

# Arthur O. Eve

## Higher Education Opportunity Program

### Request for Proposals (RFP) GC#14-003

Fiscal Years 2014-2015 through 2018-2019

---

The University of the State of New York

**THE STATE EDUCATION DEPARTMENT**

*The State Education Department does not discriminate on the basis of age, color, religion, creed, disability, marital status, veteran status, national origin, race, gender, genetic predisposition or carrier status, or sexual orientation in its educational programs, services and activities. Portions of this publication can be made available in a variety of formats, including braille, large print or audio tape, upon request. Inquiries concerning this policy of nondiscrimination should be directed to the Department's Office for Diversity and Access, Room 530, Education Building, Albany, NY 12234.*

## **THE UNIVERSITY OF THE STATE OF NEW YORK**

### **Regents of the University**

|   |                 |
|---|-----------------|
| MERRYL H. TISCH, <i>Chancellor</i> , B.A., M.A., Ed.D.      | New York        |
| ANTHONY S. BOTTAR, <i>Vice Chancellor</i> , B.A., J.D.      | Syracuse        |
| ROBERT M. BENNETT, <i>Chancellor Emeritus</i> , B.A., M.S.  | Tonawanda       |
| JAMES C. DAWSON, A.A., B.A., M.S., Ph.D.                    | Plattsburgh     |
| GERALDINE D. CHAPEY, B.A., M.A., Ed.D.                      | Belle Harbor    |
| HARRY PHILLIPS, 3rd, B.A., M.S.F.S.                         | Hartsdale       |
| JAMES R. TALLON, JR., B.A., M.A.                            | Binghamton      |
| ROGER TILLES, B.A., J.D.                                    | Great Neck      |
| CHARLES R. BENDIT, B.A.                                     | Manhattan       |
| BETTY A. ROSA, B.A., M.S. in Ed., M.S. in Ed., M.Ed., Ed.D. | Bronx           |
| LESTER W. YOUNG, JR., B.S., M.S., Ed.D.                     | Oakland Gardens |
| CHRISTINE D. CEA, B.A., M.A., Ph.D.                         | Staten Island   |
| WADE S. NORWOOD, B.A.                                       | Rochester       |
| JAMES O. JACKSON, B.S., M.A., Ph.D.                         | Albany          |
| KATHLEEN M. CASHIN, B.S., M.S., Ed.D.                       | Brooklyn        |
| JAMES E. COTTRELL, B.S., M.D.                               | New York        |
| T. ANDREW BROWN, B.A., J.D.                                 | Rochester       |

### **President of the University and Commissioner of Education**

JOHN B. KING, JR.

### **Executive Deputy Commissioner**

ELIZABETH R. BERLIN

### **Deputy Commissioner, Office of Higher Education**

JOHN D'AGATI

### **Executive Coordinator, Office of K-16 Initiatives and Access Programs**

STANLEY S. HANSEN, JR.

**Arthur O. Eve Higher Education Opportunity Program**

Fiscal Years 2014-2015 through 2018-2019

**Request for Proposals (RFP) GC#14-003**

**Background:**

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.

**Purpose & Goals:**

The primary objective of the Arthur O. Eve Higher Education Opportunity Program (HEOP) is to help provide a broad range of services to New York State residents who, because of academic and economic circumstances, would otherwise be unable to attend a postsecondary educational institution. Each HEOP institution must ensure that HEOP students are provided with sufficient academic support services, tuition assistance, supplemental financial assistance, and full need packaging to enable them to successfully complete the institutional components required for graduation.

**General Eligibility:**

Non-public institutions of higher education incorporated by the Legislature or chartered by the Board of Regents and offering two or four year degree programs registered with and approved by the Board of Regents may submit proposals for program support. Programs must serve matriculated students who are working toward a degree. Students must be selected without regard to age, color, religion, creed, disability, marital status, veteran status, national origin, race, sex, gender, genetic predisposition or carrier status, or sexual orientation.

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

**New Prequalification Requirement:**

The State of New York has implemented a new statewide prequalification process (described in <http://www.grantsreform.ny.gov/Grantees>) designed to facilitate prompt contracting for not-for-profit vendors. All not-for-profit vendors are required to pre-qualify prior to grant application. This includes all currently funded not-for-profit institutions that have already received an award and are in the middle of the program cycle. The pre-qualification must be completed by all not-for-profit institutions in order to receive an award under this RFP.

### **Funding Projections:**

The State Budget has allocated \$24,996,040 for HEOP in 2013-2014. HEOP awards are subject to the availability of funds. The program is operated on a five-year funding cycle. A minimum of fifty percent match of the HEOP grant is required from the institution's own resources. Funds are appropriated by the legislature and Governor based upon the State fiscal year, however funds are contractually obligated based upon the program year.

### **Important Dates:**

Applications Due: (postmarked by) April 18, 2014

Anticipated Preliminary Award Notification: June 15, 2014 (Pending an approved state budget)

HEOP Period: Programs may begin as early as July 1, 2014 and must be completed by June 30, 2019.

### **Application Submission:**

Non-profit applicants must submit one original and three (3) paper copies (both the narrative application and the budget/budget narrative) as well as one electronic copy of the complete application on CD or flash drive, in a sealed envelope labeled "Arthur O. Eve Higher Education Opportunity Program Bid Proposal GC#14-003";

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

RFP GC#14-003

New York State Education Department

Office of K-16 Initiatives and Access Programs – HEOP

89 Washington Avenue, Room 505W EB

Albany, NY 12234

For-profit applicants must submit one original and three (3) paper copies of the Narrative Application in a sealed envelope labeled "Arthur O. Eve Higher Education Opportunity Program Narrative Application, GC#14-003—DO NOT OPEN"; one original and three (3) paper copies of the Budget/Budget Narrative in a separately sealed envelope labeled "Arthur O. Eve Higher Education Opportunity Program Budget, GC#14-003—DO NOT OPEN"; and one electronic copy of all application materials on CD or flash drive in a separately sealed envelope labeled "Arthur O. Eve Higher Education Opportunity Program Electronic

Copy, GC#14-003—DO NOT OPEN”

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

Attn: Nell Brady, RFP GC#14-003  
NYS Education Department  
Bureau of Fiscal Management  
Contract Administration Unit  
89 Washington Avenue, Room 501W EB  
Albany, NY 12234

**Questions & Answers:**

A prerecorded webinar will be posted no later than March 4, 2014 to the following website:

<http://www.highered.nysed.gov/kiap/colldev/HEOP/>

Questions regarding this RFP must be e-mailed by March 11, 2014 to [HEOPRFP@mail.nysed.gov](mailto:HEOPRFP@mail.nysed.gov). A

Question and Answers Summary will be posted no later than March 21, 2014 to the following website:

<http://www.highered.nysed.gov/kiap/colldev/HEOP/>

**The State Education Department Contacts:**

**Program:**

Dan Nicolaescu

[HEOPRFP@mail.nysed.gov](mailto:HEOPRFP@mail.nysed.gov)

**Fiscal:**

Nell Brady

[HEOPRFP@mail.nysed.gov](mailto:HEOPRFP@mail.nysed.gov)

**Program Start Date & Coverage of Expenditures:**

The beginning date for HEOP contract activities is July 1, 2014.

HEOP Summer Camp must be for **at least** four full weeks on campus but **no more** than eight weeks. The summer camp activities may occur any time prior to the beginning of an institution’s fall semester. Only those postsecondary institutions that are selected for a contract award can be reimbursed for program expenses incurred.



# Table of Contents

|  |    |
|--|----|
| Definitions of Frequently Used Terms .....                                       | 1  |
| Guidelines for the Higher Education Opportunity Program .....                    | 5  |
| I. Background.....   | 5  |
| II. Essential Information.....   | 5  |
| III. Objectives .....  | 5  |
| IV. Program Requirements .....   | 7  |
| A. Program Integration .....   | 7  |
| B. Matriculation .....   | 8  |
| C. Supportive Academic Services.....   | 8  |
| D. Full Need Packaging & Cost of Attendance .....                                | 8  |
| E. Final Report .....  | 8  |
| F. Records, Fiscal Accountability, and Audits .....                              | 9  |
| G. Budgets, Progress Reports, and Payments.....                                  | 10 |
| V. Funding Considerations .....  | 13 |
| VI. Submitting Proposals.....  | 14 |
| VII. Vendor Responsibility.....  | 15 |
| VIII. Additional Requirements.....   | 16 |
| A. Workers’ Compensation Coverage and Debarment.....                             | 16 |
| B. Minority and Women-Owned Business Enterprise (M/WBE) Participation Goals..... | 18 |
| C. Prequalification Application for Grants Reform .....                          | 18 |
| D. NYSED’s Reservation of Rights.....  | 19 |
| IX. Student Eligibility.....   | 20 |
| A. Introduction .....  | 20 |
| B. General Requirements.....   | 21 |
| C. Academic Eligibility Criteria for First-Time HEOP Students .....              | 22 |
| D. Economic Eligibility Criteria for First-Time HEOP Students .....              | 23 |
| E. Selection Criteria for HEOP Transfer Students .....                           | 24 |
| F. HEOP Student Funding Eligibility .....  | 26 |
| X. Program Funding .....   | 27 |
| A. Funds .....   | 27 |
| B. Organization & Administration.....  | 33 |
| XI. Proposals .....  | 35 |
| XII. Public Relations & Attribution of HEOP Funding.....                         | 36 |

|       |   |    |
|-------|---|----|
| XIII. | Proposal Rating and Method of Award .....   | 37 |
|       | A. Awarding of Funds to Non-Profit Institutions .....   | 37 |
|       | B. Awarding of Funds to For-Profit Institutions:.....   | 38 |
|       | C. Award Notification and Contract.....   | 39 |
|       | D. Limitation on the Maximum Award.....   | 40 |
|       | E. Changes in Award Amounts and Allocation of Program Increases or Decreases.....                     | 40 |
|       | F. Contract Terms and Conditions .....  | 41 |
|       | G. Debriefing Procedures .....  | 41 |
|       | H. Award Protest Procedures.....  | 42 |
|       | Appendices.....   | 43 |
|       | Appendix 1: Proof of Application for Federal Pell and New York State Tuition Assistance Program ..... | 43 |
|       | Appendix 2: Financial Aid & Full Need Packaging .....   | 44 |
|       | A. Policy Determination .....   | 44 |
|       | B. Full Need Packaging.....   | 44 |
|       | C. Maximum Allowable Loans.....   | 44 |
|       | D. Award Letter and Revisions .....   | 45 |
|       | Appendix 3: Staffing Guidelines .....   | 46 |
|       | Appendix 4: Proposal Guidelines .....   | 48 |
| I.    | Narrative Application: .....  | 48 |
|       | A. Application Cover Page (Appendix 5) .....  | 48 |
|       | B. Executive Summary: .....   | 48 |
|       | C. Organizational Background (Who section):.....  | 48 |
|       | D. Need (Why section): .....  | 49 |
|       | E. Goals and Objectives (What section): .....   | 49 |
|       | F. Methodology (How Section):.....  | 49 |
|       | G. Admissions:.....   | 50 |
|       | H. HEOP Summer Camp: .....  | 50 |
|       | I. Academic Year Academic Support Services.....   | 52 |
|       | J. Student Financial Aid: .....   | 53 |
|       | K. Probation and Termination Policies and Procedures: .....   | 53 |
| II.   | Budget and Budget Narrative .....   | 54 |
|       | Appendix 5: Proposal Cover Page .....   | 56 |
|       | Appendix 6: HEOP Budget Forms.....  | 57 |
|       | Appendix 7: Evaluation Rubric .....   | 58 |

## Definitions of Frequently Used Terms

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

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

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

**Current Program:** This includes all institutions applying under this RFP which have an existing Higher Education Opportunity Program at their institution.

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

**Developmental Courses:** Courses that combine pre-college and college-level material, with credit awarded for that portion of the course that is college-level work. There will be more classroom/contact hours for the student in such a course than in a regular catalog offering for the same credits. (Note: The NYS TAP<sup>1</sup> can be used to provide reimbursement for credit hours only in developmental courses.)

**Disadvantaged students:** Are individuals from low-income families with potential for successful collegiate experiences, but who have not acquired the verbal, mathematical, and other cognitive skills required to complete their college work.

**First-time HEOP student:** A student who has never been matriculated at a postsecondary institution in any regular semester or session prior to the HEOP Summer Camp and has been accepted to be enrolled by a participating HEOP institution.

**Full Need Packaging:** Total resources, including all grants, expected family contributions, work study, and

---

<sup>1</sup> See Appendix 1 for NYS TAP

loans to fully meet the needs of a student attending an HEOP institution; must be maintained for the duration of the studies.

