

# Announcement of Funding Opportunity

## Arthur O. Eve Higher Education Opportunity Program

Legislative Authority	<p>Section 6451 of the Education Law.</p> <p>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 and 1524 that were approved by the Board of Regents to reflect the changes in the law.</p>
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Purpose of Grant      The primary objective of the Arthur O. Eve Higher Education Opportunity Program (HEOP) is to provide a broad range of services to New York State

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Application Please s  
Submission  
Instructions,  
Due Date  
and Mailing  
Address

## FERPA Statement

The New York State Education Department (NYSED) is 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 Act), 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-

# Higher Education Opportunity Program (HEOP)

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

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

New York State Resident:







and the documentation kept on file. If the qualified student needs to be on ~~part~~-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~~ in a FullTime 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~~ 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~~ programs must include the projected FTEs for years ~~5, 2~~, as these FTEs will be used to calculate budget awards for years ~~2~~. The total number of FTEs expected each year for current programs shall remain the same for the duration of the grant. For ~~start~~ 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

1. 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~~ be 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 parttime 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~~ equivalent per term. All academic terms for the program calendar year (July ~~the~~ 30) will be counted.

Part-time students in a ~~part~~ time program can be enrolled in special sessions ~~or~~ 3 or more credits only in certain extenuating circumstances suc



to be a minimum of 0.3 FTE dedicated to HEOP, however, NYSED recommends that the director is dedicated fulltime 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: 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, etc.); 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. post 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.

1. 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 budget.

3.

5. Letters of recommendation
6. Personal interviews
7. Pretesting
8. Attendance in a High Needs High School (documented)  
<http://www.p12.nysed.gov/irs/accountability/201-112/NeedResourceCapacityIndex.pdf>

The admissions process must be designed to assess the applicant's potential for successful completion of a postsecondary 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.

2. 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 precollegiate opportunity programs:

- a. Science and Technology Entry Program (STEP)
- b. Liberty Partners 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 (TECHSIP)

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 educational and economic eligibility forms

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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 onetime 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 onetime 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:

1. The student's family is the recipient of family assistance program aid or safety net assistance through the New York State Office of Temporary and Disability Assistance or a county department of social services; or is the recipient of family 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 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.





Open Admissions

transfer students are admitted to the IHE as HEOP students. Opportunity students should not be transferred in as “general admit” students when applying to a HEOP Institution.

However, in the extenuating circumstance that a Opportunity program student chooses to accept

## Maximum Allowable Loans

1. 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 2012-2024 RFP cycle.
2. 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 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.

## G. Expenditures

### Allowable Expenditures

Section 6451 of the Education Law and Section 115.2 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 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 workstudy 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 ~~not~~ 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.

## 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 helps 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 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](mailto: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. Direct 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 (FS0)

Applicants must submit a FS0 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 110.658, are available online at the [Grants Finance website](#). The FS0 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~~ in cases of overpackaging 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.
3. 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 [Fiscal Guidelines for Federal and State Aided Grants](#)

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~~ 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 152.5 of the Commissioner's Regulations as HEOP, including special testing, tutoring or guidance services, should be recorded under the appropriate category.
  - a. Fee waivers may be granted by the test examining agency for income family/students. Waivers should be sought before using PLEOs for testing services. a.

Example A student enrolls in a developmental English course consisting of four contact hours/week (fifteenweek 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 pay 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 fulltime 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  $\frac{3}{4}$  of the total regular tuition charge for that semester.

### Tuition Assistance

1. Under the provisions of section 6451 of the Education Law and 152 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 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 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 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.



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 [Fiscal Guidelines for Federal and State Aided Grants](#).

## K. Reporting

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

- a. An analysis of program operation in terms of the stated objectives and the extent to which the objectives were achieved.



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~~ funding cycle will be phased out from HEOP. Institutions being phased out for unsuccessful applications will only receive funding for full package for their HEOP students however, funds cannot be used toward administrative expenses. e i i - 4 . 1 ( l y ) 4 s

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 (FFR). 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 WEBAC001, 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 WEBAC001 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 Payee Information Form is a packet containing the Payee Information Form itself and an accompanying NYSED Substitute W-9. The NYSED Substitute W-9 may or may not be needed from your agency. Please follow the specific instructions provided with the form. The Payee Information Form is used to establish the identity of the applicant organization and enables it to receive federal (and/or State) funds through the NYSED.

#### N. Prequalification for Individual Applications

Pursuant to the New York State Division of Budget Bulletin 1032, dated June 7, 2013, New York State has instituted key reform initiatives to the grant contract process which require for-profit organizations to register in the Grants Gateway and complete the Vendor Prequalification process in order for proposals to be evaluated. Information on these initiatives can be found on the Grants Management Website

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 April 15, 2019 cannot be evaluated. Such proposals will be disqualified from further consideration.



