

THE STATE EDUCATION DEPARTMENT / THE UNIVERSITY OF THE STATE OF NEW YORK / ALBANY, N.Y. 12230

ASSISTANT COMMISSIONER FOR HIGHER EDUCATION SERVICES
HIGHER EDUCATION OPPORTUNITY PROGRAM

ADM 9111

TO: Project Directors

FROM: Douglas P. Mercado *dpm*

SUBJECT: Policy and Information

DATE: May 26, 1992

Policy

Disability Awareness - HEOP Guidelines state that the selection of students for the program shall be made regardless of ...handicap.... The Federal Americans with Disabilities Act of 1990, in addition to New York State Laws and regulations, states that people with all types of disabilities must have the opportunity to participate equally in every aspect of community life, including higher education. The State Education Department must ensure that people with disabilities have an equal opportunity to use programs and services (HEOP) in an integrated setting.

The enclosed attachments will give you information regarding accommodations that your institution and your program may need to attend to, if you have not already done so, to be in compliance with the respective laws and regulations.

Information

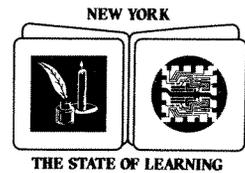
1. Economic Eligibility Documentation Chart - The enclosed chart that was composed by Ms. Jacqueline Kane should be helpful to each of you as you gather required economic eligibility documentation for new students. If we have omitted something, please let me know.
2. National Community Service Act - One part of this federally funded program is related to higher education. Institutions of higher education in New York have received an application to apply for funding of stipends and scholarships for those students who are participating in the institution's community service projects. You should check with the office handling the application, whether it be the President's and/or Development Office to see how your HEOP students may be able to participate in this program.

3. Dates to Remember

May 26 - June 1	1992-93 completed draft budgets should be returned
June 6-12	NYSFAA Training Workshop - SUNY Plattsburg
June 15	Last day for request of fund transfers (should try to get them in as soon as you can).
June 30	1991-92 HEOP Final Report is due.
July 19-24	HEOP ATW at RPI
August 1	Last payment voucher for 1991-92 is due.

Attachments

DPM:gs



THE STATE EDUCATION DEPARTMENT / THE UNIVERSITY OF THE STATE OF NEW YORK / ALBANY, N.Y. 12230

ADM 9110

ASSISTANT COMMISSIONER FOR HIGHER EDUCATION SERVICES
HIGHER EDUCATION OPPORTUNITY PROGRAM

TO: Project Directors

FROM: Douglas P. Mercado *DPM*

SUBJECT: Policy and Information

DATE: May 7, 1992

Policy

1. Reassignments of programs - Mary Frances Welch - Associate in Higher Education Opportunity Programs for more than 14 1/2 years will be retiring in June, 1992. Effective on June 1, programs that were assigned to Mary Frances will be assigned to Barbara Leonard or myself. The Bureau will not be allowed to hire a replacement for Mary Frances. The assignments are the following:

Barbara Leonard

Junior College of Albany - Coxsackie C.F.
Keuka College - Elmira C.F.
Marist College - Fishkill C.F.
Marist College - Greenhaven C.F.
Mater Dei College & Ogdensburg C.F.
Mercy College - Bedford Hills C.F.
Skidmore College - UWW
U.C. - Syracuse - Auburn C.F.
Consortium of the Niagara Frontier

Douglas P. Mercado

Barnard College
Boricua College
Columbia University - Columbia College
Columbia University - School of Engineering
Columbia University - School of General Studies
Marymount Manhattan College
Paul Smith's College
St. Lawrence University
Skidmore College

All correspondence and questions related to 1991-92 and 1992-93 program years should be addressed to the person assigned to your program. Needless to say, we all are going to sorely miss Mary Frances for her tireless efforts on behalf of opportunity program students, especially those in our correctional facility programs.

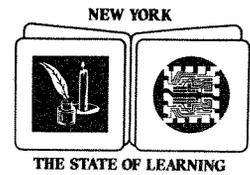
Information

1. 1992-95 HEOP Proposal Readers - The Bureau would like to thank the HEOP Program Directors, who when asked volunteer to read 9-10 proposals each, readily accepted. Their insights and suggestions regarding the efforts described in the proposals can only lead to better and more effective programs. Our heartfelt thanks go to:

Jacob Brown - Columbia School of General Studies
Param Chawla - New York University
Frank Smith - Hofstra University
JoAnn May - Syracuse University
Ed Blackwell - Hobart & William Smith Colleges
Christine Johnson - Hamilton College
Ana Duarte-McCarthy - Parson School of Design
Louise Feroe - Mercy College-Bedford Hills C.F.
Richard Stempien - University College-Syracuse-Auburn C.F.