**Full-Time Equivalent (FTE):** The standard academic measuring unit used to calculate enrollment as follows:

1. For full-time students enrolled full-time in HEOP during the academic year, the FTE is equivalent to the headcount.
2. Students enrolled full-time in HEOP must carry a minimum of 12 semester hours or the equivalent. However, if due to personal or family responsibilities a student has to register part-time for a particular term, the FTE for this student, registered in a full-time program, will be calculated on an annual 24 credit hour basis.
3. For full-time HEOP students enrolled in a session other than the regular fall and spring academic year terms, 24 semester hours must be used to calculate the FTE; for example, if a student takes six semester hours during the summer session, the FTE must be equal to  $6/24$  or  $1/4$  FTE. If a student takes 12 or more credits/credit equivalents in the summer, the student will have used one semester or  $1/2$  of an FTE.
4. Students enrolled in a part-time program must carry a minimum of six semester hours or the equivalent per term. Twenty-four semester hours/equivalents will equal one FTE. A student recognized part-time in HEOP who enrolls for six credits in a regular term is using up one-fourth ( $1/4$ ) of a year of program eligibility. A student enrolling for 12 or more credits in a term is using up one semester, or one-half ( $1/2$ ) a year, of program eligibility.
5. In requesting HEOP funds, both the current and the start-up program applicants must base the FTE number in their budget request at the number of students enrolled in the first year of the funding cycle. Start-up programs must include in the HEOP B-1 the projected FTEs for years 2-5, as these FTEs will be used to calculate budget awards for years 2-5. The number of FTEs expected each year for current programs should remain the same. For start-up programs, FTEs may steadily increase, as additional students enroll each year, until FTEs level off in the fourth year of funding.

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

**HEOP Commuter Student:** Enrolled HEOP students not residing in college and/or university owned, operated or contracted housing.

**HEOP Institution (IHE):** A non-public institution, college or university incorporated by the regents or by the

legislature, or a school authorized by the regents to confer approved academic degrees and has been approved by HEOP-SED as a legitimate academic organization for hosting the NYS funded Higher Education Opportunity Program.

**HEOP Student:** A matriculated and active member of a participating HEOP institution.

**HEOP-SED:** New York State's primary coordination and administration unit for the Arthur O. Eve Higher Education Opportunity Program; housed under SED's Office of Higher Education.

**HEOP Summer Camp:** A developmental and remedial program designed and hosted by a participating HEOP institution for newly admitted HEOP students. HEOP Summer Camp generally occurs between July and August and is scheduled for a minimum of four weeks to a maximum of eight weeks.

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

**Maximum Allowable Loan:** The maximum cumulative loan for an HEOP student to complete a baccalaureate program.

**New York State Residency:** The applicant is a resident of the State if any of the following apply:

1. He/she now resides in New York State and will be an undergraduate and has lived in New York State for the last year of high school; or
2. He/she was a resident when the applicant entered military service, VISTA, or the Peace Corps and re-established New York State residency within six months after release from service; or
3. He/she has resided in New York State for at least 12 months immediately preceding the first term for which the applicant is seeking aid and has established domicile (permanent residence) in New York State.

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

**Number of Members of a Household:** The number of members of a household must be determined by ascertaining the number of individuals living in the student's residence who are economically dependent on the same income supporting the student.

**Program Year:** For purposes of these Guidelines, expenditures and activities occurring between July 1 and

June 30 of the following year constitute a program year.

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

**Resident Student:** A student who either lives off-campus in housing provided by the institution, or on-campus in housing facilities owned and/or maintained by the institution.

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

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

**Start-up Programs:** This includes all institutions applying under this RFP which do not have a current Higher Education Opportunity Program at their institution.

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

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

# Guidelines for the Higher Education Opportunity Program

## I. Background

In May 1969, the New York State Legislature amended the Education Law authorizing a program to expand educational opportunity in non-public institutions of higher education. This program, as amended, is designed to support proposals for the screening, testing, counseling, tutoring, teaching, and partial financial assistance of New York State residents who:

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

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

## II. Essential Information

1. The Higher Education Opportunity Program (HEOP) is operated on a five-year funding cycle, 2014-2015 through 2018-2019.
2. The beginning date for HEOP contract activities is July 1, 2014.
3. First-time HEOP summer students must be enrolled in a participating HEOP summer camp program. First-time HEOP summer student activities may occur any time prior to the beginning of an institution's fall semester. Only those postsecondary institutions that are selected for a contract award can be reimbursed for program expenses incurred.
4. Awards run from July 1st through June 30th of each Academic Year (AY).
5. Awards in subsequent years will be subject to the availability of funds and satisfactory performance of the grantee in previous academic years.

## III. Objectives

- A. 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 residents who, because of academic and economic circumstances, would otherwise be unable to attend a postsecondary educational

institution. The following services are designed to identify, evaluate, and recruit eligible students and to enable Higher Education Opportunity Program students to complete a higher education experience. Higher Education Opportunity Program funds must be spent only for:

1. Special testing, counseling and guidance services in the course of screening potential enrollees
  2. Remedial courses, developmental, 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; provided however, that such supplemental financial assistance must be furnished pursuant to criteria promulgated by the Commissioner in Section 152-1.5 of the Commissioner's Regulations.
  5. Partial reimbursement for tuition for regular academic courses pursuant to criteria promulgated by the Commissioner in Section 152-1.8 of the Commissioner's Regulations.
- B.** Non-public institutions of higher education incorporated by the Legislature or chartered by the Board of Regents and offering two- or four-year degree programs registered with and approved by the Board of Regents may submit proposals for program support.
- C.** Programs must serve matriculated students who are working toward a degree.
- D.** Students and HEOP staff must be selected without regard to age, color, religion, creed, disability, marital status, veteran status, national origin, race, sex gender, genetic predisposition or carrier status, or sexual orientation.
- E.** HEOP funds may not be used to support programs that are segregated on any basis, including admissions policy, housing arrangements, classroom facilities, and allocation of financial aid.
- F.** HEOP students must be provided the same level of accommodations as general admit students in all areas pertaining to their education including on-campus housing, food services, conferences and workshops, computer and laboratory access.

## IV. Program Requirements

### A. Program Integration

1. This program, designed specifically for economically and educationally disadvantaged students, must be an integral part of the college community. It must not be a peripheral activity segregated from other college programs.
2. The special academic and economic needs of HEOP students must be met. Expectations for HEOP students must, however, not be less than the minimums on the institution's standard of academic progress chart filed with the State Education Department. While admission and retention policies for HEOP students are expected to be flexible, institutions must determine a point at which the HEOP student will be subject to the same policies (such as academic probation or dismissal) as the general student population.
3. HEOP is an academic opportunity program and must be closely coordinated with the academic affairs at the institution.
  - a. All funded programs are required to have a full-time HEOP director working on HEOP with a 1.0 FTE reflected in the budget, including in the allocation of HEOP funds, institutional funds, or a combination. NYSED considers the role of the director as pivotal to the implementation of a successful Higher Education Opportunity Program.
  - b. The HEOP director is responsible for providing leadership to HEOP and for the management of the contract and all related HEOP activities.
    - i. These activities include, but are not limited to: on-site management of HEOP activities; management of the budget; development implementation and evaluation of programs and services; the hiring and supervision of staff; coordination of partnerships; sustainability planning; HEOP student recruitment and admissions processes; data collection and reporting; and public relations.
    - ii. The HEOP director must report to a high ranking academic officer of the institution. The institution must clearly demonstrate how the program will be integrated with the academic practices, policies, and personnel of the institution.
  - c. Any change in the structure or reporting relationship of the HEOP or the HEOP

director must be subject to the review and approval of HEOP-SED.

## **B. Matriculation**

1. All HEOP students, full-time or part-time, must be matriculated in a registered degree program from the time of their first enrollment.
2. Full-time matriculated students must satisfy the requirements of Commissioner's Regulation 145-2.1.
3. HEOP students may be designated full-time or part-time.
4. HEOP students attending part-time must enroll for at least six semester hours or the equivalent per term, except for graduating HEOP students in their last term.

## **C. Supportive Academic Services**

1. HEOP students must be academically supported through the screening, testing, counseling, tutoring, and assistance. This includes instruction in study skills, pre- & post-testing, counseling, tutoring, computer literacy, developmental and remedial courses.
2. These services and/or strategies must be available to meet the needs of opportunity program students.

## **D. Full Need Packaging & Cost of Attendance<sup>2</sup>**

1. A FAFSA or other federally recognized needs analysis system must be used in calculating student awards.
2. Financial aid packages will be based on the calculated full need, using a combination of grants, tuition waivers, on-campus work, and loans as available.
3. Full need includes realistic subsistence costs, in addition to institutional charges.

## **E. Final Report**

1. Institutions must prepare internal evaluation plans for their HEOP activities to ensure that the academic needs of HEOP students are being met. The internal evaluation must include both quantitative and qualitative assessments of new and continuing HEOP students. These internal evaluations must be one component of the final report (submitted annually).

---

<sup>2</sup> See Appendix 2 for Full Need Packaging

2. HEOP-SED will develop and make available the format and list of components required as part of the final report required of each HEOP institution.

#### **F. Records, Fiscal Accountability, and Audits**

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 HEOP maintenance funds. The HEOP grant supplements other sources of aid included in a student's financial aid package. HEOP funds will be considered "first-out" in cases of over-packaging found on audit, review, or site visit.
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 their campus.
3. HEOP-SED staff will review budget(s) submitted by the HEOP director. Budget(s) can be rejected or modified if they include non-allowable items. The HEOP director will be notified by HEOP-SED in the event budget(s) are rejected or 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.
5. Maintenance of HEOP Records
  - a. Fiscal records, including those identifying an expense of HEOP funds, must be maintained for seven full years, or longer if required by institutional policy or practice.
  - b. Student records must be maintained for six years after the student graduates.
  - c. If a student withdraws from the institution prior to graduation, the student HEOP record must be maintained for six years from the end of the academic term in which the student withdrew, or longer if required by institutional policy or practice.

Audit or litigation will "freeze the clock" for records retention purposes. Supporting documentation related to an issue under audit or litigation must be retained until resolved or the above general rule for record retention, whichever is longer.

## **G. Budgets, Progress Reports, and Payments**

- 1.** Activities funded under a HEOP award will be administered pursuant to a written contract between NYSED and the funded IHE. An institution awarded a contract and accepting HEOP funds must submit an annual budget and budget narrative, for the first year and each succeeding year in a form and manner proscribed by HEOP-SED.
- 2.** Budgets (FS-10)
  - a.** The application must include an FS-10 Budget Form for the first year of the program.
  - b.** Grantees will submit, on an annual basis, an FS-10 for each subsequent program year.
  - c.** General descriptions of expenditures, applicable cost principles and administrative regulations are available in the Fiscal Guidelines for Federal and State Grants <http://www.oms.nysed.gov/cafe/guidance/guidelines.html>.
- 3.** Transfer of Funds
  - a.** Consistent with the Fiscal Guidelines for Federal and State Grants, budget transfers must be requested using Form FS-10-A: Proposed Amendment for a Federal or State Project.
  - b.** For years 1 through 4 (2014-2018), All FS-10-A forms must be submitted anytime between the start date of any funding year and June 1<sup>st</sup> of that year. For the last year (2018-2019) in the program cycle (2014-2019), the deadline for the request for approval of transfer of funds is May 15<sup>th</sup> for the budget period.
  - c.** Funds must not be expended until the budget amendment has been approved in writing.
  - d.** An amendment that would result in a transfer of funds among program activities or budget cost categories that does not affect the amount, consideration, scope or other terms of such contract may be subject to the approval of the Attorney General and the Office of the State Comptroller where the amount of such modification is, as a portion of the total value of the contract, equal to or greater than ten percent for contracts of less than five

million dollars, or five percent for contracts of more than five million dollars; and, in addition, such amendment may be subject to prior approval by the applicable State Agency as detailed in the contract. Funds must not be expended until the contract amendment has been approved in writing.

- e. Failure to follow the procedures outlined above may result in the disallowance of all expenditures not previously approved by SED.

#### 4. Timetable for Submission of Program Reports

- a. Each institution receiving a HEOP award will be required to submit two program reports annually; a summer report and a final report to the HEOP-SED.
- b. The summer report is due on October 15<sup>th</sup> every year. This report specifies the enrolled HEOP students for the Summer & Fall sessions (by name, headcount, and FTE) as well as the initial expenditures and activities in operating the HEOP summer camp in a form and manner provided by HEOP-SED. The HEOP student FTE reported on the report due October 15<sup>th</sup> will be used to ensure that the institution has met their budgeted HEOP student FTE.
- c. The final program report is due on July 15<sup>th</sup> of each program year. This report, in a form and manner provided by HEOP-SED, outlines the institution's expenditures and activities in HEOP for the program year and provides:
  - i. An analysis of program operation in terms of the stated objectives and the extent to which the objectives were achieved.
  - ii. An analysis of the progress of students served by the program with a comparison to other students enrolled by the institution.
  - iii. An itemization of the institution's support of such program during the contract period including the use of outside (Federal, State and local) funds.
  - iv. Plans for program change, expansion and development.
  - v. The extent and nature of faculty, staff, student, and community involvement and participation in program planning and development.
- d. As indicated, the institution's program reports will be reviewed upon receipt by HEOP-SED for accuracy and completeness. The institution will be notified by SED if their submission is incomplete and/or requires additional information.
- e. Extensions of report deadlines must be requested and approved in writing prior to deadline. Acceptable written notification may include email, regular mail, or

fax. All communication relating to an extension of reporting deadlines must be copied to the President of the IHE. An extension may only be approved for a maximum of 10 business days.