Below is a summary of the steps that must be completed to meet registration and prequalification requirements. The Vendor Prequalification Manual on the Grants Management Website details the requirements and online tutorials

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

[http://www.highered.nysed.gov/ocue/aipr/vf2\(c\)8\(ue\)13\(/\)1\(a\)4\(i\)4\(pv\(t\)-4\(h\)-w\)6\(iln0r/\)1\(\)2\(vf\)8\(p\)-4\(o\)-1](http://www.highered.nysed.gov/ocue/aipr/vf2(c)8(ue)13(/)1(a)4(i)4(pv(t)-4(h)-w)6(iln0r/)1()2(vf)8(p)-4(o)-1)



## 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 im1(II )10(as-0.00aanBw T\* [(th

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

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 vendor-



- x Form SI12 – Certificate of Workers’ Compensation Self Insurance; or Form GS105.2 Certificate of Participation in Workers’ Compensation Group Self Insurance; or
- x CE200 – 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:

- x Form DB120.1 – Certificate of Disability Benefits Insurance; or
- x Form DB155 – Certificate of Disability Benefits Self Insurance; or
- x CE200 – Certificate of Attestation of Exemption from New York State Workers’ Compensation and/or Disability Benefits Coverage.

For additional information regarding workers’ compensation and disability benefits requirements, please refer to the New York State Workers’ Compensation Board website. 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) 485-3875.



W.Application Forms

Higher Education Opportunity Program  
Application Cover Page

Agency Code

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Name ApplicantAgency:		Name and Title of Contact Person:	
Address:		Telephone:	
City:	ZIP Code:	Fax:	
County:		E-Mail:	
<p>I hereby certify that I am the applicant's chief school/administrative officer and that the information contained in this application is, to the best of my knowledge, complete and accurate. I further certify, to the best of my knowledge, that any ensuing program and activity will be conducted in accordance with all applicable Federal and State laws and regulations, application guidelines and instructions, Assurances, Certifications, and the terms and conditions outlined in the Master Grant Contract, and the requested budget amounts are necessary for the implementation of this project. It is understood by the applicant that this application constitutes an offer and, if accepted by the NYS Education Department or renegotiated to acceptance, will form a binding agreement. It is also understood by the applicant that immediate written notice will be provided to the grant program office if at any time the applicant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.</p>			
Total Number of Students Served over the cycle		Total Budget Requested over the cycle	
Original Signature of Chief Administrative Office (in blue ink)		Typed Name of Chief Administrative Officer:	
Date:			



## Acknowledgement Form

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

By signing below the applicant acknowledges the following important program aspects

- x The institution will operate a Summer Program with a minimum of 4 weeks for all first students.
- x The HEOP director will report to a senior level administrator as defined in the 2024 RFP.
- x The HEOP Director will remain at least 0.3 FTE for the duration of the program
- x 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

## 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 displayed on 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 fulltime students and a separate proposal for a program dedicated to parttime 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 program year. No funds will be provided for more than 650 FTEs regardless of the number of separate applications submitted to separate campuses or different sets of student populations that qualify for HEOP. The Budget must include the 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 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 startup 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. Startup programs must include the projected FTEs for years 1, 2, 3, 4, as these FTEs will be used to calculate budget awards for years 1-4; 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 startup programs, FTEs may steadily increase as additional students enroll each year, until FTEs level off in the fourth year of funding.



3. Description of compliance with reporting requirements and student outcomes in the last



a.



- iii. Class Rank
- iv. Diploma type (e.g. Regents diploma, GED/TASC)
- v. Pretesting
- vi. Attendance in a High Needs High School
- vii. Any other quantifiable criteria used

b. Provide a description of the qualitative criteria (letters of recommendation, personal interviews, et cetera) used for both groups of students.

H. HEOP Summer Program: (4 pages) 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:

1. The number of potential first-time HEOP students participating in the HEOP Summer Program.
2. 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 service training.
3. Types of counseling provided (e.g., personal, academic, financial, career, psychological), including:

a. Frequency of counseling contacts with i

e. Tentative weekly Summer Program schedule of courses and activities.

I. Academic Year Academic Support Services: (4 pages) 15 points

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

1. 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 service training.
2. Types of counseling provided (e.g., personal, academic, financial, career, psychological), including:
  - a. Minimum n

- 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 coordination 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.





to calculate budget awards for years 52. The number of FTEs expected each year for current programs should remain the same. For start 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 FOS
  - a. Describe the staffing and organizational plan that has been developed to support

- i. This includes a justification for all charges related to tuition assistance for student attendance during the regular academic semesters.
  - ii. 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

Arthur O. Eve Higher Education Opportunity Program



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 •
- c. Verification of EducationaEligibility Form •
- d. Parent's income documentSignatures •
- e. Student's income documentSignatures •
- 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. DOCUMENTS NEEDED FOR PACKAGING**

- a. Award Letter(s) •
- b. Student Aid Report •
- c. Parent's NonTax Filing Stmt. •
- d. Student's NonFax Filing Stmt. •
- e. TAP ETA and/or Award Slip •

# 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 (\$0,000 for a resident HEOP students in NYC). HEOP students must be informed that there may be no loan limit for students who transfer from HEOP

from \_\_\_\_\_ to \_\_\_\_\_ and has met the academic and economic eligibility  
(Start Date) (End Date)  
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)

# PROPOSAL EVALUATION RUBRIC

Score Sheet  
 New York State Education Department  
 Higher Education Opportunity Program 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 be the final score.