2. HEOP Bureau Procedures - Twenty-five of our programs have submitted their final report roster pages, page 2 and page 3 for preliminary clearance. If you have not submitted these pages for your program, please do so as soon as you can. This will enable the Bureau, and you, to clear your Final Report in a timely manner.
3. Administrative Training Workshop - The 1992 ATW will be conducted at RPI, July 19-24. Those asked to attend will be receiving invitations in the near future.
4. HEOP - 25TH Anniversary - Mark it on your calendars - January, 1994 - the 25th Anniversary Celebration and Banquet to be held in Albany. Only 20 months to this gala event. Ideas and volunteers are welcome. Please contact me.
5. Dates to Remember

May 20	Mary Frances' Retirement Party
June 6-12	NYSFAA Training Workshop - SUNY Plattsburg
June 15	Last day for request to be received for fund transfers
June 30	1991-92 HEOP Final Report is due
July 19-24	HEOP ATW at RPI
August 1	Payment for last payment voucher is due



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ASSISTANT COMMISSIONER FOR HIGHER EDUCATION SERVICES
HIGHER EDUCATION OPPORTUNITY PROGRAM

ADM 9109

TO: Project Directors

FROM: Douglas P. Mercado

SUBJECT: Information

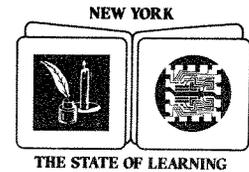
DATE: April 1, 1992

HEOP Annual Report 1990-91:

Two copies of the report are enclosed for your use. A copy will be sent to your President under separate cover. The 1990-91 program year, which was our 22nd, was a most successful one for our students. You, your staff, and institution should take considerable pride in their achievements.

Enclosure

DPM:gs



THE STATE EDUCATION DEPARTMENT / THE UNIVERSITY OF THE STATE OF NEW YORK / ALBANY, N.Y. 12230

ASSISTANT COMMISSIONER FOR HIGHER EDUCATION SERVICES
HIGHER EDUCATION OPPORTUNITY PROGRAM

ADM 9108

TO: Project Directors
FROM: Douglas P. Mercado *DPM*
SUBJECT: Policy and Information
DATE: March 4, 1992

Policy

1. Requests to Amend 1991-92 HEOP Academic Year Budgets - The Bureau has received permission to consider requests to transfer underexpended HEOP funds in the 1991-92 academic year program budgets. This decision was based on many factors including; the Local Assistance allocation, carryover debt from 1990-91, funds committed, funds received from previous disallowances, summer underexpenditures, and takebacks due to estimated academic year underenrollment. The result is that the Bureau still has a small deficit for 1991-92. Staff is confident that this deficit can be recovered from normal underexpenditures of HEOP funds.

This decision also allows the Bureau to approve all academic year overenrollment at those institutions where there was legitimate overenrollment.

The associates will be reviewing all previously submitted requests to amend the program budget. All new requests and the justification for them, need to be submitted no later than May 15, 1992.

You are reminded that if you are underenrolled for the academic year, you can not request to transfer HEOP-SED funds which resulted from this underenrollment.

2. Economic Eligibility Documentation - IRS 1991 Forms - On the 1991 Federal income tax returns, the gross taxable income line to be used is the following:

1040 EZ - line 3
1040 A - line 14
1040 - line 23

If the family has social security, pension or unemployment benefits, please make sure that all non-taxable amounts are added to the required gross taxable income amount.

Information

1. 1992-93 State Budget - The legislature and the Governor are working on a new budget. They hope to have it approved by April 1. Please continue your efforts to have HEOP supported and to get the TAP reduction for new 1992-93 freshmen rescinded.
2. HEOP Bureau Procedures - As a service, in connection with your 1991-92 Final Report, our Central Support Unit will again review and clear your roster pages and page 2 and page 3 of your Final Report in advance of the submission of the rest of the report. These pages are where most problems with the Final Report originate, thus it will help you, and us, to have them reviewed prior to finalizing the remainder of the report. To take advantage of this service, please send the roster pages and pages 2 and 3 of the 1991-92 Final Report to us no later than May 6, 1992. We will clear them and return them to you by June 6. The corrected pages should be submitted with a complete Final Report with Columns 7 and 8 of page 1 and Columns 6, 7 and 8 of page 3 filled in as appropriate for Spring 1992. Last year 71 programs took advantage of this service.[Do not submit until February 15 report has been cleared and approved.]

Attached are some errors commonly made on report rosters, that should be noted and avoided.

3. College Bound Program - New York City Public Schools - On Thursday, May 7, College Bound will be conducting their Annual College/Career Day Conference at Queens College - Flushing, New York. There is a \$50 Registration fee. For further information contact Virginia Griffen (718) 236-3358.
4. HEOP - 25th Anniversary - January, 1994 still looking for volunteers and ideas.

Dates to Remember

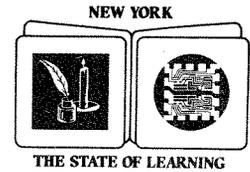
- | | |
|-------------|--|
| March 15 | - Third voucher is due 30 days after submittal of February 15 Report |
| March 29-31 | - Somos Uno Conference - Albany |
| April 1 | - 1992-93 - State Budget approved. |

EARLY FINAL ROSTERS

COMMON ERRORS

1. Failure to carry over any corrections that were made from the October 15th and February 15th reports. For example, deletions, additions, change of date of entry or number of part-time hours, etc.
2. Omission of the "X" in column 7 or column 8 on the summer and fall rosters. These determinations were made at the time of the review of the February reports.
3. Failure to submit page 2 (Table 2).
4. Use of roster pages from the February and October reports instead of the final roster pages.
5. Omission of one or more of the required semester rosters.