**5. Electronic reporting system**

Section 6451 of the Education Law, para. 6, indicates that a report of the activities of HEOP must be prepared each year and transmitted to the legislature and Governor. Currently, HEOP utilizes MERS (Mercado Electronic Reporting System) for this purpose. Grantees will be required to use this system, or its successor system, which will enable NYSED to securely collect, store, and monitor HEOP data.

**6. Timetable for Payment**

- a.** The Grant Contract is **fully executed** when it has been signed by the IHE's Chief Executive Officer, the New York State Education Department, the Office of New York State Attorney General, and the New York State Office of the State Comptroller.
- b.** Not-for-Profit Grantees:
  - i.** The initial payment of 25% of the annual budget will be made no later than 90 days after the beginning of the budget period.
  - ii.** Subsequent payments would be made following the submission and approval of an FS-25 form, based upon actual expenses to date, plus anticipated expenditures for the next month. Regardless of the amount of anticipated expenditures, requests for funds may total no more than 90 percent of a grantee's budget for that budget period.
  - iii.** The final payment occurs upon the approval of the Final Program and Expenditure Report (FS-10F). Late submissions of budgetary forms and reports may result in the suspension of funds.
- c.** For-Profit Grantees: For-profit grantees will not receive advance payments. They may receive interim payments (up to 90 percent of the grant contract), but only actual expenditures will be reimbursed. The final reimbursement payment occurs upon the approval of the Final Program and Expenditure Reports (FS-10F). Late submissions of budgetary forms and reports may result in the suspension of funds.
- d.** 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.

## V. Funding Considerations

HEOP awards are subject to the availability of funds based on an appropriation in the 2014-2015 State budget and each annual appropriation thereafter for the 2014-2019 program cycle.

*The State of New York has implemented a new statewide prequalification process (described in <http://www.grantsreform.ny.gov/Grantees>) designed to facilitate prompt contracting for not-for-profit vendors. All not-for-profit vendors are required to pre-qualify prior to grant application. This includes all currently funded not-for-profit institutions that have already received an award and are in the middle of the program cycle.*

*Note: Any agency (institution) that has not previously received funding from the State Education Department must complete and submit a Payee Information Form with the application. (Found at: <http://www.oms.nysed.gov/cafe/forms/>)*

## VI. Submitting Proposals

- A. The proposal must be postmarked by April 18, 2014
- B. The original must be clearly identified and signed in blue ink with the original signature of the Chief Administrator (or designee) of the institution. If these documents are signed by a designee, the CEO must submit a letter naming the designated signatory.
- C. **Application Submission**
  - 1. Non-profit applicants must submit one original and three (3) paper copies of the Narrative/Application and Budget/Budget Narrative , as well as an electronic copy of the complete application on CD or flash drive, in a sealed envelope labeled “Arthur O. Eve Higher Education Opportunity Program Bid Proposal # GC#14-003; to:

**RFP GC#14-003**

New York State Education Department  
Office of K-16 Initiatives and Access Programs – HEOP  
Washington Avenue, Room 505W EB  
Albany, NY 12234

- 2. For-profit applicants must submit one original and three (3) paper copies of the Narrative Application in a sealed envelope labeled “Arthur O. Eve Higher Education Opportunity Program Narrative Application, GC#14-003—DO NOT OPEN”; and must also submit one original and three (3) paper copies of the Budget/Budget Narrative in a separately sealed envelope labeled “Arthur O. Eve Higher Education Opportunity Program Budget, GC#14-003—DO NOT OPEN”; as well as one electronic copy of all application components on a CD or flash drive, sealed in a separate envelope labeled “Arthur O. Eve Higher Education Opportunity Program Electronic Copy, GC#14-003—DO NOT OPEN” ” to:

**Attn: Nell Brady, RFP GC#14-003**

New York State Education Department  
Bureau of Fiscal Management  
Contract Administration Unit  
89 Washington Avenue, Room 501W EB  
Albany, NY 12234

- 3. A Proposal meets the requirement if it is mailed on or before the pertinent deadline and the required proof of mailing is evident. Proposals postmarked after the deadline will

NOT be considered for funding. SED does not accept either of the following as proof of mailing:

- a. A private metered postmark; or
- b. A mailing receipt that is not dated by the U.S. Postal Service.

## **VII. Vendor Responsibility**

- A. State law requires that the award of state contracts be made to responsible vendors. Before an award is made to a not-for-profit entity, a for-profit entity, a private college or university or a public entity not exempted by the Office of the State Comptroller, NYSED must make an affirmative responsibility determination. The factors to be considered include: legal authority to do business in New York State; integrity; capacity- both organizational and financial; and previous performance. Before an award of \$100,000 or greater can be made to a covered entity, the entity will be required to complete and submit a Vendor Responsibility Questionnaire. School districts, Charter Schools, BOCES, public colleges and universities, public libraries, and the Research Foundation for SUNY and CUNY are some of the exempt entities. For a complete list, see: [http://www.osc.state.ny.us/vendrep/resources\\_docreq\\_agency.htm](http://www.osc.state.ny.us/vendrep/resources_docreq_agency.htm).
- B. Vendors are required to file the required Vendor Responsibility Questionnaire online via the New York State VendRep System. To enroll in and use the New York State VendRep System, see the VendRep System Instructions available at [http://www.osc.state.ny.us/vendrep/vendor\\_index.htm](http://www.osc.state.ny.us/vendrep/vendor_index.htm) or go directly to the VendRep System online at <https://portal.osc.state.ny.us>.
- C. Vendors must provide their New York State Vendor Identification Number when enrolling. To request assignment of a Vendor ID or for VendRep System assistance, contact the Office of the State Comptroller's Help Desk at 866-370-4672 or 518-408-4672 or by email at [ciohelpdesk@osc.state.ny.us](mailto:ciohelpdesk@osc.state.ny.us).
- D. Vendors opting to complete and submit a paper questionnaire can obtain the appropriate questionnaire from the VendRep website [www.osc.state.ny.us/vendrep](http://www.osc.state.ny.us/vendrep) or may contact NYSED or the Office of the State Comptroller's Help Desk for a copy of the paper form.
- E. **Subcontractors:**

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

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

## VIII. Additional Requirements

### A. Workers' Compensation Coverage and Debarment

1. New York State Workers' Compensation Law (WCL) has specific coverage requirements for businesses contracting with New York State and additional requirements which provide for the debarment of vendors that violate certain sections of WCL. The WCL requires, and has required since introduction of the law in 1922, the heads of all municipal and State entities to ensure that businesses have appropriate workers' compensation and disability benefits insurance coverage *prior* to issuing any permits or licenses, or *prior* to entering into contracts.
2. Workers' compensation requirements are covered by WCL Section 57, while disability benefits are covered by WCL Section 220(8). The Workers' Compensation Benefits clause in Appendix A – STANDARD CLAUSES FOR NEW YORK STATE CONTRACTS states that in accordance with Section 142 of the State Finance Law, a contract shall be void and of no force and effect unless the contractor provides and maintains coverage during the life of the contract for the benefit of such employees as are required to be covered by the provisions of the WCL. Under provisions of the 2007 Workers' Compensation Reform Legislation (WCL Section 141-b), any person, or entity substantially owned by that person: subject to a final assessment of civil fines or penalties, subject to a stop-work order, or convicted of a misdemeanor for violation of Workers' Compensation laws Section 52 or 131, is barred from bidding on, or being awarded, any public work contract or subcontract with the State, any municipal corporation or public body for one year for each violation. The ban is five years for each felony conviction.
3. Proof of Coverage Requirements
  - a. The Workers' Compensation Board has developed several forms to assist State contracting entities in ensuring that businesses have the appropriate workers' compensation and disability insurance coverage as required by Sections 57 and

220(8) of the WCL. *Please note – an ACORD form is not acceptable proof of New York State workers’ compensation or disability benefits insurance coverage.*

**4. Proof of Workers’ Compensation Coverage**

- a. To comply with coverage provisions of the WCL, the Workers’ Compensation Board requires that a business seeking to enter into a State contract submit appropriate proof of coverage to the State contracting entity issuing the contract. For each new contract or contract renewal, the contracting entity must obtain ONE of the following forms from the contractor and submit to OSC to prove the contractor has appropriate workers’ compensation insurance coverage:
- b. **Form C-105.2** – Certificate of Workers’ Compensation Insurance issued by private insurance carriers, or **Form U-26.3** issued by the State Insurance Fund; or
- c. **Form SI-12**– Certificate of Workers’ Compensation Self-Insurance; or **Form GSI-105.2** Certificate of Participation in Workers’ Compensation Group Self-Insurance; or
- d. **CE-200**– Certificate of Attestation of Exemption from NYS Workers’ Compensation and/or Disability Benefits Coverage.

**5. Proof of Disability Benefits Coverage**

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

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

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

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

## **B. Minority and Women-Owned Business Enterprise (M/WBE) Participation Goals**

The Higher Education Opportunity Program (HEOP) is an educational academic program outlined in section 6451 of the Education Law. The program enables institutions of higher education to provide economic and academic assistance to students specifically recruited to participate due to their economic and academic disadvantage. The statute creating HEOP does not include sufficient identifiable procurement possibilities to warrant the inclusion of MWBE provisions in this RFP. The New York State Division of Minority and Women's Business Development (DMWBD) allows state agencies and authorities to reasonably exclude, from their annual MWBE Goal Plan, goods materials or services that have been determined to offer no MWBE prime or subcontracting opportunities. Notwithstanding the foregoing, NYSED remains committed to promoting the participation of certified Minority and Women-Owned Business Enterprises. Therefore, NYSED strongly encourages applicants to seek New York State certified M/WBE subcontractors or suppliers to the extent possible for expenditure items in their budget submission.

## **C. Prequalification Application for Grants Reform**

The State of New York has implemented a new statewide prequalification process designed to facilitate prompt contracting for not-for-profit vendors. All not-for-profit vendors are required to prequalify prior to grant application. Interested vendors are asked to submit commonly requested documents, and answer frequently asked questions once. The application requests organizational information about the vendor's capacity, legal compliance, and integrity. To learn more about prequalification, go to the Grants Reform website (<http://www.grantsreform.ny.gov/Grantees>) where you can preview the questions and required documents.

1. Following is a summary of the steps that must be undertaken in order for you to prequalify.
  - a. Go to the Grants Reform website (<http://www.grantsreform.ny.gov/Grantees>) and download a copy of the Registration Form. Please review the instructions

for submission of this Form. The form must be signed and notarized by an authorized representative of your organization, and must be sent to the Division of Budget as soon as possible in order to gain access to the Grants Gateway to enable prequalification.

- b. Upon submission of your Registration Form, you will be provided with a User ID allowing you to gain access to the Gateway. From there, please logon to the Gateway System ([https://grantsgateway.ny.gov/IntelliGrants\\_NYSGG/login2.aspx](https://grantsgateway.ny.gov/IntelliGrants_NYSGG/login2.aspx)) and begin your Prequalification Application.
- c. Vendors who already submitted registration materials and received their user credentials can begin to upload documents into the Document Vault and complete their online Prequalification Questionnaire.
- d. As you fill out the Questionnaire, please refer to the Gateway Training Materials and resource links posted on the “grantees” section of the Grants Reform website to help you navigate the questionnaire. If you still have questions, simply contact your State agency program contact, or post your question to [GrantsReform@Budget.ny.gov](mailto:GrantsReform@Budget.ny.gov), and someone will get back to you quickly with a response.

If you have any questions about prequalification, please go to the Grants Reform website or contact your State agency representative via email at [prequal@mail.nysed.gov](mailto:prequal@mail.nysed.gov). In order to be eligible to apply for an award under this grant, any not for-profit entity must prequalify using the Grants Gateway. No paperwork is required to be sent as proof of application; however, agencies that have not been prequalified by application due date; will not be considered for a grant award. **As this process may take up to a few weeks, it is advised that interested agencies begin this process immediately upon RFP announcement.**

#### **D. NYSED’s Reservation of Rights**

NYSED reserves the right to:

1. Reject any or all proposals received in response to the RFP;
2. Withdraw the RFP at any time, at the agency’s sole discretion;
3. Make an award under the RFP in whole or in part;
4. Disqualify any bidder whose conduct and/or proposal fails to conform to the

- requirements of the RFP;
5. Seek clarifications of proposals;
  6. Use proposal information obtained through site visits, management interviews and the state's investigation of a bidder's qualifications, experience, ability or financial standing, and any material or information submitted by the bidder in response to the agency's request for clarifying information in the course of evaluation and/or selection under the RFP;
  7. Prior to the bid opening, amend the RFP specifications to correct errors or oversights, or to supply additional information, as it becomes available;
  8. Prior to the bid opening, direct bidders to submit proposal modifications addressing subsequent RFP amendments;
  9. Change any of the scheduled dates;
  10. Waive any requirements that are not material;
  11. Negotiate with the successful bidder within the scope of the RFP in the best interests of the state;
  12. Conduct contract negotiations with the next responsible bidder, should the agency be unsuccessful in negotiating with the selected bidder;
  13. Utilize any and all ideas submitted in the proposals received;
  14. Unless otherwise specified in the solicitation, every offer is firm and not revocable for a period of 90 days from the bid opening;
  15. Require clarification at any time during the procurement process and/or require correction of arithmetic or other apparent errors for the purpose of assuring a full and complete understanding of an offerer's proposal and/or to determine an offerer's compliance with the requirements of the solicitation;
  16. To request best and final offers.

