years 2-5. The number of FTEs expected each year for current programs should remain the same. For start-up programs, FTEs may steadily increase, as additional students enroll each year, until FTEs level off in the fourth year of funding.

- 3. A complete Budget Narrative that provides an explanation of the items, expenses, and calculation of cost for each item included in the FS-10:
 - a. Describe the staffing and organizational plan that has been developed to support the HEOP.
 - i. Description and justification of the staffing for the overall management of the HEOP.
 - ii. Description and justification of the staffing for the counseling provided (e.g., personal, academic, financial, career, psychological).
 - iii. Description and justification of the staffing for the tutoring services.
 - iv. Description and justification of the staffing for remedial support offered to HEOP students.
 - v. Description and justification of the staffing for other services provided for HEOP students.
 - b. Describe the specific items included as academic support expenses, including the justification of need and cost.
 - c. Describe the specific items included as Supplemental Financial Assistance, including the justification of the allowability under sec. 152-1.5 of the Commissioner's regulations, the student need, and cost calculation.
 - d. Describe the specific items included as Tuition Assistance, including the justification of how these costs are allowable under Education Law sec. 6451, the student need, and cost calculation.

- i. This includes a justification for all charges related to tuition assistance for student attendance during the regular academic semesters.
- This includes those charges included under Tuition Assistance for all courses deemed remedial, with a justification for the course and description of the remedial course(s).
- e. Describe the specific items included as Institutional Match, including the justification and cost calculation, and how HEOP funds do not supplant other institutional efforts.

Appendix 1: Staffing Guidelines

The following staffing pattern is a guide for program administrators:

Administrative Staff

Summer [based on headcount of first-time HEOP students and continuing HEOP students]:

Number of Students

Up to 30: full-time HEOP director

31 – 75: full-time HEOP director and half-time assistant director

76 +: full-time HEOP director and one full-time assistant director

Academic Year (based on headcount of HEOP students):

Number of Students

Up to 30:	full-time HEOP director
31–60:	full-time HEOP director and one full-time assistant director
61–100:	full-time HEOP director, one full-time assistant director and one half-time Administrative assistant (this type of assistance shall not be paid using HEOP funds).
101 +:	full-time director, one full-time assistant director and full-time administrative assistant (HEOP funds cannot be used for administrative assistants)

Counseling Staff:

Summer Program

- a. First-time HEOP Student one full-time HEOP counselor for every 20 first-time HEOP Students (headcount). If there are peer counselors employed in the summer, the ratio is one HEOP counselor for every 30 first-time HEOP students. The recommended student to peer counselor ratio is 10:1.
- b. Summer HEOP-Funded Continuing Students
- Up to 25: half-time HEOP counselor
- 26 +: one full-time HEOP counselor

Academic Year (based on headcount of HEOP students):

Number of Students

Up to 25:	half-time HEOP counselor
26–50:	one full-time HEOP counselor
51–75:	one full-time HEOP counselor & one HEOP half-time counselor

76–100: two full-time HEOP counselors

Appendix 2: Sample HEOP Educational & Economic Eligibility Verification Forms

ŀ	-	ner Education Opportu DN OF ECONOMIC ELIG	-	-		
APPLICANT'S NAME	:		ID#			
ADDRESS:						
			PHONE	::		
Applicant is applyin	ng for:	(Semester)				
The following documentation is attached to review for economic eligibility:						
Dependency Status: Dep. Ind. Marital Status: Married Single/Div/Sep Widowed						
15% Variation:	Yes 🛛 No History	of Economic Disadvantage:	□ Ye	es 🗆 No		
NUMBER IN HOUSEHOLD INCOME SOURCE INCOME AMOUNT						
SPECIAL COMMENTS	S					
	Income: <u>\$</u>	******	*****	****	****	
Documentation ch		• • • • • • • • • • • • • • • • • • •	ጥ ጥ ጥ ጥ ጥ ጥ ጥ	ጥ ጥ ጥ ጥ ጥ ጥ ጥ ጥ ጥ ጥ ጥ ጥ ጥ ጥ ጥ ጥ ጥ	• ጥ ጥ ጥ ጥ ጥ ጥ	
Social Services?	\Box Family is the recip	pient of aid to dependent chi	ldren	□ Home relie	f	
	□ Family date care payment □ Supplementary Security Income					
Foster Youth? Letter from Agency Social Service Verification						
Ward of the State	or County?	etter from Agency 🛛 Soci	al Servio	ce Verification		
Financial documen	its collected:					
□ 4506-T □ N	otarized letter regardin	ng child support 🛛 🗆 Signed	d tax ret	urns		
□ FAFSA, SAR and/c	or TAP app 🛛 🗆 Work	kman's Compensation Form	🗆 So	ocial Security Be	enefits 1099	
Other:						
HEOP Director	Date	Financial Aid Dire	ector	Date		