It is important to note that if any Director disagrees with the FTE or headcount that SED comes up with, they should notify SED immediately and not assume that "SED is always correct"!



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ASSISTANT COMMISSIONER FOR HIGHER EDUCATION SERVICES
HIGHER EDUCATION OPPORTUNITY PROGRAM

ADM 9107

TO: Project Directors

FROM: Douglas P. Mercado *DM*

SUBJECT: Information

DATE: January 29, 1992

1. Executive Budget 1992-93

The Governor released his Executive Budget for 1992-93. The recommended funding level for HEOP is \$19,863,000 for 6,544 FTEs. The amount of dollars is the same as 1991-92 but it is being recommended that the FTEs be increased by 124 to 6,544. If this is what is finally approved by the Legislature and Governor, it will mean \$35 less per FTE for 1992-93. (The Board of Regents had requested \$20,736,000 for 1992-93.) The Governor is recommending that the \$623,000 for HEOP administrative costs, that was contained in a separate Local Assistance bill for 1991-92, be transferred back to the State Operations budget.

April 1, 1992, is the established date for the Legislature to pass or amend the Governor's recommended budget or approve one of their own. For the past three years, this has not occurred by the designated date, last year the budget was not passed until July 16.

There are additional recommendations that the Governor has made which will have direct or indirect effects on your programs for 1992-93, if approved by the Legislature. They are as follows:

TAP

- a. The maximum awards will be reduced for 1992-93, as they were for 1991-92 (e.g., sophomore maximum will be \$4,050).
- b. For new freshmen in 1992-93, the maximum award will be \$3,575 and the maximum level of income for a minimum award will be \$42,500.
- c. In the summer, accelerated TAP and STAP will be allowed but institutions will not be reimbursed until October 1, 1993 (this is the same as for 1991-92).

Liberty Scholarships - Will not be funded. The Governor is waiting for the program to be funded by the Federal Government in its reauthorization bill for higher education.

Challenger Scholarships and Fellowships for Teaching - Not funded for 1992-93, a loss of \$3.1 million.

Bundy Aid - Funds that are given to independent colleges and universities for each degree awarded will again be cut by 50% or \$36 million.

State Reimbursement for the Local Share of CWSP - Not funded for 1992-93. A loss of \$6.79 million.

STEP/CSTEP - Reduced by \$810,000.

Teacher Opportunity Corp - Reduced to zero, a loss of \$1.42 million.

Stay in School Partnership Program - Reduced to zero, a loss of \$771,000.

Liberty Partnership Program - Is recommended for no funds, a loss of \$10.3 million. The Governor is recommending that a block grant program, listed for \$12.9 million through the Office of Continuing Education, fund programs like Liberty, Adult Literacy and Youth at Risk, which presently are funded for a total of \$29.4 million.

The Governor's recommendations will be effecting every state department and every local government in the State. I strongly encourage each program to support the promotional activities of your Professional Organization and institution and to involve staff, students, parents, and graduates in speaking on behalf of HEOP, TAP/STAP, STEP and Liberty Partnership programs.

As you are preparing your 1992-95 HEOP proposal, you need to take into account the items that I have previously mentioned, if they impact on your program and institution. I will keep you and the Professional Organization informed of further developments concerning the 1992-93 State budget.

2. HEOP Proposal Readers

The State budget crisis will not allow the Bureau to employ paid external readers for the 1992-95 HEOP proposal. This will be the first time that the Bureau will not be able to hire external readers for this function.

The Bureau has valued the contributions of the external readers used previously. In order not to lose this expertise, I will be asking eight directors to voluntarily read 9-10 proposals each and submit their comments to the Bureau.

Enclosed is a copy of the external readers evaluation form for your reference.

3. HEOP Proposals 1992-95

Eight copies of your 1992-95 HEOP Proposal must be postmarked by February 28. If an extension is needed, please check page 8 of the HEOP Guidelines for instructions on

how to proceed.

4. February 15th Reports

Your February 15th Report should be mailed to our office on time. It is important to mail them early, if you can, in order for the Bureau to see what our annual enrollment will be and whether requests for the transfer of funds can be entertained. Your voucher should be mailed 30 days after you have mailed your February 15th Report.

5. Tri-State Consortium

The executive committee has been meeting on a regular basis. The next conference will be held in Philadelphia on April 18-21, 1993. If you would like to serve on any of the conference committees, please contact me.

6. HEOP 25th Anniversary

The 25th Anniversary of HEOP will be celebrated in January 1994 in Albany. A committee will be formed in the next month to plan this very festive occasion. If you are interested in serving on this committee, please contact Frank Smith, President, HEOP-PO or myself. The Bureau is organizing a data base of all HEOP graduates. You will receive a mailing on this soon. Start getting your information ready on all of your HEOP graduates.

7. McNair Post-baccalaureate Achievement Program

Enclosed is an announcement for the McNair Post-baccalaureate Achievement Program.