## **IX. Student Eligibility**

### **A. Introduction**

1. The Higher Education Opportunity Program is designed to serve the student who is both academically and economically disadvantaged. Campuses sponsoring Higher Education Opportunity Programs are expected to support the recruitment and enrollment of applicants whose life patterns are characterized by both **economic disadvantage** and

**academic disadvantage.**

- a. Indicators may include evidence that the applicant and/or the applicant's family has endured long-term economic deprivation, membership in a group underrepresented in higher education, a history of high unemployment rates, a record of inadequate schooling, and/or little or no accumulation of assets.
        - b. Furthermore, the applicant and the applicant's family are unable to provide for more than the basic needs of family members and may be dependent on public assistance. It must be noted that loss of employment, or the separation, divorce or death of a wage earner in the calendar year prior to the academic year for which eligibility is being established and a resulting decrease in family income below income guidelines is not, in itself, sufficient to establish historical disadvantage. Such cases must be reviewed carefully in order to determine longer term past patterns of income.
2. An academically disadvantaged student is an individual from a low-income family with potential for a successful collegiate experience but is least likely to achieve academic success without the support and services of HEOP.
  - a. Evidence of this may include grades that fall in the bottom half of the high school graduating class, low Regents examination scores, graduation from a high school that has a poor record for preparing students, or having been out of school for a number of years.
  - b. A student eligible for HEOP will fall below the institution's regular admissions standards whether those include SAT/ACT scores, high school average, class rank or other factors.

**B. General Requirements**

1. A student eligible for benefits under the Higher Education Opportunity Program must meet all of the following:
  - a. Be both academically and economically disadvantaged according to the criteria as found in section C. below.
  - b. Be a high school graduate or have an approved equivalency diploma.
2. An approved high school diploma means:
  - a. A New York State high school diploma conferred under the guidelines of Commissioner's Regulations section 100.5



- a. At independent institutions, for HEOP eligibility purposes, open admissions is defined as a non-competitive selection process that permits the admission of applicants regardless of their previous academic credentials or experiences. Generally, the only basis for rejection is serious social or psychological problems, as determined by the institution to which a student applies.
- b. HEOP students selected under open admissions should be tested for academic preparedness and, if necessary, required to undertake remedial work and to receive other supportive services necessary to do college-level work.
- c. In order to be considered for HEOP eligibility at an open admissions institution, a student must meet one of the following criteria:
  - i. Possesses a high school diploma; or
  - ii. Possesses a high school equivalency diploma (b.3. above); or
  - iii. Meets other acceptable academic criteria that differentiate the HEOP student from regularly admitted students (e.g., lower test scores, lower GED/TASC scores) [These criteria must be clearly described in the proposal.]; or
  - iv. Is seeking a high school equivalency diploma under Commissioner's Regulations section 100.7

#### **D. Economic Eligibility Criteria for First-Time HEOP Students**

1. A student is considered economically disadvantaged if he or she is a member of a household where the total annual income of such household is equal to or less than 185 percent of the amount under the annual United States Department of Health and Human Services poverty guidelines for the applicant's family size. Federal poverty guidelines are published annually by the Department of Health and Human Services in the Federal Register. <http://aspe.hhs.gov/poverty/>

All economic eligibility documentation for HEOP must be provided consistent with the information and documentation utilized for the preparation of the FAFSA and for consideration under the NYS Tuition Assistance Program (TAP).

2. The eligibility standards set forth in this section apply only at the time of admission as a first-time student in HEOP.

3. 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 must be reviewed under a federally recognized needs analysis system each year and appropriate adjustments made in the student's financial aid package.
4. Responsibility for Documentation - It is the joint responsibility of the HEOP director and the institution's chief financial aid officer to verify that all first-time program students are economically eligible and that all of the appropriate documentation to verify this eligibility is on hand. The institution is responsible and will be held accountable for this documentation.
5. Eligibility Documentation and Reporting
  - a. All documentation needed to verify the economic and academic eligibility of all new students accepted into the program must be in each student's folder.
  - b. It is the HEOP institution's responsibility to ensure each student's file is complete before admission is offered.
  - c. All student eligibility documentation is subject to review by HEOP-SED and the Office of the State Comptroller (OSC). If, during review, any students are found to have incomplete files, the institution will be notified in writing as to missing documentation that must be obtained and placed in the students' folders.
  - d. If HEOP-SED staff finds during a documentation review that any students are ineligible for HEOP, campus staff will be informed in writing. In this event, enrollment reports and payments will be adjusted accordingly.
  - e. A portion of the HEOP Final Report, with signatures of the Chief Administrator, the Chief Financial Aid Officer and the HEOP Director, attests to the academic disadvantage and economic eligibility of each program student. This form must be submitted as part of the HEOP annual final report.

## **E. Selection Criteria for HEOP Transfer Students**

1. Students transferring from opportunity programs funded under Section 6451 or 6452 (HEOP, EOP, SEEK, College Discovery) of the New York State Education Law.
  - a. The semesters a transfer student has spent in any previous NYS opportunity program(s) will be taken into account in calculating the student's remaining semesters of entitlement. The admission procedures must be aware of and

adhere to this policy in making decisions about prospective transfers.

- b.** Students may have not earned a post-secondary credit-bearing certificate or degree while in high school, and have earned less than 15 college credits that are transferable to the admitting institution.
- c.** It is the joint responsibility of the institution's HEOP director, Chief Financial Aid Officer & Chief Admissions Officer to verify that all first-time HEOP students and, in the case of transfer HEOP students, Chief Administrator, are economically and academically eligible and that all of the appropriate documentation to verify this eligibility is on hand. All participating HEOP institutions can and will be held accountable for all eligibility documentation. HEOP-SED reserves the right to request corresponding documentation at will from each participating HEOP institution.
- d.** For out-of-state students who attended a corresponding opportunity program in another state and satisfy NY State Residency requirements, they will be evaluated for eligibility in the year which they started at an out-of-state college and/or university. Out-of-state transfer students must not have earned less than 15 credits.

**2. College Courses While in High School**

- a.** Generally, limited college coursework taken by high school students while they attend high school are considered to be part of the student's high school work and not prior college work. Students that earned a credit-bearing certificate or degree while in high school are not eligible for enrollment in HEOP.
- b.** The institution's HEOP proposal must indicate the specific admission criteria that recognizes a student being academically disadvantaged based on the acceptance of previous postsecondary coursework.
- c.** High school students taking college courses for credit in only the following state sponsored programs may be considered admissible to HEOP.
- d.** New York State sponsored programs include:
  - i.** Liberty Partnerships Program (LPP)
  - ii.** Science and Technology Entry Program (STEP)
  - iii.** Smart Scholars Early College High School Program (SS ECHS)
  - iv.** NYS Pathways in Technology Early College High School

## **F. HEOP Student Funding Eligibility**

### **1. Full-Time Student**

In regular academic sessions, if the institution receives HEOP funds on behalf of a student, the student is considered to be using a semester of eligibility even if the student does not directly receive HEOP funds.

- a.** Two-year degree program: A student is allowed six semesters or equivalent of opportunity program eligibility.
- b.** Four-year baccalaureate program: A student is allowed ten semesters or equivalent of opportunity program eligibility.
- c.** Five-year baccalaureate program: An academic program that requires five years to complete and that the State Education Department has registered as a five-year program. If enrolled in this type of program, a student is eligible for up to 12 semesters of HEOP assistance.
- d.** New York State Tuition Assistance Program (TAP): For students who participate in TAP, eligibility for five years is provided under Section 145-2.7 of the Commissioner's Regulations.
- e.** Part-time student in a full-time program: It is expected that all HEOP students enrolled in a program funded to serve full-time students will begin with a full-time academic course load. However, due to documented extenuating circumstances, a student may have to register for less than a full-time course load. Some examples include: students with disabilities, medical problems or family responsibilities. The extenuating circumstances requiring less than full-time enrollment must be approved by the institution. If the qualified need to be on part time status extends to more than four semesters for a four year baccalaureate program (two semesters for associate degree), the remaining eligibility will be calculated according to the Part-time schedule below.

### **2. Part-Time Student**

Students part-time in HEOP must enroll for at least six semester hours or the equivalent per term. The FTE will be calculated on a thirty-semester hour equivalent basis per academic year.

- a.** Two year associate degree program: A student is allowed 90 semester hours of eligibility.

- b. Four year baccalaureate program: A student is allowed 150 semester hours of eligibility.
- c. Five-year baccalaureate program: An academic program that requires five years to complete and that the State Education Department has registered as a five-year program. If enrolled in this type of program, a student is eligible for up to 180 hours of HEOP assistance

### 3. Special Sessions

- a. HEOP-SED funds are not available for continuing students to attend a special academic session without justification. It is the joint responsibility of the HEOP director and of an institutional financial aid officer to verify that all HEOP students attending a special session have a legitimate reason to do so. The institution is responsible and will be held accountable for this documentation.
- b. Thirty semester hours must be used to calculate FTE in other than regular academic year sessions. Students who cumulatively exhaust 15 hours or equivalent of coursework during such summer or special sessions will have used one semester of the ten-semester entitlement. If a student takes 12 or more credits or its equivalent during one summer session, the student will have used one semester of eligibility.
- c. Students are not using HEOP eligibility in a special session if:
  - i. The academic support services and financial assistance received by the students are funded by the institution and/or other sources only, and
  - ii. The students are not reported on the HEOP roster for a special session.

## X. Program Funding

### A. Funds

#### 1. HEOP Grant Funds

Funds made available by the enacted state budget for the 2014-15 fiscal year, will be allocated to successful HEOP applicant non-public institutions of higher education that maintain one or more earned degree programs culminating in an associate degree or baccalaureate degree. The budget for each HEOP Institution will include three major components: academic support services, supplemental financial assistance, and student tuition assistance and should be appropriately recorded on the FS-10 (see program -specific

guidance regarding FS-10 categories/codes below). Applicants should refer to the Fiscal Guidelines for Federal and State Aided Grants while preparing their program budgets:

<http://www.oms.nysed.gov/cafeguidance/guidelines.html>

Allowable direct costs include the following:

**a. 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 in the course of screening potential enrollees.

- i. Salaries for Professional Staff, including the HEOP Director, should be recorded under Code 15 Professional Salaries.
- ii. Costs of consultants and other contractual services should be recorded under Code 40 Purchased Services.
- iii. Other Academic Support Services deemed allowable under sec. 6451 of the Education Law and Section 152-1.5 of the Commissioner's Regulations for HEOP, including special testing, tutoring or guidance services, should be recorded under the appropriate FS-10 category.

(A). Fee waivers may be granted by the test examining agency for low-income-family/students. Waivers should be sought before using HEOP funds for testing services.

(B). Payment of graduate and professional entrance examination fees is allowed. It is necessary to retain on-file receipts for expenditures in this category consistent with the accounting and purchasing procedures of institutional policy, along with all agreements between the institution and contractor(s) and reports provided by the contractor.

- iv. The rate for fringe benefits cannot exceed the actual rate paid by the institution and should be recorded under Code 80 Employee Benefits.

**b. Remedial, Developmental, Compensatory, and Summer Courses**

- i. Section 6451 of Education Law allows for HEOP funding of "remedial courses, developmental or compensatory courses and summer classes."
- ii. Institutions may request HEOP funding of tuition charges for remedial and developmental courses as required and budgeted under code 40

Purchased Services.

- iii. If the HEOP grant and/or institution budget is paying the salary of the course instructor as recorded under Code 15 Professional Staff, HEOP and/or institution funds must not be used to pay for tuition.
  - iv. If the HEOP grant and/or institution budget is paying the salary of the course instructor, as recorded under Code 15 Professional Staff, the institution must not charge tuition for such a course or list tuition as an institutional contribution.
  - v. When both HEOP and non-HEOP students are enrolled in a remedial or developmental course, the salary of the instructor paid by HEOP funds must be prorated accordingly.
  - vi. If a student is enrolled in a remedial or developmental course in which a tuition charge is based only on the credit portion of the course, HEOP funds may be requested for the costs of the remaining portion of the course (under code 40 Purchased Services).
    - Example: A student enrolls in a developmental English course meeting four contact hours/week (fifteen week semester) for three credits. The student is charged tuition based on the three credits. HEOP funds may be requested for the actual costs of instructional time for the remaining hour of the course.
  - vii. If HEOP pays an instructor's salary for coursework used to generate a student's tuition charges, the student's tuition must be reduced by a proportionate amount.
    - Example: If a full-time matriculated student is taking 12 hours in a semester of which 3 hours are in a remedial/developmental course (where remedial/developmental tuition or the instructor's salary is paid for by HEOP), the student may only be charged 3/4 of the total regular tuition charge for that semester.
- c. Tuition Assistance
- i. Under the provisions of section 6451 of the Education Law and 152-1.8 of the Commissioner's Regulations, such funds must be limited to the costs of developmental, remedial, and compensatory courses; and to

reimburse the institutions for no more than 50 percent of the tuition charged for the regular academic program.