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

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 not 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 more 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 restates the criteria.

Part I

EXECUTIVE SUMMARY (GENERAL REQUIREMENTS) (Up to 2 points)				
0	0.5	1	1.5	2
• No Evidence	• Poor	• Fair	• Good	• Very Good

8



ORGANIZATIONAL BACKGROUND (“WHO?” SECTION) (10 points)

0	1 - 2	3-5	6-7	8
• No Evidence	• Poor	• Fair	• Good	• Very Good

	Score:	Explanation of Score:
--	--------	-----------------------

This section should include:

1. An overview and brief description of the IHE.
2. An explanation on how the college/university is qualified to be a HEOP institution; this includes history, accomplishments, qualifications, and experience in education opportunity programs and/or serving the needs of disadvantaged populations.
3. A description of compliance with reporting requirements and student outcomes in the last HEOP or for similar opportunity programs (e.g. C/STEP, TRIO, or similar campus-based programs supported by the IHE)
4. IHE Interrelationships  
 A description of the external reporting structure of the HEOP office as follows:
  - a. A copy of the organizational chart of the institution and of the area of responsibility of the official to whom the HEOP Director reports.
  - b. A list of campus-wide committees on which HEOP staff members serve.
  - c. The following should be attached:
    - i. A section on Key Personnel and/or HEOP Management.
    - ii. Job/Title Descriptions (this does not include resumes).
5. Internal Program Relationships:  
 A description of the internal structure of the HEOP office. This section should 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.





**METHODS (“HOW?” SECTION) (Up to 5 points)**

0	1	2-3	4	5
• No Evidence	• Poor	• Fair	• Good	• Very Good

	Score:		Explanation of Score:
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This section should include:

The college/university outlines a detailed plan explaining how it will achieve the stated goals and objectives





6. A description of the remedial/developmental coursework to be offered to ~~first~~ 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~~ HEOP students, including:
  - a.







STUDENT FINANCIAL AID Part A (Up to 10 points)				
0	1-3	4-6	7-9	10
• No Evidence	• Poor	• Fair	• Good	• Very Good
		Score:		Explanation of Score:
This section should include:				

A description of the processes used to budget, package, award, and disburse financial assistance to program students (keep





# PLEASE STOP YOUR REVIEW

Is this a forprofit institution?

Yes or No

IF NO, PROCEED WITH SCORING.

IF YES, STOP SCORING.

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

BUDGET AND BUDGET NARRATIVE SCORING (Up to 20 points) for profit IHEs		
<p>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 have the budget reduced and their score will be reflected accordingly.</p>		
<p>Are the requested awards amounts over the \$4,875,000 total per application (\$4,550,000 for IHEs that are not in NYC region) and/or the \$7,000 (\$7,500 for NYC) total per FTE? NOTE: If YES, note and score accordingly</p>	<p>Yes/No</p>	<p>Explanation of Score:</p> <p>Strengths:</p> <p>Weaknesses:</p>
<p>Overall this section should include:</p>		
<ul style="list-style-type: none"> <li>x A complete F30 form that shows in detail all expenses requested from the Higher Education Opportunity Program funds during the 2024 grant cycle is provided.</li> <li>x A budget that presents expenses that are allowable, realistic, accurate, efficient, and clearly relate to and reflect project activities, objectives, and outcomes.</li> <li>x Costs that are reasonable in relation to the objectives, design, and potential significance of the proposed project.</li> <li>x The estimated number of HEOP students to be served in each state is stated, and the costs per FTE are reasonable and cost-efficient.</li> <li>x 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.</li> <li>x A complete Budget Narrative that provides an explanation of the items, expenses, and calculation of cost for each item included in the F30 and in the composite budget.</li> <li>x An institutional match that is equal or greater than 15%.</li> <li>x 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.</li> <li>x 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.</li> <li>x A description of how the proposed expenditures are appropriate, reasonable and necessary to support the project activities and goals.</li> <li>x A description of how the expenditures and activities are supplemental to and do not supplant or duplicate services currently provided.</li> <li>x The required personnel, professional and technical services, and/or travel for the proposed project that are clearly explained.</li> </ul>		







PART 3 FISCAL VIABILITY FOR PROFIT INSTITUTIONS		
	Possible Points	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 Part3 Fiscal Viability	20	