Arthur O. Eve Higher Education Opportunity Program

VERIFICATION OF EDUCATIONAL ELIGIBILITY

APPLICANT'S NAME:				ID#	
ADDRESS:					
			City	State	ZIP
				H.S. GPA:	
High Needs High School?	🗆 Yes	□ No			
SAT: Verbal	Math	Writing		PSAT:	
ACT: English	Math	Reading		Science	Comp
ENTRY DATE:	INT	ENDED MAJOR:			

To be eligible for HEOP, an applicant must be inadmissible to the college/university's general admissions standards according to Education Law §6451 and 8 NYCRR Subparts 27-1 & 152-1. The above-named is <u>eligible</u> for consideration for the Higher Education Opportunity Program for the following reasons:

Check all that apply:

Applicant's high school average is lower than the admissions requirements of this college/university.
Applicant's SAT/ACT or other standardized test scores are lower than the admissions requirements for this college/university.
Applicant's TOEFL test scores are lower than the admissions requirements for this college/university.
Applicant's Regents exam scores were below admissions requirements for this college/university.
Applicant has obtained a New York State High School Equivalency Diploma conferred under the procedure outlined in Commissioner's Regulation section 100.7
Non-competitive application. Provide an explanation:
Applicant shows academic deficiency in the following academic subject areas:

HEOP Director

Date

Admissions Director

Date

Arthur O. Eve Higher Education Opportunity Program SAMPLE CHECKLIST FOR STUDENT'S FINANCIAL AID FILE

STUNDET'S NAME:

I. HEOP ELIGIBILITY INFORMATION

a.	FAFSA	
b.	Verification of Economic Eligibility Form	
с.	Verification of Educational Eligibility Form	
d.	Parent's income document - Signatures	
e.	Student's income document - Signatures	
f.	1722 Form or 4506 Form	
g.	Notarized Statement Regarding Child Support	
h.	Documents regarding Social Security Benefits	
i.	Documents regarding Workman's Compensation	
j.	Transfer Eligibility Form(s)	
II. DOCUI	MENTS NEEDED FOR PACKAGING	
a.	Award Letter(s)	
b.	Student Aid Report	
с.	Parent's Non-Tax Filing Stmt.	
d.	Student's Non-Tax Filing Stmt.	
e.	TAP ETA and/or Award Slip	
f.	Financial Aid Transcripts	

Comments:

Appendix 3: Transfer Certification Form

Higher Education Opportunity Program

TRANSFER STUDENT CERTIFICATION FORM

Instructions:

This certification of Transfer Student Eligibility is to be completed by the HEOP Director at the student's current institution; a copy of this form shall be retained on file by both institutions.

HEOP student loans are currently limited to \$20,000 for commuter students and to \$25,000 for resident students (\$30,000 for a resident HEOP students in NYC). HEOP students must be informed that there <u>may be no loan limit</u> for students who transfer from HEOP to other NYS-sponsored opportunity programs such as SEEK/CD and EOP.

	Student Information	
Last Name	First Name	Middle Name
SSN#	Last Date of Attendance	

Student is applying for:

Fall Semester		Spring Semester		Academic Year:			
Eligible for the	Foster `	Youth Care Initiative	e?	Yes		No	

Indicate the specific terms of participation, omitting enrollment in any pre-freshman activities. Please indicate **FT** for full-time or **PT** for part-time. If the student enrolled in less than six credits hours, indicate the number of credits.