- ii. 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.
- iii. Tuition Assistance should be recorded on the FS-10 budget form under category Code 40 Purchased Services.

**d. Supplemental Financial Assistance**

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

- i. Room and board or a portion thereof should be recorded on the FS-10 under category Code 40 Purchased Services.
- ii. Travel to and from the student's home, for both residential and commuter students should be recorded under Code 46 Travel Expenses.
- iii. Textbooks and instructional materials should be recorded under Code 45 Supplies and Materials.
- iv. Lunches for commuter students should be recorded on the FS-10 under category Code 40 Purchased Services.
- v. Personal expenses, used for students to purchase needed school related materials, with a limitation of \$250 per year, should be recorded under Code 45 Supplies and Materials.
- vi. Medical insurance should be recorded on the FS-10 under category Code 40 Purchased Services.

**2. Non-Allowable Costs**

Section 6451 of the Education Law and Section 152-1.5 of the Commissioner's Regulations specifically provide the only areas for which HEOP funds may be expended. Any expenditure in categories other than those specifically allowed by law will be rejected.

- a. Funds are **not** available for rental of office or meeting space, storage facilities, equipment, fixtures or communication cost (phone, postage, and/or electronic communication cost), clerical assistance, and other items which fall outside of the allowable expenses identified in the legislation.
- b. Travel
  - i. Section 6451 of Education Law and Section 152-1.5 of the Commissioner's Regulations do not allow HEOP funds to be used for this purpose except as specifically identified for students.
  - ii. It is expected that institutional funds will be available in this category for trips made by HEOP personnel in connection with the fulfillment of HEOP goals as stated in the institution's submitted proposal.
  - iii. Education opportunities may include conferences, trainings, workshops, and recruiting students. Activities sponsored or co-sponsored by HEOP-SED for purposes of staff training receive first priority in this category.
- c. HEOP funds cannot be used for items which previously had been assumed by the institution.
- d. HEOP funds cannot be used for indirect costs.
- e. HEOP funds will not be allowed for those expenditures made from Federal or other already available funds. The purpose of an HEOP grant is to supplement rather than supplant monies previously or presently allocated to HEOP. Because of limited HEOP funds, institutions are urged to utilize all available outside resources as well as using all possible institutional resources.
- f. HEOP funds cannot be used to pay for the salary or stipend of the HEOP Director's Supervisor or someone designated as a Principal Investigator for the grant contract.
- g. HEOP funds may not be used for purposes other than those described in the approved grant contract.
- h. HEOP funds are intended to establish new efforts or to enrich or expand existing ones. They may not be used to supplant funding of other existing efforts.

### 3. Institutional Funds

- a. Indirect Expenses
  - i. Section 6451 of the Education Law does not allow for the use of HEOP funds for indirect costs, therefore payment of an Indirect Cost, Code 90,

is not allowed.

- ii. Indirect expenses, if included in the institutional match budget, may not exceed twenty percent (20%) of the total institutional matching funds.

**b. Institutional Obligation**

- i. All HEOP students must be provided the same level of accommodations as generally-admitted students in all areas pertaining to their education including but not limited to: on-campus residential housing, food services, conferences and workshops, computer and laboratory access, access to online course with supportive services, sufficient office space, classroom space, study space, space for commuter students, etc., based upon the number of students served and the type of academic support services provided and other support for the program to be effective.
- ii. Staffing for HEOP must be consistent with the staffing levels for other institutionally based academic support services. Each institution's HEOP is required to commit to having a full-time HEOP director on staff who serves as the administrative head of HEOP and responsible for the day-to-day program management duties, program planning responsibilities, and program reporting. The HEOP director must be a part of or report to a member of the institution's senior level staff. Each institution is also responsible for providing sufficient academic support and clerical staff to meet the needs of the institution's HEOP students.

**c. Institutional Match**

- i. A minimum fifty-percent match of the requested HEOP grant is required from the institution's own resources.
- ii. Institutional accounts must be structured to reflect this contribution by appropriate line item.
- iii. Federal and State grant funds may not be used for matching purposes.
- iv. Because of limited state allocated HEOP funds, institutions are urged to use all available outside resources and all possible institutional resources to maintain the effort in support of HEOP.
- v. Each institution participating in HEOP is responsible for providing the same level of tuition assistance, academic support services, and supplemental financial assistance per student in each year of the

proposal cycle (2014 – 2019).

**4. Funds from Similar Programs**

- a. When several programs for disadvantaged students exist on a campus, it is HEOP-SED policy to encourage cooperation and, where possible, joint programming.
- b. "Double-counting" of students to generate funds from more than one outside source will not be permitted.
- c. Each student participating must be counted only by one opportunity program for record keeping purposes.
- d. When HEOP activities are part of a larger support program, fiscal accountability can be maintained by establishing a pro-rating of service support generally consonant with the percent of HEOP students in the total population served or by demonstrating that the proportion of funds for supportive services reflects the actual intensity of services delivered to HEOP students. Under such an arrangement, using the concept of "shared services," HEOP students need not be served exclusively by HEOP-supported personnel, and HEOP supported personnel need not serve exclusively HEOP students, provided the overall program budget reflects the pro-rating concept and permits separate accounting of HEOP funds. Institutional documentation of the pro-rating methodology and the data used in establishing and utilizing the methodology must be maintained and be made available as part of HEOP records.

**B. Organization & Administration**

**1. Staffing**

Staffing Guidelines are provided as a recommended guide for HEOP Institutions. It should be kept in mind that the figures represent recommended minimum levels. Final determinations must take into account the funds made available by the enacted state budget, the institution, and other sources. For staffing guidelines see Appendix 3.

**2. HEOP Salary and Benefits**

Salaries are negotiated by the institution with HEOP personnel; salaries shall be consistent with those paid to other campus employees with commensurate levels of training, skills, and responsibilities.

- a. If HEOP personnel have other non-HEOP responsibilities, institutional or other

resources will be required. It should be noted that salary increases from HEOP funds may be requested for individual professional staff members who will continue in their current positions.

- b. HEOP staff is expected to receive treatment identical to other institutional officers of similar rank with respect to employee benefits, including but not limited to tuition reimbursement, holiday and vacation leave, and health insurance coverage.

**3. Institutional Officers**

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

**4. Vacation and Holidays**

In the absence of the institution's HEOP director, HEOP-SED requires that participating HEOP institutions designate professional staff that are knowledgeable about the institution's HEOP functions to be available to answer internal and/or external HEOP related inquiries at all times. This may include but is not limited to an HEOP assistant director or the senior staff member to whom the HEOP director reports.

**5. Educational Assistants**

Educational Assistants are individuals who are hourly or weekly workers who only provide counseling, tutorial services and/or other academic support services to students. This category is not limited to undergraduate or graduate students, but may include full or part-time institutional employees.

**a. Summer Sessions**

- i. Hourly workers - tutors and others who do not work full-time. Wages paid from HEOP funds must be no less than the minimum wage in New York State.
- ii. Weekly workers - live-in student, counselors, and others that work full-time.

**b. Academic Year**

- i. Hourly workers: tutors and others who do not work full-time. Wages paid from HEOP funds must be no less than the minimum wage in New

York State. Wages should be higher than minimum based upon the academic degree attained by the employee and the amount of previous relevant experience.

- ii. Weekly workers: live-in student, counselors, and others that work full-time. Wages paid from HEOP funds to educational assistants must be no less than the minimum wage in New York State. Wages should be higher than minimum based upon the academic degree attained by the employee and the amount of previous relevant experience.

## **XI. Proposals<sup>3</sup>**

Proposals submitted to the New York State Education Department (SED) should be in accordance with the purpose and goals established under the guidelines of this RFP. Each HEOP institution must ensure that HEOP students are provided with sufficient academic support services, tuition assistance, supplemental financial assistance, and full need packaging to enable them to successfully complete the institutional components required for graduation.

Proposals should include plans for the recruitment of economically and educationally disadvantaged students who meet the eligibility as first-time HEOP students; efforts to enroll more students in competitive programs of study; institutional plans improving HEOP student academic success & development; plans for HEOP student engagement, retention, and graduation; and institutional plans on preparing HEOP students for post-graduation opportunities. The completed proposal document should reflect a cohesive program. The maximum length of the proposal is 35 pages, not including attachments. Proposals will not be reviewed beyond the maximum number of pages for each section, as identified below. The proposal is to be prepared in Calibri, 11 point font, 1.5 spaced, with a standard 1" margin.

Each institution may submit more than one proposal if

- a. the institution has two or more campuses
- b. the institution has different sets of student populations that qualify for HEOP (e.g. separate proposals for a program dedicated to full-time students and a separate proposal for a program dedicated to part-time students)

The maximum number of FTE for any institution of higher education making one or more HEOP

---

<sup>3</sup> See Appendix 4 for specific narrative application guidance.

applications will be capped at a sum total of 650 FTE per program year. No institution will be awarded funds in excess of this cumulative amount regardless of the number of separate applications submitted for separate campuses or different sets of student populations that qualify for HEOP.

The Budget should include the FS-10 budget form and a budget narrative, which provides explanation and background justification for all expenses entered onto the FS-10. The budget narrative should not exceed 10 pages and should be organized in the order of the categories on the FS-10. Applicants should also submit the [HEOP B-1](#) form. On the budget allocation portion of the worksheet, HEOP expenses and matching funds will be grouped under Academic Support Services, Supplemental Financial Assistance, and Tuition Assistance. In requesting HEOP funds, both the current and the start-up program applicants must base the FTE number in their budget request at the number of students enrolled in the first year of the funding cycle. Start-up programs must include in the HEOP B-1 the projected FTE for years 2-5, as these FTEs will be used to calculate budget awards for years 2-5. The number of FTEs expected each year for current programs should remain the same. For start-up programs, FTEs may steadily increase, as additional students enroll each year, until FTEs level off in the fourth year of funding.

## **XII. Public Relations & Attribution of HEOP Funding**

- A.** In order to ensure the continued support and the commitment of resources of an Institution to Arthur O. Eve HEOP, there must be public awareness of the program's positive impact on the lives of HEOP participants and their families, schools, and communities. Positive publicity and community awareness also helps to ensure that those who are eligible and who could benefit from participation are informed of your program's existence.
- B.** 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, 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.
- C.** In addition, the HEOP director must submit copies of all local, statewide, or national media stories about their program and/or the program participants and staff to the State Education

Department at the following address:

New York State Education Department  
Office of K-16 Initiatives and Access Programs – HEOP  
89 Washington Avenue  
Room 505W  
Albany, New York 12234

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

### **XIII. Proposal Rating and Method of Award**

The funds in the appropriation will be distributed to successful applicants according to the process indicated below. The proposals will be rated numerically, with a maximum possible score of 125 points: 100 points for the Narrative Application and 25 points for the Budget/Budget Narrative. Scores are recorded to two decimal places.

#### **A. Awarding of Funds to Non-Profit Institutions**

1. The Narrative Application scores, which consist of the combination of Part 1 and Part 2 of the scoring rubric, will be determined by two reviewers.
2. The budget and budget narrative of each application will also be reviewed and scored by both reviewers.
3. The final score used for rank ordering the applications will be the average of the two reviewers' scores for the total of the narrative application and the budget/budget narrative.
  - a. If, however, the two reviewer's scores show a discrepancy of more than 25 points, the proposal will go to a third reviewer. After the third review, the mathematical average of all three reviewer's scores will be the final score.
  - b. The final application score must be 85 points for an application to be considered for funding. Failure to meet this requirement will disqualify a proposal from further consideration.
  - c. In the event of a tie score, the tie breaker will be the highest score on Part 1 of

the scoring rubric in the Narrative Application.

- d. If the scores remain tied after this step, a second tiebreaker will be the highest score on Part 2 of the scoring rubric in the Narrative Application.
4. New York State is divided into ten Regents Higher Education Regions (found here: <http://www.highered.nysed.gov/kiap/documents/RegentsRegions2009.pdf>). The highest ranking applicant in each region with a passing score will be funded at the amount of their request, pending modification of the budget if it includes unallowable expenses.
5. The remaining funds will be pooled into a single statewide sum to be awarded to the remaining eligible unfunded applicants in rank order by final application statewide score. This process should result in at least one program per region and should also support those meritorious applications competing on a statewide basis.
6. If there are funds remaining that will not fully support funding the next highest application in the statewide ranking, that applicant will be given the opportunity to receive a partial award. If an eligible applicant chooses not to accept the partial award, the next eligible applicant will be contacted.

**B. Awarding of Funds to For-Profit Institutions:**

1. A maximum of \$500,000 will be set aside for the highest ranking for-profit applicants statewide providing that they receive a passing score of 65 points or more on the Narrative Application (valued at 100 points total).
2. The Narrative Application of each proposal will be reviewed and scored and those applicants who receive at least 65 points on the Narrative Application (Parts 1 and 2 of the scoring rubric) will move on to the cost review phase of the award process. Those who receive less than 65 points in the Narrative Application will be eliminated from further consideration.
3. For for-profit applicants, the 25 points available for the financial portion of the application will be awarded pursuant to a formula. This calculation will be computed by the Contract Administration Unit upon completion of the technical scoring by the technical review panel.
4. The financial score will be determined based on the following criteria: providing the lowest academic support service amount per academic year FTE (10 points), the lowest HEOP tuition assistance amount per academic year FTE (10 points), and the lowest HEOP

supplemental financial assistance per academic year FTE (5 points). The points for each of these components are added together, creating a fiscal viability score (please see Appendix 4 of this RFP for additional information regarding the fiscal viability score for for-profit applicants).