8. New Fax Number

The Bureau will now be using the fax machine located in the office of the Division of Postsecondary Equity and Access. The number is (518) 474-7468.

9. Dates to Remember:

- | | |
|-------------|---|
| January 31 | Letters of Intent due. |
| February 3 | HEOP Day - Albany. |
| Feb. 14-16 | Black and Puerto Rican Caucus Weekend. |
| February 15 | Report due. |
| February 28 | 1992-95 HEOP Proposal due. |
| March 3 | Somos Uno Conference - Albany |
| March 15 | Third voucher is due 30 days after submittal of February 15th Report. |

DPM:gs
Enc.

Guide for External Readers' Comments

1. **Abstract.** Does it present a brief, clear, precise statement of project goals, objectives and anticipated outcomes?

Comments:

2. **Philosophy.** We are looking for a clear, coherent statement of an institutional mission which is compatible with HEOP's goals of equity and access.

Comments:

-
3. **Environment.** Is there a demonstrated understanding of how the larger campus environment affects the needs and lives of students from disadvantaged backgrounds? We are especially interested in overall institutional efforts on behalf of underserved populations, as a reflection of their general commitment.

Comments:

4. **Program Growth and Development.** We want to see that some thought has gone into considering the history of the program, what has been learned and applied from that experience, and that there is a rational end toward which the program is currently working.

Comments:

-
5. **Goals and Objectives.** We want to see what the program plans to fit within a three-year time frame, for itself and the institution. For the immediate year ahead, objectives, activities and assessment criteria should be clear, achievable and appropriate.

Comments:

6. **Admissions.** It should be evident that the institution has clearly thought through what kinds of students it wishes to serve through HEOP and how such students differ from the regularly admitted population. Procedures for recruiting, identifying, screening and admitting such students should be efficient and appropriate.

Comments:

7. **Summer Program.**

- a. **Objectives and Administration.** Objectives should be the appropriate ones for the institution and the anticipated student population; administration should show evidence of careful planning and good communication vehicles.
- b. **Services.** Intensive, student-centered service delivery is the heart of the summer program. A strong academic focus should be enhanced through a variety of social, cultural and interpersonal development activities.

Comments:

8. **Remedial/Developmental Coursework.** We expect a structured support system which is tailored to meet the needs of these particular students, in the context of this particular institution. Methods should indicate familiarity with the state of the art in developmental instruction. Coordination with other appropriate persons and programs on campus is essential.

Comments:

-
9. **Counseling.** HEOP expects a directive approach with good systems of accountability, staff development, and referral.

Comments:

-
10. **Tutoring.** As in counseling, a directive approach with tight administration is expected. Tutor training and monitoring are essential elements.

Comments:

-
11. **Student Financial Assistance.** HEOP requires special understanding of the needs of its students, including full-need packaging, full disclosure, realistic self-help policies, timely disbursement of aid and counseling regarding budgets and need.

Comments:

-
12. **Separation and Termination.** Policies for HEOP students should recognize their special admission circumstances, with due process and an advocacy role for HEOP staff included as appropriate.

Comments:

-
13. **Evaluation.** A defensible evaluation scheme is expected, suited to the needs and resources of the particular program.

Comments:

-
- 14-15. **Interrelationships and Coordination.** HEOP can only function effectively if it has proper formal and informal relationships with the various communities and constituencies which are significant to it.

Comments:

-
16. **Administration.** The program should operate in a clear, efficient administrative framework which includes effective management of personnel resources.

Comments:

-
17. **Computers.** Does the program describe plans to purchase any new computers for academic support services and/or program administration? If so, is there an adequate description of the proposed uses?

Comments:



National Council of Educational Opportunity Associations

1025 Vermont Avenue, N.W., Suite 1201 Washington, D.C. 20005
Information Line (202) 347-1724
Job Line (202) 347-1821
FAX (202) 347-0786
(202) 347-7430

Association for Equality and
Excellence in Education, Inc.

Association of Special Programs
in Region Eight

Caribbean Association of
TRIO Programs

Mid-America Association of
Educational Opportunity
Program Personnel

Mideastern Association of
Educational Opportunity
Program Personnel

New England Association of
Educational Opportunity
Program Personnel

Northwest Association of
Special Programs

Southeastern Association of
Educational Opportunity
Program Personnel

Southwest Association of
Student Assistance Programs

Western Association of
Educational Opportunity
Personnel

January 23, 1992

Dear Colleague,

Our best information at this time is that the Department of Education will announce a competition for the Ronald E. McNair Post-baccalaureate Achievement Program for April or May, 1992 for three-year grants.

The McNair program is designed to identify talented low-income and minority undergraduates and prepare and motivate them to pursue doctoral programs. A McNair project may provide stipends for undergraduates pursuing research projects as well as the cost of summer internships; and services such as tutoring; academic counseling; and activities designed to assist students participating in the project in securing admission to and financial assistance for enrollment in graduate programs. Over fifty McNair grants will be awarded in the Spring 1992 competition; the average award will probably be \$125,000.