Term	FT/PT	Term	FT/PT	Term	FT/PT	Term	FT/PT
Summer		Fall		Winter		Spring	
Summer		Fall		Winter		Spring	
Summer		Fall		Winter		Spring	
Summer		Fall		Winter		Spring	
Summer		Fall		Winter		Spring	

We hereby certify that

(Student's Name)

has been enrolled in

(Current Institution)

from <u>(Start Date)</u> to <u>(End Date)</u> and has met the academic and economic eligibility requirements for the respective opportunity program upon admission.

This student has used a total of		semesters of HEOP eligibility at this
	(Number of Semesters Used)	-
institution.		

of eligibility at the following colleges/universities:

Institution Name	Start Date	End Date

Supporting documentation is on file at this institution for this student and we understand that the documentation is subject to an audit by New York State.

Program Director Name (printed):									
Institution:									
Signature:			Date:						
Phone:	Fax:	Email:							
Please send this fo	rm to:								
Name:									
Campus Address:									
Phone:	Fax:								

PROPOSAL EVALUATION RUBRIC

Score Sheet New York State Education Department Higher Education Opportunity Program 2019-2024 RFP SED Use Only

Raters are asked to evaluate each element of the proposal narrative as listed in the application. The Program Narrative and attachments will first be reviewed to confirm that eligibility requirements have been met. Two raters will independently read and evaluate each proposal. If there is a difference of 15 points or more between the two reviewers' scores, a third reviewer will review the application. The two scores closest in numeric value will be averaged to calculate the final average score of the application. If the third reviewer's score is equal to the average of the two original scores, the third reviewer's score will become the final score.

Application may receive up to 80 (+5 for extra credit) points for Part I. Applications must receive a final average score of 65 or above (after extra credit points) to be eligible to receive an award. <u>All sections must list strengths and weaknesses under the</u> <u>'Explanation of Score</u>.

Rater:	Applicant:
Conflict of Interests: (Yes/No)	Postsecondary Education Region:
Submitted Acknowledgement Form (Yes/No):	Required Component Review Score and Extra Credit Component Score (Part I): Budget and Budget Narrative Score (Part II): Final TOTAL Score:

Rating Guidelines:

Quality Indicator	Description
Very Good	The response is specific and comprehensive. There is complete, detailed, and clearly articulated information as to how the criteria are met. The ideas presented are innovative, well-conceived and thoroughly developed.
Good	The response is reasonably comprehensive and includes adequate detail. It contains many of the characteristics of a response that is very good even though it may require additional specificity, support or elaboration in places.
Fair	The response is non-specific and lacks focus and detail. The response addresses some of the selection criteria, but not all. Some ideas presented are sound, but others are not responsive to the purpose of the RFP. Additional information is needed to be reasonably comprehensive and meet the criteria of a response that is good.
Poor	The response does not meet many criteria; provides inaccurate information or provides information that requires substantial clarification as to how the criteria are met; lacks meaningful detail; demonstrates lack of preparation; or otherwise raises substantial concerns about the applicant's understanding of the issue in concept and/or ability to meet the requirement in practice.
No Evidence	The response does not address the criteria or simply re-states the criteria.

Part I

EXECUTIVE SUMMARY (GENERAL REQUIREMENTS) (Up to 2 points)											
	0		0.5		1		1.5			2	
	No Evidence		Poor		Fair	Good Good		I		Very Good	
					Score:			Explar	natior	n of Score:	
The e	xecutive summary	y should	d describe:								
The p	The purpose, scope, and intended outcomes of the program.										

OF	ORGANIZATIONAL BACKGROUND ("WHO?" SECTION) (Up to 8 points)												
	0	1 - 2		3-5	6-7		8						
	No Evidence	Poor		Fair	□ Good		Very Good						
				Score:		Explan	ation of Score:						
Th	This section should include:												
1.	1. An overview and brief description of the IHE.												
2.	history, accompli	n how the college/uni shments, qualification s of disadvantaged pop	s, and exp	perience in e									
3.	-	compliance with repor portunity programs (e.					=						
4.	IHE Interrelations A description of t	ships: he external reporting:	structure	of the HEOP	office as follo	ows:							
		organizational chart of HEOP Director reports.		ution and of	the area of r	esponsil	bility of the official						
	b. A list of campu	us-wide committees o	n which H	EOP staff me	embers serve.								
	i. A	should be attached: section on Key Person b/Title Descriptions (t	-		-								
5.	Internal Program A description of t	<u>Relationships:</u> he internal structure o	of the HEC	DP office. Thi	s section sho	uld inclu	ıde:						
	a. The HEOP staff positions that have coordinating responsibilities for the major components of the program (e.g. summer program, admissions, financial aid, counseling, tutoring, evaluation, budgeting, reporting).												
	b. A HEOP organization chart for all program-related personnel.												
<u> </u>													