5. The aggregate score of both the Narrative Application (technical) and Budget/Budget Narrative (cost) will be calculated for each proposal that has passed the technical review stage.
6. The contract(s) issued pursuant to this RFP will be awarded to the for-profit applicant whose aggregate technical and cost score is the highest among all the for-profit proposals rated, and then the next highest-ranked for-profit applicant, and the next, until there are insufficient funds to award the next ranked for-profit applicant in full. These applicants will be funded at the amount of their request, pending modification of the budget if it includes unallowable expenses.
7. In the event of a tie score, the contract will be awarded to the applicant whose budget component reflects the lowest overall cost.
8. If there are no eligible for-profit applicants, these funds revert to the non-profit allocation method.
9. If funds remain after the awarding the for-profit applicants, those funds revert to the not for-profit allocation method.
10. Programs administered by for-profit institutions are subject to the same operational controls and guidelines as those for other awardees.

### **C. Award Notification and Contract**

All applicants will be notified regarding the disposition of their proposal in writing. Successful applicants will be informed of the amount of their award and next steps in the grant contract process.

Upon selection, the State Education Department will prepare a contract that will include the contents and terms of this RFP and the successful applicant's original technical proposal, which cannot be changed. Any subsequent correspondence related to final contract negotiations, and such other stipulations as agreed upon may be made a part of the final contract developed by the State Education Department. Successful applicants may be subject to audit and must ensure that adequate controls are in place to document the allowable activities and expenditures of

State funds.

#### **D. Limitation on the Maximum Award**

The maximum award amount possible for each applicant institution is computed by multiplying the amount of \$5,600 by the number of HEOP academic year student FTEs in the proposal. The maximum number of FTE for any institution of higher education making one or more HEOP applications will be capped at a sum total of 650 FTE per program year. No institution will be awarded funds in excess of this cumulative amount regardless of the number of separate applications submitted for separate campuses of the institution of higher education.

In requesting HEOP funds, both the current and the start-up program applicants must base the FTE number in their budget request at the number of students enrolled in the first year of the funding cycle. Start-up programs must include in the HEOP B-1 the projected FTEs for years 2-5, as these FTEs will be used to calculate budget awards for years 2-5. For start-up programs, the funding amount for the first year will be based upon the expected FTE for year one of the program. FTEs projected by start-up programs may steadily increase, as additional students enroll each year, until FTEs level off in the fourth year of funding. Current programs that are successful in this competition will be funded based upon the full operation FTE number provided on the HEOP form B-1, and will remain the same each year of the program. Both start-up and current programs are subject to the FTE requirements contained in paragraph E. below.

#### **E. Changes in Award Amounts and Allocation of Program Increases or Decreases**

1. Each funded program is also expected to meet its budgeted enrollment figure. If actual enrollment is less than 95% of budgeted FTEs based upon the roster provided in the required report due by October 15<sup>th</sup>, the program will have its award reduced to the amount of the institution's per student award amount (up to \$5,600) multiplied by the actual number of HEOP student FTEs reported on the required report due October 15<sup>th</sup>. In addition, the program will be placed on probation in the next program year requiring a site visit and technical assistance review by HEOP-SED.
2. FS-10 budgets of all applicant institutions are subject to adjustment if they fail to attain and/or maintain enrollment goals based upon the HEOP student FTEs recorded on the required report due October 15<sup>th</sup>. In this instance, an adjusted award letter will be

provided to the institution and the institution is required to provide a budget amendment (FS-10A) which realigns the budget to the new award amount. For the subsequent year of the funding cycle, the institution is returned to its original award amount, which will require meeting the original HEOP student FTE. If the institution fails to meet its HEOP student FTE, the award will be reduced again based upon the process outlined above.

3. Adjustments to the award will occur if items within the proposed budget are deemed to be non-allowable or inappropriate.
4. Grant funds must be expended on allowable activities in accordance with the approved budget and in accordance with the applicable cost principles. Further, budget allocations in future years are subject to review.
5. If additional funding becomes available, and NYSED chooses to distribute this funding to applicants of this current RFP, NYSED will allocate the funds in this order by:
  - a. Making whole any funded programs that have received a partial award;
  - b. Approving awards, in rank order, for eligible applicants who received passing scores, but who did not rank high enough to receive the initial funding;
  - c. Allocating additional funds proportionately, based upon student FTE, among already awarded programs;

Such plan will be subject to review and approval by the Office of the State Comptroller.

6. If there is a reduction in funding for HEOP, the fiscal reduction will be made across the board on all funded programs, based upon the proportion of FTEs of each institution as part of the total HEOP FTE statewide.

#### **F. Contract Terms and Conditions**

Individual awards issued under this grant proposal will require that the awardee enter into a grant contract, the form of which is contained in an attachment to this RFP. In addition to being signed by the awardee and NYSED Counsel, the contract will need to be submitted for review and approval by the NYS Attorney General and the Office of the State Comptroller. All provisions of this RFP are subordinate to the terms and conditions of the grant contract.

#### **G. Debriefing Procedures**

All applicants may request a debriefing within five (5) business days of receiving notice of non-award from NYSED. Applicants may request a debriefing on the selection process regarding this

Grant by emailing the request to [HEOPRFP@mail.nysed.gov](mailto:HEOPRFP@mail.nysed.gov). In response to a request for a debriefing letter, a summary of the strengths and weaknesses of the application will be provided to the applicant contact within ten (10) business days.

#### **H. Award Protest Procedures**

Applicants who receive a debriefing may protest the NYSED award decision subject to the following:

1. The protest must be in writing and must contain specific factual and/or legal allegations setting forth the basis on which the protesting party challenges the contract award by NYSED.
2. The protest must be filed by the applicant/lead applicant within ten (10) business days of receipt of the notice of the written debriefing letter. The protest letter must be filed with:

NYS Education Department  
Contract Administration Unit, GC#14-003  
89 Washington Avenue  
Room 501W EB  
Albany, NY 12234

3. The NYSED Contract Administration Unit (CAU) will convene a review team that will include at least one staff member from each of NYSED's Office of Counsel, CAU, and the Program Office. The review team will review and consider the merits of the protest and will decide whether the protest is approved or denied. Counsel's Office will provide the applicant with written notification of the review team's decision within seven (7) business days of the receipt of the protest. The original protest and decision will be filed with Office of the State Comptroller (OSC) when the contract procurement record is submitted for approval and CAU will advise OSC that a protest was filed.
4. The NYSED Contract Administration Unit (CAU) may summarily deny a protest that fails to contain specific factual or legal allegations, or where the protest only raises issues of law that have already been decided by the courts.

## **Appendices**

### **Appendix 1: Proof of Application for Federal Pell and New York State Tuition Assistance Program**

Section 27-1.1 of the Rules of the Regents requires that:

The student has filed an application for a basic educational opportunity (Federal Pell) grant with the appropriate agency of the Federal Government for the academic year in which benefits pursuant to Section 6451 of the Education Law are sought, provided that such student is eligible to receive such grant. Each institution, which has entered into a contract pursuant to Section 6451, will maintain on file an electronic or hard copy of such student's completed grant application or the Student Eligibility Report (now the Student Aid Report) or a copy thereof, by no later than 45 days from the commencement of the academic term.

For Federal Pell and NYSTAP, the Free Application for Federal Student Aid (FAFSA) and the TAP supplemental form are also acceptable proofs of filing for the respective entitlement programs, provided the appropriate items are checked on the form(s).

## **Appendix 2: Financial Aid & Full Need Packaging**

### **A. Policy Determination**

1. The HEOP directors and institutional financial aid officers must jointly determine financial aid packaging policy.
2. Financial aid awards must reflect the institution's commitment to the HEOP student by maximizing all the financial assistance available and minimizing student loans. The HEOP grant supplements the other sources of aid included in a student's financial assistance package. It will be considered "first-out" in cases of over packaging found during audits.
3. The Free Application for Federal Student Aid (*FAFSA*) or other federally recognized needs analysis system must be used in calculating a program student's financial aid package. The financial aid package for each student must be based on the calculated full need using a combination of grants, tuition waivers, work, loans, and expected family contribution, and other awards.

### **B. Full Need Packaging**

The process of making financial aid determinations to ensure full-need packaging must be documented and maintained by the HEOP director or institutional financial aid officer. Cost of attendance for HEOP students must include realistic subsistence costs, in addition to institutional charges.

### **C. 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.
2. It is recommended that First-time HEOP students not be packaged with loans. However, in the event that this is not possible, the total self-help, including loan and work, may not exceed \$6,250 for each resident First-time HEOP student and \$5,000 for each First-time HEOP commuter student per year.
3. Students attending the HEOP summer camp cannot be charged for their attendance as a first-time HEOP student.

#### **D. Award Letter and Revisions**

- 1.** Institutions must send an award letter to each HEOP student that clearly estimates a student's total need, by expense category, and that programs available financial aid for the student, by source.
- 2.** All award letters should be mailed and copies placed in the students' files in the HEOP office within a month of the start of the fall term or if the student is a spring admit, within a month of the start of the spring term.
- 3.** Issuing a revised award letter and placing a signed copy of this revision in the student's file prior to the end of the program year must document any revised financial assistance awards.

## Appendix 3: Staffing Guidelines

The following staffing pattern is a guide for program administrators:

### Administrative Staff

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

| Number of Students |  |
|--------------------|--|
| 1 - 30             | full-time HEOP director                                      |
| 31 - 75            | full-time HEOP director and half-time assistant director     |
| 76 +               | full-time HEOP director and one full-time assistant director |

Academic Year (based on headcount of HEOP students):

| Number of Students |  |
|--------------------|--|
| 1 - 30             | full-time HEOP director  |
| 31 - 60            | full-time HEOP director and half-time assistant director   |
| 61 - 100           | full-time HEOP director and one full-time assistant director   |
| 101 +              | full-time director, one full-time assistant director and half-time Administrative assistant <sup>4</sup> |

### Counseling Staff:

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

| HEOP-Funded Continuing Students |                              |
|---------------------------------|------------------------------|
| 5 - 25                          | half-time HEOP counselor     |
| 26 +                            | one full-time HEOP counselor |

Academic Year (based on headcount of HEOP students):

| Number of Students |                          |
|--------------------|--------------------------|
| 1 - 25             | half-time HEOP counselor |

---

<sup>4</sup> Clerical/Administrative assistance shall not be paid using HEOP funds.

|          |   |
|----------|---|
| 26 – 50  | one full-time HEOP counselor                                |
| 51 - 75  | one full-time HEOP counselor & one HEOP half-time counselor |
| 76 - 100 | two full-time HEOP counselors                               |

## Appendix 4: Proposal Guidelines

### I. Narrative Application:

#### A. Application Cover Page (Appendix 5)

This section is not counted in page total.

#### B. Executive Summary: (1 page max) 2 points

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

#### C. Organizational Background (Who section): (3 page max) 7 points

This section should include:

1. An overview and brief description of the organization.
2. This section should explain why your organization is qualified to be an HEOP institution; this includes a description of compliance with reporting requirements and student outcomes in the last HEOP cycle or similar programs.
3. A brief history, accomplishments, qualifications, and experience in education opportunity programs and/or serving the needs of disadvantaged populations.
4. External Program Interrelationships:
  - a. Provide a copy of the organizational chart of the institution and of the area of responsibility of the official to whom the HEOP Director reports.
  - b. List the campus-wide committees on which HEOP staff members serve.
  - c. Please reference the following and include as attachments:
    - i. A section on Key Personnel or HEOP Management
    - ii. Job/Title Descriptions (do **not** include resumes).
5. Internal Program Relationships:
  - a. Describe the internal structure of the HEOP office. Include:
  - b. 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)
  - c. A HEOP organization chart for all program-related personnel

**D. Need (Why section):** (2 page max) 4 points

Identify the need both in the higher education community and institutionally explaining why the institution seeks to operate HEOP and the students it is seeking to recruit. This section should include:

1. Why does your institution want to be a part of HEOP?
2. Community description, poverty, education and other information that describes or relates to your target population and the objectives of your proposal.
3. Make sure the institutional needs relate to what the institution plans on doing and avoid circular reasoning.

**E. Goals and Objectives (What section):** (6 page max) 6 points

This section should include:

1. **Goals:** Should be in accordance with the goals and purposes for HEOP as established by SED which are:
  - a. To enroll the most academically and economically disadvantaged HEOP eligible students in competitive programs of study. (2 page max)
  - b. To provide the necessary training and supportive services that assist HEOP students in succeeding academically. (2 page max)
  - c. To engage and retain HEOP students to graduation and assist them in pursuing postgraduate academic and/or employment opportunities. (2 page max)
  - d. Follow goals with several measurable objectives (Specific, Measurable, Achievable, Relevant, and Time-Bound [SMART]) objectives that are directly related to achieving the goal.
2. **Objectives:** Should be clear, timed, and measurable.
  - a. **Process** objectives: Describing the program objectives
  - b. **Outcome** objectives: Describing what will occur (benefits to the general education community and HEOP students)

**F. Methodology (How Section):** (2 page max) 3 points

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

**G. Admissions:** (4 page max) 12 points

**1. Population**

- a. Describe the size and characteristics of the pool of potential HEOP-eligible students from which the institution intends to draw applicants.
- b. For continuing programs only, indicate how many applications were received for HEOP admission, how many admissions offers were made, and how many students actually enrolled in 2013-2014.