We urge all institutions to apply for a McNair grant. In order to assist institutions who are institutional members of NCEOA in preparing a competitive application, the National Council of Educational Opportunity Associations is sponsoring a proposal writing workshop, limited to institutional members, on March 12 and 13, 1992 at the Hyatt Regency - Capitol Hill. There is no charge for the Workshop which will begin at 4:00 p.m. on Thursday, March 12th and conclude by 6:30 p.m. on Friday, March 13th.

NCEOA's Annual Policy Seminar will be held across the Mall at the Holiday Inn-Capitol March 8-10 followed by the NCEOA's Seminar on Relations with the Department of Education on Wednesday, March 11, 1992. The Proposal Writing Workshop will be held at the Hyatt Regency - Capitol Hill, 400 New Jersey Avenue, N.W., Washington, D.C., (202) 737-1234. A flyer with a registration form for the Workshop and hotel information is attached. The deadline for hotel reservations is February 11, 1992. You will note that the

afternoon session on the 13th includes an opportunity to have a draft proposal critiqued; we urge you to take advantage of this service, to bring your draft proposal to the first session at 4:00 p.m. on March 12th, and to be prepared to stay at the hotel until 6:00 p.m. on March 13th if you are bringing a draft to be critiqued.

Let me also take the opportunity to thank you for your support of the NCEOA. Should you have any questions on the Workshop, please contact Julia Tower at (202) 347-7430.

Sincerely,



Arnold L. Mitchem, Ph.D.
Executive Director

Attachment(s)

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RONALD E. McNAIR POST-BACCALAUREATE
ACHIEVEMENT PROGRAM
PROPOSAL WRITING WORKSHOP
FOR
NCEOA INSTITUTIONAL MEMBERS
Thursday, March 12 and Friday, March 13, 1992
Hyatt Regency - Capitol Hill
400 New Jersey Avenue, N.W.
Washington, D.C.

- * Workshop Fee: No cost to Institutional Members. This workshop is limited to Institutional Members only as a benefit of membership.
- * Schedule: 4:00 pm - 7:00 pm March 12, 1992
8:30 am - 3:30 pm March 13, 1992
3:30 pm - 6:30 pm Critique of Draft Proposals
- * For hotel reservations call the Hyatt Regency (202) 737-1234 and identify yourself as being with NCEOA. Rooms are \$139/Single or \$164/Double plus tax. DEADLINE: February 11, 1992.
- * The Workshop will include an overview of the program design in McNair and comprehensive presentations regarding each required section of the proposal as well as a discussion of the characteristics of high ranking McNair proposals.
- * The afternoon session from 3:30-6:30 pm on March 13th offers an opportunity to have your draft application critiqued by NCEOA staff and consultants who have written highly ranked TRIO proposals.
- * Plan to stay until 6:00 pm on Friday if you are bringing a draft to be critiqued and bring your draft to the first session.
- * Please return a separate form for each participant.
(Copy as needed)

I will attend the NCEOA McNair Proposal Writing Workshop for Institutional Members on March 12-13, 1992.

Name _____ Title _____

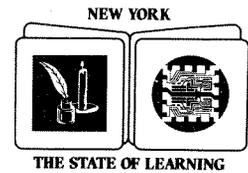
Department _____ Institution _____

Address _____
(City, State, Zip)

Phone() _____ Please fax or mail, postmarked by Feb. 17:
NCEOA
1025 Vermont Avenue, NW, #1201
Washington, DC 20005
FAX: (202) 347-0786

CHECK ONE:

I [] will [] will not be bringing a draft to be critiqued.



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ASSISTANT COMMISSIONER FOR HIGHER EDUCATION SERVICES
HIGHER EDUCATION OPPORTUNITY PROGRAM

ADM 9106

TO: Project Directors

FROM: Douglas P. Mercado *DM*

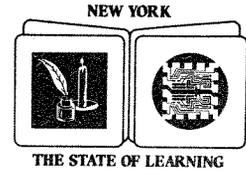
SUBJECT: Information

DATE: January 2, 1992

1. **1990-91 HEOP Annual Report:** Enclosed is a copy of the 1990-91 HEOP Annual Report that was presented to the Board of Regents at their December meeting. It was sent to the Governor and Legislative Leadership by its due date of December 1. It continues to show that "HEOP Works." Use the report when you are lobbying for the program. When it is formally printed and bound, copies will be sent to you and your institution's President.
2. **AIDS Memo:** Enclosed is a copy of AIDS Memo 91-3. It has some interesting information that you might share with your students. The paper written by Harry Lesnick gives a format that could be used in your Prefreshman Summer Program.
3. **Third Annual "Bridging Two Worlds" Workshop:** Will be held on June 18-19 at St. Bonaventure University. The registration fee is \$50 per person. For further information on this workshop that deals with the Native American student, contact B. Marlene Johnson at the University.
4. **Dates to Remember:**
 - Jan. 15 Workshop on HEOP 1992-95 Proposals (for new programs) - Albany, Room 5B01, CEC - 10:30 a.m.
 - Jan. 16 Workshop on HEOP 1992-95 Proposals (for funded programs) - Albany, Room 5B01, CEC - 10:30 a.m.
 - Jan. 31 Letters of Intent due from all programs.
 - Feb. 3 HEOP Day - Albany (tentative).