NEED ("WHY?" SECTION) (Up to 4 points)												
	0		1		2		3			4		
	No Evidence		Poor		Fair		Good			Very Good		
	Score: Explanation of Score:											
This	s section should in	clude:										
1.	1. Why does the college/university seek to operate HEOP?											
	2. A description of the target population including the local and other communities the institution is seeking to serve and include information such as demographics, poverty, educational opportunities, and high-needs high schools in the areas served. Recruitment from the local community is preferred.											

GOAL	GOALS/OBJECTIVES ("WHAT?" SECTION) (Up to 6 points)											
	0		1 - 2		3	4 - 5				6		
	No Evidence		Poor		Fair	□ Good			Very Good			
					Score:			Explan	ation	of Score:		
This s	ection should in	clude:										
1. Go	bals:											
a.	 a. To enroll the most educationally and economically disadvantaged HEOP eligible students in competitive programs of study (e.g. nursing, engineering). 											
b.	To provide the academically.	necess	ary training and	d suppor	tive services	that a	ssist HE	OP stud	ents	in succeeding		
C.	To engage and academic and/			-	ation and as	sist th	em in p	oursuing	postę	graduate		
	 Objectives should be clear and IHEs should use Specific, Measurable, Achievable, Relevant, and Time- Bound [SMART] objectives that are directly related to achieving the goals. 											
a.	A description o	of the p	rogram's objec	tives that	t are unique t	to the	IHE.					
b.	description of	cription of the program's outcomes (e.g. enrolment, retention and graduation)										

ood
e:

RE	CRUITMENT AND	ADMISSIONS (Up to 8	points)									
	0	1 - 2		3-5	6-7		8					
	No Evidence	Poor		Fair	Good		Uery Good					
				Score:		Explana	ation of Score:					
	This section should include:											
1.	description of th	e population served in	cluding:									
	a. How many stu	dents will the IHE supp	ort each	n year of HEO	P cycle.							
	•	aracteristics (economi e pool of potential HEC										
		should describe the pronted populations such a port.	0			•	•					
2.	A description of r	ecruitment and admiss	sions str	ategies includ	ing:							
	a. The strategy th	ne IHE uses to recruit H	IEOP stu	dents								
	b. The recruitme	nt and admissions proc	cesses fo	or HEOP stude	ents							
	c. How does the	IHE narrow down the i	nitial po	ol to accept, a	admit and en	roll stud	ents into HEOP.					
	 c. How does the IHE narrow down the initial pool to accept, admit and enroll students into HEOP. d. A HEOP admissions timetable for 2019-2020 that includes: Recruitment Selection Acceptance letter Cut-off dates 											
3.	Selection Criteria	:										
	 a. A chart that shows the admissions criteria for regular-admit and HEOP student is provided. If applicable, include: Test scores (e.g. SAT, ACT, Regents Exams) High School average/GPA 											
	iv. Di v. Pr vi. At	ass Rank ploma type (e.g. Reger e-testing tendance in a High Neo ny other quantifiable cr	eds High	School	C)							
	-	qualitative criteria (e.g s of students is provide		of recommen	dation, perso	onal inte	rviews, et cetera)					