**2. Selection Criteria**

- a. Provide a chart that shows the admissions criteria for regular-admit and HEOP student. If applicable, include:
  - i. High school average
  - ii. Rank in class
  - iii. SAT or other standardized tests
  - iv. Any other quantifiable criteria used
- b. Provide a description of the qualitative criteria used for both groups of students.

**3. Admissions Process**

- a. Discuss the recruitment process by which HEOP admissions policies and procedures are described to prospective applicants.
- b. Provide an HEOP admissions timetable for 2014-2015 that includes:
  - i. Recruitment
  - ii. Selection
  - iii. Cut-off dates
- c. Describe the process used to select applicants for acceptance into HEOP.

**H. HEOP Summer Camp:** (4 page max) 18 points

Discuss all summer activities designed to bridge the gap between students' skills and the skill demands of regular offerings on campus as well as their general readiness to enter the college community. This includes:

1. The number of all first-time HEOP students participating in the HEOP Summer Camp and a description of the student selection process.
2. Description of the counseling and advisement services to first-time HEOP students.

Include:

- a. List of staff, by title, which will provide counseling services, including:

- i. Counselor-student ratio (the assigned counseling caseload for each staff position involved in counseling).
    - ii. Description of the use of summer peer counselors, including:
    - iii. Discussion of their specific qualifications and responsibilities
    - iv. Description of the training and supervision to be provided
  - b. Counseling staff orientation and in-service training
- 3. Types of counseling provided (e.g., personal, academic, financial, career, psychological), including:
  - a. frequency of counseling contacts with individual first-time HEOP student
  - b. Coordination with campus counseling services (e.g., academic advisement, career planning and placement, counseling center).
- 4. Referral system for off-campus counseling services.
- 5. Description of the tutoring services to first-time HEOP student.
 

Include:

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

**I. Academic Year Academic Support Services: (5 page Max) 20 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.** A listing of staff, by title, providing academic year counseling services, including:
  - b.** counselor-student ratio (the assigned counseling caseload for each staff position involved in counseling)
  - c.** description, with rationale, of the use of any peer counselors, including discussion of their specific qualifications, responsibilities, training and supervision
  - d.** professional counseling staff orientation and in-service training
- 2.** Types of counseling provided (e.g., personal, academic, financial, career, psychological), including:
  - a.** Minimum number of counseling contacts required of each student, by term
  - b.** Additional counseling contact requirements for special categories of students (e.g., first-time HEOP, HEOP transfers, HEOP students under probation)
  - c.** Coordination with campus counseling services (e.g., academic advisement, career planning and placement, counseling center)
  - d.** Referral system for on and off-campus counseling services.
- 3.** Description of tutoring services, including:
  - a.** Types of tutoring services provided to meet these needs (e.g., individual, small group, peer, professional. Structured review classes, and the use of computerized services)
  - b.** Tutor recruitment and selection process including qualifications
  - c.** Tutor orientation and training
- 4.** Coordination and monitoring of tutoring services, including:
  - a.** Evaluation process used to determine tutoring effectiveness
  - b.** Description of other tutoring services available on campus and the coordinating mechanisms in place
- 5.** Description of academic year remedial courses to be offered, including:
  - a.** Titles for all remedial courses to be offered

- b. Student diagnostic testing, placement, and scheduling for such courses
- 6. Procedures used to appoint and evaluate instructors, including:
  - a. faculty recruitment and selection process
  - b. faculty training and orientation programs
  - c. planned system for coordination and supervision of faculty
  - d. Communication vehicles established between HEOP staff and course instructors working with the same students.
- 7. Other academic support activities available on campus and how they are used by HEOP students, including coordination between HEOP and the campus learning skills center, if one exists.

**J. Student Financial Aid:** (5 page max) 24 points

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

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

**K. Probation and Termination Policies and Procedures:** (3 page max) 4 points

Describe probation and termination policies in place for regularly admitted and HEOP students and their relationships to the SED-approved standard of academic progress chart. Including but not limited to:

1. HEOP staff's role in probation/dismissal decisions for HEOP students
2. Dismissal policies with student appeal provisions
3. Exit counseling provided to HEOP students

## II. Budget and Budget Narrative

### **(Budget Narrative, 10 pages) 25 points**

- A. All applicants must submit:
1. Complete the FS-10 budget form (not counted in the page total) for the first year of the program, which clearly identifies costs associated with the major program activities described in the narrative.
  2. The HEOP B-1 form is required to identify the amount of requested HEOP funds, institutional funds, and other funds being used in each of the three major allowable cost categories of Academic Support Services, Tuition Assistance, and Supplemental Financial Assistance. These amounts will be identified to determine the proportion of funds used for each area for the total HEOP student FTE.
    - a. The institutional match portion of the worksheet provides the applicant with the ability to record the categories of expenditures used in the calculation of the required institutional match.
    - b. In requesting HEOP funds, both the current and the start-up program applicants must base the FTE number in their budget request at the number of students enrolled in the first year of the funding cycle. Start-up programs must include in the HEOP B-1 the projected FTEs for years 2-5, as these FTEs will be used to calculate budget awards for years 2-5. The number of FTEs expected each year for current programs should remain the same. For start-up programs, FTEs may steadily increase, as additional students enroll each year, until FTEs level off in the fourth year of funding.
  3. Complete Budget Narrative that provides an explanation of the items, expenses, and calculation of cost for each item included in the FS-10. Including:
    - a. Describe the staffing and organizational plan that has been developed to support the HEOP.
      - i. Description and justification of the staffing for the overall management of the HEOP



## Appendix 5: Proposal Cover Page

**Proposal Cover Page**  
**ARTHUR O. EVE HIGHER EDUCATION OPPORTUNITY PROGRAM**  
**FISCAL YEARS 2014-2015 through 2018-2019**

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

Regents Higher Education Region \_\_\_\_\_

Address \_\_\_\_\_

\_\_\_\_\_

Name of Program Director \_\_\_\_\_

Telephone \_\_\_\_\_ E-mail Address \_\_\_\_\_

Person Submitting Proposal (name/title) \_\_\_\_\_

Telephone \_\_\_\_\_ E-mail Address \_\_\_\_\_

Requested Total HEOP Students in First Academic Year Program: FTE \_\_\_\_\_

Requested HEOP Students in first year Summer Camp: FTE \_\_\_\_\_

HEOP Starting Date: \_\_\_\_\_

Signature of Institution Chief Administrator (or designee) \_\_\_\_\_

Title \_\_\_\_\_

*The signature of the President or authorized contracting officer serves as certification that the institution agrees, if funded, to operate HEOP within the letter and spirit of all appurtenant legislation and rules (including the HEOP Guidelines for the Submission of Proposals); that the State funds requested will be used for a new, continued or expanded program for students who are academically and economically disadvantaged; that the students benefiting from the funds are New York State residents who have attained a high school diploma or a New York State general equivalency certificate or the equivalent; and that contract monies will not be used to supplant or duplicate funds allocated by the institution or an outside source for the support of the program. I further certify that the information contained in this application is, to the best of my knowledge, complete and accurate and any ensuing program and activity will be conducted in accordance with all applicable application guidelines and instructions, and that the requested budget amounts are necessary for the implementation of this program. I understand that this application constitutes an offer and, if accepted by the NYSED or renegotiated to acceptance, will form a binding agreement. I also agree that immediate written notice will be provided to NYSED if at any time I learn that this certification was erroneous when submitted, or has become erroneous by reason of changed circumstances.*

## Appendix 6: HEOP Budget Forms

[FS-10 in Excel](#)

[HEOP Form B-1](#)

# Appendix 7: Evaluation Rubric

Arthur O. Eve  
Higher Education Opportunity Program  
2014-15 through 2018-2019 Funding Application

## EVALUATION RUBRIC

Applicant Institution: \_\_\_\_\_

Reviewer: \_\_\_\_\_

(Please Print)

Score: Part 1 \_\_\_\_\_ Part 2 \_\_\_\_\_ Part 3 \_\_\_\_\_ Total \_\_\_\_\_

### Evaluation Process:

1. All reviewers must review applications independently.
2. All applications and scores are confidential.
3. Reviewer comments are required to support the score given in each section.
4. Completed reviews must be submitted to Office of K-16 Initiatives and Access Programs.
5. Fiscal Viability Scores (Part 3) and total scores for all for-profit applicants will be determined by the SED Contract Administration Unit. Therefore, program reviewers must stop their review of for-profit applications at Part 2.

### Performance Standards:

**Excellent:** Specific and comprehensive. Complete, detailed, and clearly articulated information as to how the criteria are met. Proposal presents well-conceived and thoroughly developed ideas.

**Good:** General, but sufficient detail. Adequate information as to how the criteria are met, but some areas are not fully explained and/or questions remain. There are some minor inconsistencies and weaknesses.

**Fair:** Sketchy and non-specific. Criteria appear to be minimally met, but limited information is provided about approach and strategies. Lacks focus and detail.

**Poor:** Does not appear to meet the criteria, fails to provide information, provides inaccurate information, or provides information that requires substantial clarification as to how the criteria are met; or, simply restate the criteria.

**Not Found:** Item is not found in the proposal.

|  |  |   |                                      |  |                                     |
|--|--|---|--------------------------------------|--|-------------------------------------|
| <b><u>PART 1 HEOP Organization and Implementation:</u></b>                                 |  |   |                                      |  |                                     |
| <b><u>Executive Summary (2 points total)</u></b>   |  |   |                                      |  |                                     |
| This section summarizes the HEOP proposal's purpose, scope, outcomes and methodology used. |  |   |                                      |  |                                     |
| <b>Standard</b>  | <b><u>Excellent</u></b><br><b>2 Points</b> | <b><u>Good</u></b><br><b>1.5 Points</b> | <b><u>Fair</u></b><br><b>1 Point</b> | <b><u>Poor</u></b><br><b>.5 Points</b> | <b><u>Not Found</u></b><br><b>0</b> |
| <b>Instructions:</b> Enter Score   |  |   |                                      |  |                                     |
| <b>Comments:</b>   |  |   |                                      |  |                                     |

**Organizational Background (7 points total)**

- An overview and brief description of the organization
- Why your organization is qualified to be an HEOP institution (this includes a description of compliance with reporting requirements and student outcomes in the last HEOP cycle or similar programs)
- Brief history, accomplishments, qualifications, and experience in education opportunity programs and/or serving the needs of disadvantaged populations
- External Program Interrelationships
  - Provide a copy of the organizational chart of the institution and of the area of responsibility of the official to whom the HEOP Director reports.
  - List the campus-wide committees on which HEOP staff members serve.
  - Please reference the following and include as attachments:
    - A section on Key Personnel or HEOP Management
    - Job/Title Descriptions (do not include resumes).
- Internal Program Relationships
  - Describe the internal structure of the HEOP office. Include:
    - 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)
  - A HEOP organization chart for all program-related personnel

| Standard                         | <u>Excellent</u><br>7 Points | <u>Good</u><br>5 Points | <u>Fair</u><br>3 Points | <u>Poor</u><br>1 Point | <u>Not Found</u><br>0 |
|----------------------------------|------------------------------|-------------------------|-------------------------|------------------------|-----------------------|
| <b>Instructions:</b> Enter Score |                              |                         |                         |                        |                       |

**Comments:**



**Need (4 points total)**

**Description:** Identify the need both in the higher education community and institutionally explaining why the institution seeks to operate a HEOP and the students it is seeking to recruit

- Why does your institution want to be a part of HEOP
- Community description, poverty, education and other information that describes or relates to your target population and the objectives of your proposal
- Make sure the institutional needs relate to what the institution plans on doing and avoid circular reasoning

| <b>Standard</b>                  | <b><u>Excellent</u></b> | <b><u>Good</u></b> | <b><u>Fair</u></b> | <b><u>Poor</u></b> | <b><u>Not Found</u></b> |
|----------------------------------|-------------------------|--------------------|--------------------|--------------------|-------------------------|
|                                  | <b>4 Points</b>         | <b>3 Points</b>    | <b>2 Points</b>    | <b>1 Point</b>     | <b>0</b>                |
| <b>Instructions:</b> Enter Score |                         |                    |                    |                    |                         |
| <b><u>Comments:</u></b>          |                         |                    |                    |                    |                         |

**Goals (3 points), Objectives (3 points), and Methodology (3 points) = (9 points total)**

**Description:** Quantitative and qualitative projections of the results of offering HEOP by the institution

**Goals:** Should be in accordance with the goals and purposes for HEOP as established by SED which are:

- To enroll the most academically and economically disadvantaged HEOP eligible students in competitive programs of study. (2 page max)
- To provide the necessary training and supportive services that assist HEOP students in succeeding academically. (2 page max)
- To engage and retain HEOP students to graduation and assist them in pursuing postgraduate academic and/or employment opportunities. (2 page max)
- Follow goals with several measurable objectives (Specific, Measurable, Achievable, Relevant, and Time-Bound [SMART]) objectives that are directly related to achieving the goal.