-
- Feb. 14-16 Black and Puerto Rican Caucus Weekend.
 - Feb. 15 February 15th Enrollment Report is due.
 - Feb. 28 Proposals due from all programs.
 - March 15 Third voucher is due.

DPM:gs



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ASSISTANT COMMISSIONER FOR HIGHER EDUCATION SERVICES
HIGHER EDUCATION OPPORTUNITY PROGRAM

ADM 9105

TO: Project Directors
FROM: Douglas P. Mercado *DPM*
SUBJECT: Policy and Information
DATE: November 7, 1991

Policy

Enrollment - Winter 1991 and Spring 1992 Semesters

The Bureau's 1991-92 policy toward winter and spring enrollment is that no program can admit any new freshman or transfer student for the winter and spring terms. This policy is due to the State's continuing fiscal situation which may prevent the funding of overenrolled students.

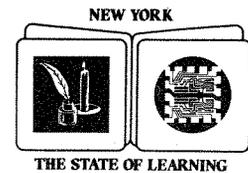
The Bureau will try to ensure that programs will not suffer "contract rate problems" because of these restrictions.

Information

Enclosed are two documents:

1. HEOP Sample Proposal for 1992-95
2. A copy of Black Excellence Magazine

Encs.
DPM:gs



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ASSISTANT COMMISSIONER FOR HIGHER EDUCATION SERVICES
HIGHER EDUCATION OPPORTUNITY PROGRAM

ADM 9104

TO: Project Directors

FROM: Douglas P. Mercado *dpm*

SUBJECT: Policy

DATE: October 24, 1991

1. **1992-93 HEOP Guidelines** - Enclosed are two sets of the Higher Education Opportunity Program Guidelines for 1992-93. Kindly forward one set, with the enclosed cover letter to your Director of Financial Aid.

A copy has also been sent to your Chief Executive Officer.

All Programs will need to submit a Letter of Intent by **January 31, 1992** and a new three-year proposal for 1992-95 by **February 28, 1992**.

2. **HEOP Economic Eligibility** - Enclosed is a set of the approved HEOP Economic Criteria for the 1992-93, 1993-94 and 1994-95 program years. Please note the new part (e) in the 15 percent variation clause.

Enc.

DPM:gs

Economically Eligibility Criteria for First Time HEOP Students

(1) A student is economically disadvantaged if he or she is a member of a household supported by one member thereof with a total annual income which does not exceed the applicable amount set forth in the following tables; or of a household supported by more than one worker thereof, or of a household in which one worker is the sole support of a one-parent family, if the total annual income of such household does not exceed the applicable amount set forth in the following tables by more than \$2,500. For the purpose of this subdivision, the number of members of a household shall be determined by ascertaining the number of individuals living in the student's residence who are economically dependent on the income, as defined in subdivision (6) of this section, supporting the student.

Table I

For students first entering college between July 1, 1992 and June 30, 1993

Number of members in household (including head of household)	Total annual income in preceding calendar year
1	\$ 8,850
2	14,800
3	16,900
4	21,050
5	24,900
6	29,300
7 or more	32,600 plus \$3,300 for each family member in excess of 7

Table II

For students first entering college between July 1, 1993 and June 30, 1994.

Number of members in household (including head of household)	Total annual income in preceding calendar year
1	\$ 9,450
2	15,450
3	17,750
4	22,100
5	26,150
6	30,750
7 or more	34,200 plus \$3,450 for each family member in excess of 7

Table III

For students first entering college on or after July 1, 1994

Number of members in household (including head of household)	Total annual income in preceding calendar year
1	\$ 9,900
2	16,200
3	18,650
4	23,200
5	27,500
6	32,300
7 or more	35,950 plus \$3,650 for each family member in excess of 7

The income figures in Tables I, II and III of this paragraph apply to the student applicant's income only when he or she is an independent student. For purpose of this part, an independent student means either:

- (i) a student who:
 - (a) is 24 years of age or older by December 31 of the academic year for which aid is received, or
- (ii) meets the criteria set forth in one of the following clauses:
 - (a) is an orphan or ward of the court;
 - (b) is a veteran of the Armed Forces of the United States;
 - (c) is a married individual who declares that he or she will not be claimed as a dependent for income tax purposes by his or her parents or guardian for the calendar year in which the opportunity program commences;
 - (d) has legal dependents other than a spouse;
 - (e) is a single undergraduate student with no dependents who was not claimed as a dependent by his or her parents or guardian for income tax purposes for the two calendar years preceding the academic year for which aid is requested and demonstrates to opportunity program and financial aid administrators total self-sufficiency during the two calendar years preceding the academic year in which the initial award will be granted by demonstrating annual total resources (including all sources of resources other than from parents) of at least \$4,000, or
 - (f) is a student for whom an opportunity program and financial aid administrator have made a satisfactory documented determination of independence by reason of other extraordinary circumstances.