HE	OP SUMMER PROGRAM	(Up to 10 point	ts)					
	1-3	4 - 6	5		7 – 9	9		10
	Poor		Faiı	r		Good		Very Good
				Score:		E	xplanatio	on of Score:
Th	is section should include:							
	description of all summer ar and prepare them to ir	-	•	•		nts for the ı	rigor of th	ne academic
1.	The number of potentia	l first-time HEOI	P stude	nts parti	cipating in t	he HEOP Su	ummer Pr	ogram
2.	A description of the cou include:	nseling and adv	isement	t service	s available t	o first-time	HEOP stu	udents that
	involved ii. Descripti - A discus	which will provid or to student rat in counseling). on of the use of ssion of their spe ption of the tra	io (the a summe ecific qu	assigned er peer o ualificati	counseling ounselors, i ons and resp	caseload fo ncluding: ponsibilities		aff position
	b. Counseling staff orier	ntation and in-se	ervice tr	raining				
3.	A description of the type psychological), including		provide	ed (e.g.,	personal, ac	cademic, fin	nancial, ca	areer,
	a. Frequency of counsel	ing contacts wit	h indivi:	idual firs	t-time HEOF	P students.		
	b. Coordination with car placement, counselin		g servic	es (e.g.,	academic ad	dvisement,	career pla	anning and
4.	A description of the refe	erral system for	off-cam	ipus cou	nseling serv	ices.		
5.	A description of the tuto	oring services to	first-tir	me HEOI	student the	at Include:		
	a. The types of tutoring services provided (e.g., individual, group, peer, professional, structured review classes, computers assisted instruction)							ructured
	 b. Coordination and mo tutoring effectiveness Learning Center). 	-	-		-			

- 6. A description of the remedial/developmental coursework to be offered to first-time HEOP students, including:
 - a. Titles of all remedial/developmental courses to be offered
 - b. Student diagnostic testing, placement and scheduling for these courses
 - c. Grading policies for these courses
 - d. Faculty recruitment, selection, training and orientation
 - e. The system used for the coordination and supervision of faculty.
- 7. A description of other services provided for first-time HEOP students, including:
 - a. HEOP Summer Program and Orientation
 - b. Non-classroom activities (academic, career, social, cultural and recreational)
 - c. Room, travel and meal arrangements, as applicable
 - d. Post-summer evaluation of individual student progress and advisement for the academic year
 - e. Tentative weekly Summer Program schedule of courses and activities

AC	ACADEMIC YEAR ACADEMIC SUPPORT SERVICES (Up to 15 points)							
	0	1-4		5 - 10	11 – 14		15	
	No Evidence	Poor		Fair	☐ Good		Very Good	
		•		Score:		Explan	ation of Score:	
Thi	s section should in	nclude:						
1.	•	academic year counseli title, providing acader	-					
	a. Counselor to st counseling)	tudent ratio (the assig	ned cour	nseling caselo	ad for each s	taff posi	tion involved in	
	•	th rationale, of the use responsibilities, trainir	-	•	ors, including	discussi	on of their specific	
	c. professional cc	ounseling staff oriental	tion and	in-service tra	ining			
2.	Types of counseli	ng provided (e.g., pers	ional, ac	ademic, finan	cial, career, p	sycholo	gical), including:	
	a. Minimum num	ber of counseling cont	tacts req	uired for eacl	n student, by	term an	d year of study	
		nseling contact require s, HEOP students unde		•	egories of stu	udents (e	e.g., first-time HEOP,	
		vith campus counseling unseling center).	g service	es (e.g., acade	mic adviseme	ent, care	er planning and	
	d. Referral systen	n for on and off-campu	us couns	eling services				
3.	Description of tut	toring services, including	ng:					
	a. Types of tutoring services provided to meet these needs (e.g., individual, small group, peer, professional, structured review classes, and the use of computerized services).							
	b. Tutor recruitm	ent and selection proc	ess inclu	uding qualifica	ations.			
	c. Tutor orientati	on and training.						

- 4. Coordination and monitoring of tutoring services, including:
 - a. Evaluation process used to determine tutoring effectiveness.
 - b. Description of other tutoring services available on campus and the coordinating mechanisms in place.
- 5. Procedures used to appoint and evaluate instructors, including:
 - a. faculty recruitment and selection process.
 - b. faculty training and orientation programs.
 - c. planned system for coordination and supervision of faculty.
 - d. Communication vehicles established between HEOP staff and course instructors working with the same students.
- 6. Other academic support activities available on campus and how they are used by HEOP students, including coordination between HEOP and the campus learning skills center, if one exists.
- 7. A description of the remedial/developmental coursework to be offered to first-time HEOP students, including:
 - a. Titles of all remedial/developmental courses to be offered
 - b. Student diagnostic testing, placement and scheduling for these courses
 - c. Grading policies for these courses

STUDENT FINANCIA	AID Part A (Up to 10	points)							
0	1-3		4-6	7 -9		10			
No Evidence	Poor		Fair	□ Good		U Very Good			
	Score: Explanation of Score:								
This section should in	nclude:								
A description of the processes used to budget, package, award, and disburse financial assistance to program students (keep in mind that HEOP requires full need packaging):									
1. The HEOP director	's involvement in the o	developm	ent of finan	cial aid policy	and pack	kaging procedures			
2. The timetable witl	n dates for issuing awa	rd letters	to first-time	e & continuin	g HEOP st	tudents			
2. The dichursement	procedures and timet	ahla							
3. The dispursement	procedures and timet	able							
4. A self-help policy f	or HEOP Students (loa	ns, work,	and student	t and expecte	d family (contribution)			
STUDENT FINANCIA	AID Part B (Up to 10	points)							
0	1-3		4-6	7 -9		10			
No Evidence	Poor		Fair 🗌 Good			□ Very Good			
			Score:		Explana	tion of Score:			
This section should ir	nclude:								
·	nstitutional processes n students (keep in mi		••••						
 A federally-recognized needs analysis system used (i.e. FASFA or its successor and/or other federally- recognized Institutional methodology) 									
The institution's general policies regarding student financial aid and any special policies for HEOP students									
3. The institution's policy for the allocation of discretionary funds (e.g. Federal SEOG, FWS and loans) and aid from other sources									
 An institutional policy regarding the effects of outside grants and scholarships on the financial aid package of program students 									

PROBATION AND TERMINATION POLICIES AND PROCEDURES (Up to 2 points)								
	0	0.5		1	1 1.5		2	
	No Evidence	Poor	🗌 Fair		□ Good		🔲 Very Good	
				Score:		Explan	ation of Score:	
This	section should in	nclude:						
HEO		probation and termina heir relationships to th t limited to:	•	•	0			
1. Tl	he HEOP staff's ro	ole in probation/dismi	ssal decis	ions for HEC	P students			
2. Dismissal policies with HEOP student Exit counseling provided to HEOP students								
3. The exit counseling provided to HEOP students								

EXTRA CREDIT SECTION up to 5 points:

Maximum loan limits (Up to 5 points)								
0 1 2 3 5								
□ 100%	90%	□ 80)%	□ 75%	50% or Less			
Score: Explanation of Score:								
 than the maximum 1. \$5,000 f 2. \$4,500 f 3. \$4,000 f 4. \$3,750 f 5. \$2,500 f 5. \$2,500 f For NYC reg 1. \$6,000 f 2. \$5,400 f 3. \$4,800 f 4. \$4,500 f 	allowed. for residential studen or residential studen or residential studen or residential studen	ts and \$4,00 ts and \$3,60 ts and \$3,20 ts and \$3,00 ts and \$2,00 ts and \$2,00 ts – 0 points ts – 1 point ts – 2 points ts – 3 points	00 for com 00 for com 00 for com 00 for com 00 for com 5 (100%) 5 (80%) 5 (75%)	muter students muter students muter students muter students muter students	– 1 point (90%) – 2 points (80%)			

Total points Part I: _____ + (plus) extra credit points (if any) = Total Part I Score: ______

PLEASE STOP YOUR REVIEW

Is this a for-profit institution?

Yes or No

IF NO, PROCEED WITH SCORING.

IF YES, STOP SCORING.

Fiscal Viability Scores (Part 2) and total scores for all for-profit applicants will be determined by the SEDs Contract Administration Unit.

BUDGET AND BUDGET NARRATIVE SCORING (Up to 20 points) for not-for-profit IHEs

NOTE: Applicants who submit a budget and budget narrative that requests awards over \$4,875,000 total per application and/or \$7,000 (\$7,500 for NYC) per FTE will have the budget reduced and their score will be reflected accordingly.