(2) A maximum of 15 percent of the students admitted to an HEOP program by an institution may come from households whose income exceeds the scale listed in the applicable table of eligibility provided that institution has established to the satisfaction of the Commissioner that unusual and extenuating circumstances, as defined in this paragraph, exist for each student. Prior to admitting any such student, the institution shall submit to the Commissioner such documentation of unusual and extenuating circumstances as the Commissioner may require. Such documentation shall be kept on

file by the institution at which such students are 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:

- (a) Serious mismanagement of the household income with little accruing to the interest of the student; or
- (b) A one-time fluctuation in household income where there is a history of low income. Satisfactory evidence that a household's income in the calendar year 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, provided that there is satisfactory proof of a history of low income; or
- (c) Household with substantial long term non-reimbursed medical obligations; or
- (d) Families which must maintain two households in order to maintain employment, one for a wage earner and one for dependents.
- (e) **Families where the family contribution as computed from base year financial data by a United States Education Department approved needs analysis system indicates no contribution other than the minimum expectations from student income for independent students, or a zero parental contribution for dependent students.**

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

- (i) The student's family is the recipient of aid to dependent children, home relief or family day-care payments through a New York State or county Department of Social Services.
- (ii) The student is living with foster parents who do not provide support for college and no monies are provided from the natural parents, or
- (iii) The student is a ward of the State or a county.

(4) 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 may 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

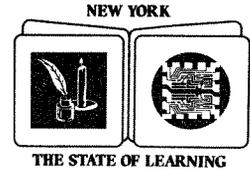
student's financial aid package.

(5) The following shall be acceptable documentation of items (1) through (3), above:

- (i) Documentation of all income, earned dividends and interests: signed copy of appropriate year's tax return (I.R.S. form 1040 or 1040A, 1040EZ, or 4506).
- (ii) **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 a copy of I.R.S. Letter 1722 indicating that the student or parent(s) did not file an income tax return.**
- (iii) 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).
- (iv) Documentation of social security, supplemental security income or veterans administration non-educational benefits: letter from the applicable agency showing applicable year's total award for each member of the household.
- (v) Documentation of social services payments: verification from a branch of the Department of Social Services showing year of benefits received and names of recipients.
- (vi) Documentation of child support and/or alimony: court order, affidavit, or student's financial aid form (FAF).
- (vii) Documentation of additional members in household: birth certificates, third-party verification, or similar documentation acceptable to the commissioner.
- (viii) **Documentation of zero household contribution: the need analysis output form from one of the United States Education Department's approved needs analysis systems.**

(6) Definition: income. (i) Except as otherwise provided in paragraph (ii) of this part, income, as used in this section, means all taxable and non-taxable funds which are received by the household for general use. Such funds may be derived from such sources as wages, dividends, interest, social security, disability pensions, veterans' benefits and unemployment benefits.

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- (ii) The following shall not constitute income:
- (a) Monies received specifically for educational purposes from sources such as social security, veteran's cost of education benefits, and education grants from the Office of Vocational Rehabilitation.
 - (b) Social services or public assistance payments received through the Aid to Dependent Children, Home Relief and Family Day Care Programs.
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THE STATE EDUCATION DEPARTMENT / THE UNIVERSITY OF THE STATE OF NEW YORK / ALBANY, N.Y. 12230

ASSISTANT COMMISSIONER FOR HIGHER EDUCATION SERVICES
HIGHER EDUCATION OPPORTUNITY PROGRAM

ADM 9103

TO: Project Directors
FROM: Douglas P. Mercado *DPM*
SUBJECT: Report Formats, Policy, and Information
DATE: October 15, 1991

Report Formats - Enclosed with this ADM are the February 15 and Final Report formats for the 1991-92 program year.

Policy

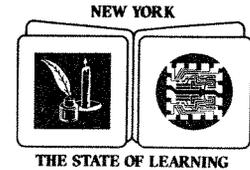
1. 15% Variation Cases - Attached to the letter from HEOP-SED approving a student's eligibility under this clause, should be a complete set of the documentation that you submitted to HEOP-SED for this ruling.

Information

Dates to Remember:

October 15	Summer & Fall Enrollment Report is due
November 13-15	HEOP-PO Annual Conference - Queens, NY
November 15	Second voucher is due
November 16	1992-93 HEOP Guidelines mailed
December 16	Last day to request transfer of unexpended summer funds

DPM:gs
Enc.



THE STATE EDUCATION DEPARTMENT / THE UNIVERSITY OF THE STATE OF NEW YORK / ALBANY, N.Y. 12230

ASSISTANT COMMISSIONER FOR HIGHER EDUCATION SERVICES
HIGHER EDUCATION OPPORTUNITY PROGRAM

ADM 9102

TO: Project Directors

FROM: Douglas P. Mercado *DPM*

SUBJECT: Report Formats and Manual, and Information

DATE: September 19, 1991

Report Formats and Manual - Enclosed with this ADM are the October 15th Report format and the Manual for use with all of the report formats. The February 15th Report and Final Report format will be mailed in the near future.