Are the requested awards amounts over the	Yes/No	Explanation of Score:
\$4,875,000 total per application (\$4,550,000 for		
IHEs that are not in NYC region) and/or the \$7,000		Strengths:
(\$7,500 for NYC) total per FTE?		
NOTE: If YES, note and score accordingly		Weaknesses:

Overall this section should include:

- A complete FS-10 form that shows in detail all expenses requested from the Higher Education Opportunity Program funds during the 2019-2024 grant cycle is provided.
- A budget that presents expenses that are allowable, realistic, accurate, cost-efficient, and clearly relate to and reflect project activities, objectives, and outcomes.
- Costs that are reasonable in relation to the objectives, design, and potential significance of the proposed project.
- The estimated number of HEOP students to be served in each IHE is stated, and the costs per FTE are reasonable and cost-efficient.
- A HEOP composite budget form that identifies the amount of requested HEOP funds, institutional funds, and other funds being used in each of the allowable cost categories.
- A complete Budget Narrative that provides an explanation of the items, expenses, and calculation of cost for each item included in the FS-10 and in the composite budget.
- An institutional match that is equal or greater than 15%.
- A complete HEOP composite budget form that identifies the amount of requested HEOP funds, institutional funds, and other funds being used in each of the allowable cost categories is provided.
- A complete budget narrative that justifies all proposed expenditures and indicates the basis of calculation for each cost is provided. The information in a manner that will allow the reviewers to clearly understand the basis of calculation for each proposed expenditure. The budget narrative expenditure descriptions should also include a description of any institutional and other source contributions.
- A description of how the proposed expenditures are appropriate, reasonable and necessary to support the project activities and goals.
- A description of how the expenditures and activities are supplemental to and do not supplant or duplicate services currently provided.
- The required personnel, professional and technical services, and/or travel for the proposed project that are clearly explained.

FS-10 Budget/ Composite Budget/ Budget Narrative (Up to 5 points)							
0	2		3	4		5	
No Evidence	Poor	🗌 Fair		□ Good		Very Good	
			Score:		Explana	ation of Score:	
This section should in	clude:						
	Budget, and Budget Narr ns, and amounts corresp		•		0	•	

FS-10 Budget/ Composite Budget/ Budget Narrative (Up to 5 points)								
0	2	3	4	5				
No Evidence	Poor	🗌 Fair	🗌 Good	Very Good				
	Score: Explanation of Score:							
This section should in	nclude:							
	This section should include: Expenditures are reasonable and necessary to support the plan presented in the application. Budget items are clear and obvious about how they directly relate to the goals and objectives of this program.							

FS-10 Budget/ Composite Budget/ Budget Narrative (Up to 5 points)							
0	2		3	4		5	
No Evidence	Poor	🗌 Fair		☐ Good		🔲 Very Good	
			Score:		Explan	ation of Score:	
This section should in	clude:						
Budget items are suppl funding sources.	lemental to and do not s	upplant oi	r duplicate ex	penses and a	ctivities su	upported by other	

Institutional Match (Up to 5 points)									
0		2		3		4			5
□ <15%		15.1-40%		40.1-70%		70.1 -	100%		100%+
				Score:			Explan	ation	of Score:
This section must show an institutional match that is equal or greater than 15%.									

Total Part II points: ____ + Part I points_____= Total Score: _____

Number of Students Served (from application cover page) per year: _____

Total Budget Requested (from application cover page): _____

Appendix 4. Fiscal Viability 20 Points

APPLIES TO FOR-PROFIT INSTITUTIONS ONLY

Best Value Determination (as calculated using the information submitted via FS10 and Composite Budget)

Lowest HEOP Tuition Assistance per Academic Year FTE (10 Points total) Check one:

\$1,800 and under	10 points
\$1,801 - 2,100	8 points
\$2,101 - 2,400	6 points
\$2,401 - 2,799	4 points
Above \$2,800	0 points

Lowest HEOP Academic Support Services per Academic Year FTE (5 Points total) Check one:

\$1,	900 and under	5 points
\$1,	901 – 2,200	4 points
\$2,5	201 – 2,500	3 points
\$2,	501 – 2,799	2 points
Abo	ove \$2,800	0 points

Lowest HEOP Supplemental Financial Assistance per Academic Year FTE (5 points total) Check one:

\$1,900 and under	5 points
\$1,901 - 2,200	4 points
\$2,201 - 2,500	3 points
\$2,501 – 2,799	2 points
Above \$2,800	0 points

PART 3 FISCAL VIABILITY FOR PROFIT INSTITUTIONS [20]	Possible Points	Score
		Score
Best Value Tuition Assistance	10	
Best Value Academic Support Services	5	
Best Value Supplemental Financial Assistance per Student	5	
Total Part 3 Fiscal Viability For-Profit INSTITUTIONS	20	
Total Part 3 Fiscal Viability	20	