Information

1. Voucher Information Sheet - Enclosed is the information sheet for filling out the vouchers you received in ADM 9101.
2. Fourth Annual Upstate New York Graduate Education Forum For Students of Color - will be held on Saturday, November 9, at SUNY-Albany's main campus and is free for attending undergraduates. Tentative schedule is enclosed.
3. Social Security Information - Enclosed are four information items that should answer questions on Social Security benefits and eligibility.
4. White House Conference on Indian Education - B. Marlene Johnson, HEOP Director at St. Banaventure University, was elected as one of the five New York State delegates to a Conference on Indian Education called by President Bush to be held in Washington during January, 1992. Our congratulations to Marlene.
5. Dates to Remember:

October 15	Summer and Fall Enrollment Report is due.
November 13-15	HEOP-PO Annual Conference - New York City.
November 15	Second voucher is due.

DPM:gs
Atts.

4th Annual Upstate New York Graduate Education
Forum for Students of Color

Forum '91 Program

Friday, November 8, 1991

7:00 - 10:00 pm Reception for institutional representatives -
Ramada Inn

Saturday, November 9, 1991

7:00 - 9:00 am (Individual) breakfast for representatives
staying at the Ramada Inn (included with room
cost)

8:00 - 10:00 Student and representative registration - Lecture
Center Complex, University at Albany

8:45 - 9:30 GRE Student Workshop
GMAT Student Workshop

9:45 - 10:30 Keynote Address

9:00 - 3:30 Graduate School Fair

11:00 - 11:45 Keys to Success and Survival in Graduate School -
Presentation

1:15 - 2:00 How Do I Pay for It? Financial Aids Presentation

2:15 - 3:00 Concurrent Discipline Based Discussion Sessions

3:15 - 4:00 Concurrent Discipline Based Discussion Sessions

SSI In New York

People in financial need who are 65 or older or people of any age who are blind or disabled (including children) may be eligible for monthly cash payments from the Federal Government. The payments are called Supplemental Security Income (SSI).

People may be eligible for SSI payments if they have little or no regular cash income and don't own much in the way of resources that can be turned into cash. To be eligible, a person must be a U.S. citizen or an alien living in the U.S. legally. A person must live in the U.S. or the Northern Mariana Islands. And, a person must apply for any other money benefits for which he or she may be eligible.

Even though the Social Security Administration runs the program, SSI is not the same as Social Security. Money for SSI payments comes from the general fund of the U.S. Treasury.

The State of New York adds money to the Federal payment. For the convenience of SSI recipients, the State of New York and the Federal Government have agreed to include the State share of the payments in the Federal checks. As a result, an SSI recipient receives one U.S. Government check during the first week of each month, with Federal and State money included.

The back of this factsheet has a table showing the 1991 maximum monthly payment amounts for SSI recipients in different living arrangements.

Medical Assistance

If a person receives SSI payments, he or she usually gets medical assistance (Medicaid) automatically. However, if a person has transferred resources, he or she may not be eligible for all care and services available under the medical assistance program. A separate Medicaid application is not necessary. In New York State, the Medicaid program is administered by local Departments of Social Services. A letter of acceptance and a Medicaid Identification Card will be sent to anyone who is eligible for SSI.

Food Stamps

People receiving SSI may be eligible for food stamps, especially when everyone in the household is also receiving SSI. Food stamps enable people to buy more food without spending more money. The Social Security Administration does not determine food stamp eligibility. However, people who live in a household where everyone is applying for or receiving SSI may apply for food stamps at a Social Security office.

Other Financial Assistance

SSI recipients may be eligible for other financial assistance in New York State. This includes Emergency Assistance for Adults (EAA), which is a State program set up to help SSI recipients who have an emergency such as a utility shut off, or a lost, stolen or unreceived SSI check. People should contact the local Department of Social Services for more information about these additional benefits.

Other Social Services

Additional social services are available to SSI recipients in New York State through local Departments of Social Services. These include:

- ▶ Homemaker and housekeeper services
- ▶ Personal care
- ▶ Money management
- ▶ Assistance in making living arrangements in group residences or family-type homes

For more detailed information on these and other social services, contact the local Department of Social Services.

SSI Payments

The amounts shown include both Federal and State money. Not all SSI recipients get the maximum payment amounts. Payments may be lower if people have other income. Your Social Security office can give you more information about payment levels and how income affects them.

Special payment rates have also been established for aged, blind, and disabled persons living in residential or family care facilities for the aged, the blind, the mentally disabled, or the mentally retarded. Your Social Security office can give you more information about these payment levels.

Category	Total SSI Payment
Individual living alone	\$493.00
Individual living with others but paying his or her own expenses	\$430.00
Individual living in household of others and receiving support and maintenance	\$294.34
Individual living in public general hospital or long-term facility (Medicaid approved)	\$35.00
Couple living alone	\$712.50
Couple living with others but paying their own expenses	\$655.00
Couple living in the household of others and receiving support and maintenance	\$451.67

For More Information

For more information or to apply for SSI, call, write, or visit any Social Security office. The address and telephone number are listed in the telephone directory under "Social Security Administration" or "U.S. Government."

The people at Social Security can tell you what information you need to apply for SSI. Parents and guardians can apply on behalf of blind or disabled children under 18.