**Objectives:** Should be clear, timed, and measurable.

- **Process** objectives: Describing the program objectives
- **Outcome** objectives: Describing what will occur (benefits to the general education community and HEOP students)

**Methodology:** How does your institution plan on achieving the stated goals and objectives? (2 page max)

| <b>Standard</b>                  | <b><u>Excellent</u></b> | <b><u>Good</u></b> | <b><u>Fair</u></b> | <b><u>Poor</u></b> | <b><u>Not Found</u></b> |
|----------------------------------|-------------------------|--------------------|--------------------|--------------------|-------------------------|
|                                  | <b>3 Points</b>         | <b>2 Points</b>    | <b>1 Points</b>    | <b>.5 Point</b>    | <b>0</b>                |
| Goals                            |                         |                    |                    |                    |                         |
| Objectives                       |                         |                    |                    |                    |                         |
| Methodology                      |                         |                    |                    |                    |                         |
| <b>Instructions:</b> Enter Score |                         |                    |                    |                    |                         |

**Comments:**

**Admissions (12 points total)**

Description: This section consists of an explanation of the Admissions process

**Population**

- Describe the size and characteristics of the pool of potential HEOP-eligible students from which the institution intends to draw applicants.
- For continuing programs only, indicate how many applications were received for HEOP admission, how many admissions offers were made, and how many students actually enrolled in 2013-2014.

**Selection Criteria**

- Provide a chart that shows the admissions criteria for regular-admit and HEOP student. If applicable, include:
  - High school average
  - Rank in class
  - SAT or other standardized tests
  - Any other quantifiable criteria used
- Provide a description of the qualitative criteria used for both groups of students.

**Admissions Process**

- Discuss the recruitment process by which HEOP admissions policies and procedures are described to prospective applicants.
- Provide an HEOP admissions timetable for 2014-2015 that includes:
  - Recruitment
  - Selection
  - Cut-off dates
- Describe the process used to select applicants for acceptance into HEOP .

| <b><u>Standard</u></b> | <b><u>Excellent</u></b> | <b><u>Good</u></b> | <b><u>Fair</u></b> | <b><u>Poor</u></b> | <b><u>Not Found</u></b> |
|------------------------|-------------------------|--------------------|--------------------|--------------------|-------------------------|
|                        | <b>4 Points</b>         | <b>3 Points</b>    | <b>2 Point</b>     | <b>1 Point</b>     | <b>0</b>                |

|                                     |  |  |  |  |  |
|-------------------------------------|--|--|--|--|--|
| Population                          |  |  |  |  |  |
| Selection Criteria                  |  |  |  |  |  |
| Admissions<br>Process               |  |  |  |  |  |
| <b>Instructions:</b><br>Enter Score |  |  |  |  |  |
| <b><u>Comments:</u></b>             |  |  |  |  |  |

| <b><u>HEOP Summer Camp (18 points total)</u></b>  |                         |                    |                    |                    |                         |
|---|-------------------------|--------------------|--------------------|--------------------|-------------------------|
| Discuss all summer activities designed to bridge the gap between students' skills and the skill demands of regular offerings on campus as well as their general readiness to enter the college community. |                         |                    |                    |                    |                         |
| <b><u>Standard</u></b>  | <b><u>Excellent</u></b> | <b><u>Good</u></b> | <b><u>Fair</u></b> | <b><u>Poor</u></b> | <b><u>Not Found</u></b> |
|   | <b>3 Points</b>         | <b>2 Points</b>    | <b>1 Point</b>     | <b>.5 Point</b>    | <b>0</b>                |
| Description of the selection process for first-time HEOP students participating in the HEOP Summer Camp   |                         |                    |                    |                    |                         |
| Description of the counseling and advisement services to first-time HEOP students   |                         |                    |                    |                    |                         |
| Types of counseling provided (e.g., personal, academic, financial, career, psychological)   |                         |                    |                    |                    |                         |
| Description of the tutoring services to first-time HEOP student   |                         |                    |                    |                    |                         |
| Description of the remedial/developmental coursework to be offered to first-time HEOP student   |                         |                    |                    |                    |                         |
| Other services provided for first-time HEOP students  |                         |                    |                    |                    |                         |
| <b>Instructions:</b> Enter Score  |                         |                    |                    |                    |                         |
| <b><u>Comments:</u></b>   |                         |                    |                    |                    |                         |

| <b><u>Academic Year Academic Support Services (20 points total)</u></b>  |                         |                    |                    |                    |                         |
|--|-------------------------|--------------------|--------------------|--------------------|-------------------------|
| Describe the academic year services that have been developed to support all levels of HEOP students in attaining academic success and graduation |                         |                    |                    |                    |                         |
| <b><u>Standard</u></b>   | <b><u>Excellent</u></b> | <b><u>Good</u></b> | <b><u>Fair</u></b> | <b><u>Poor</u></b> | <b><u>Not Found</u></b> |
|  | <b>4 Points</b>         | <b>3 Points</b>    | <b>2 Point</b>     | <b>1 Point</b>     | <b>0</b>                |
| Description of the counseling and advisement services to HEOP students   |                         |                    |                    |                    |                         |
| Types of counseling provided (e.g., personal, academic, financial, career, psychological)  |                         |                    |                    |                    |                         |
| Description of the tutoring services to HEOP student   |                         |                    |                    |                    |                         |
| Description of the remedial/developmental coursework to be offered to HEOP students  |                         |                    |                    |                    |                         |
| Other services provided for HEOP students  |                         |                    |                    |                    |                         |
| <b>Instructions:</b>   |                         |                    |                    |                    |                         |
| Enter Score  |                         |                    |                    |                    |                         |

|   |                        |                        |
|---|------------------------|------------------------|
| <b><u>Comments:</u></b>                 |                        |                        |
| <b>Total Part 1 Score</b>               |                        |                        |
| <b>Scoring Area</b>                     | <b>Possible Points</b> | <b>Proposal Points</b> |
| Executive Summary                       | 2                      |                        |
| Organizational Background               | 7                      |                        |
| Need                                    | 4                      |                        |
| Goals, Objectives, and Methodology      | 9                      |                        |
| Admissions                              | 12                     |                        |
| HEOP Summer Camp                        | 18                     |                        |
| Academic Year Academic Support Services | 20                     |                        |
| <b>Total Part 1 Score</b>               | <b>72</b>              |                        |

**PART 2 Financial Aid and Student Probation:**

**Student Financial Aid (24 points total)**

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

| <b><u>Standard</u></b>  | <b><u>Excellent</u></b> | <b><u>Good</u></b> | <b><u>Fair</u></b> | <b><u>Poor</u></b> | <b><u>Not Found</u></b> |
|---|-------------------------|--------------------|--------------------|--------------------|-------------------------|
|   | <b>3 Points</b>         | <b>2 Points</b>    | <b>1 Points</b>    | <b>.5 Point</b>    | <b>0</b>                |
| HEOP director's involvement in the development of financial aid policy and packaging procedures                               |                         |                    |                    |                    |                         |
| Federal and/or Institutional needs analysis system used   |                         |                    |                    |                    |                         |
| Institution's general policies regarding student financial aid and any special policies for HEOP students                     |                         |                    |                    |                    |                         |
| Self-help policy for HEOP Students (loan, work, and student and expected family contribution)                                 |                         |                    |                    |                    |                         |
| Institution policy for the allocation of discretionary funds (Federal SEOG, FWS and Perkins loans) and aid from other sources |                         |                    |                    |                    |                         |
| Institution policy regarding  |                         |                    |                    |                    |                         |

|   |  |  |  |  |  |
|---|--|--|--|--|--|
| the effects of outside grants and scholarships on the financial aid package of program students |  |  |  |  |  |
| Timetable with dates for issuing award letters to first-time & continuing HEOP students         |  |  |  |  |  |
| Disbursement procedures and timetable   |  |  |  |  |  |
| <b>Instructions:</b> Enter Score  |  |  |  |  |  |
| <b><u>Comments:</u></b>   |  |  |  |  |  |

**Probation and Termination Policies and Procedures (4 points total)**

Describe probation and termination policies in place for regularly admitted and HEOP students and their relationships to the SED-approved standard of academic progress chart

| <b><u>Standard</u></b>           | <b><u>Excellent</u></b> | <b><u>Good</u></b> | <b><u>Fair</u></b> | <b><u>Poor</u></b> | <b><u>Not Found</u></b> |
|----------------------------------|-------------------------|--------------------|--------------------|--------------------|-------------------------|
|                                  | <b>4 Points</b>         | <b>3 Points</b>    | <b>2 Points</b>    | <b>1 Point</b>     | <b>0</b>                |
| <b>Instructions:</b> Enter Score |                         |                    |                    |                    |                         |
| <b><u>Comments:</u></b>          |                         |                    |                    |                    |                         |

| <b>Total Part 2 Score (28 points)</b>              |                        |                        |
|--|------------------------|------------------------|
| <b>Scoring Area</b>                                | <b>Possible Points</b> | <b>Proposal Points</b> |
| Student Financial Aid                              | 24                     |                        |
| Separation and Termination Policies and Procedures | 4                      |                        |
| <b>Total Part 2 Score</b>                          | 28                     |                        |
| <b>Scoring Summary</b>                             |                        |                        |
| <b>Part 1</b>                                      |                        |                        |
| <b>Part 2</b>                                      |                        |                        |

**PART 3A: FISCAL VIABILITY 25 POINTS**  
**APPLIES TO NON-PROFIT INSTITUTIONS ONLY**  
**FROM THE FS-10, HEOP-B-1, AND BUDGET NARRATIVE**

**Academic Support Services Staffing (5 points total)**

Describe the staffing and organizational plan that has been developed to support the HEOP

| <b><u>Standard</u></b>   | <b><u>Excellent</u></b> | <b><u>Good</u></b> | <b><u>Fair</u></b> | <b><u>Poor</u></b> | <b><u>Not Found</u></b> |
|--|-------------------------|--------------------|--------------------|--------------------|-------------------------|
|  | <b>1 Point</b>          | <b>.75 Point</b>   | <b>.5 Point</b>    | <b>.25 Point</b>   | <b>0</b>                |
| Description and justification of the staffing for the overall management of the HEOP   |                         |                    |                    |                    |                         |
| Description and justification of the staffing for the counseling provided (e.g., personal, academic, financial, career, psychological) |                         |                    |                    |                    |                         |
| Description and justification of the staffing for the tutoring services  |                         |                    |                    |                    |                         |
| Description and justification of the staffing for remedial support offered to HEOP students  |                         |                    |                    |                    |                         |

|   |  |  |  |  |  |
|---|--|--|--|--|--|
| Description and justification of the staffing for other services provided for HEOP students |  |  |  |  |  |
| <b>Instructions:</b> Enter Score  |  |  |  |  |  |
| <b><u>Comments:</u></b>   |  |  |  |  |  |

**Academic Support Services – Academic Support Expenses (5 points total)**

Describe the specific items included as academic support expenses, including the justification of need and cost.

| <b><u>Standard</u></b>   | <b><u>Excellent</u></b><br><b>5 Points</b> | <b><u>Good</u></b><br><b>4 Points</b> | <b><u>Fair</u></b><br><b>2.5 Point</b> | <b><u>Poor</u></b><br><b>1 Point</b> | <b><u>Not Found</u></b><br><b>0</b> |
|--|--|---------------------------------------|--|--------------------------------------|-------------------------------------|
| Describe the specific items included as academic support expenses, including the justification of need and cost. |  |                                       |  |                                      |                                     |
| <b>Instructions:</b> Enter Score   |  |                                       |  |                                      |                                     |
| <b><u>Comments:</u></b>  |  |                                       |  |                                      |                                     |

**Supplemental Financial Assistance (5 points total)**

Describe the specific items included as Supplemental Financial Assistance, including the justification of the allow ability under sec. 152-1.5 of the Commissioner’s regulations, the student need, and cost calculation.

| <b><u>Standard</u></b>  | <b><u>Excellent</u></b> | <b><u>Good</u></b> | <b><u>Fair</u></b> | <b><u>Poor</u></b> | <b><u>Not Found</u></b> |
|---|-------------------------|--------------------|--------------------|--------------------|-------------------------|
|   | <b>5 Points</b>         | <b>4 Points</b>    | <b>2.5 Point</b>   | <b>1 Point</b>     | <b>0</b>                |
| Describe the specific items included as Supplemental Financial Assistance, including the justification of the allow ability under sec. 152-1.5 of the Commissioner’s regulations, the student need, and cost calculation. |                         |                    |                    |                    |                         |
| <b>Instructions:</b> Enter Score  |                         |                    |                    |                    |                         |

**Comments:**

**Tuition Assistance (5 points total)**

Describe the specific items included as Tuition Assistance, including the justification of the allow ability under Education Law sec. 6451, the student need, and cost calculation.

| <b><u>Standard</u></b>                             | <b><u>Excellent</u></b><br><b>2.5 Points</b> | <b><u>Good</u></b><br><b>2 Points</b> | <b><u>Fair</u></b><br><b>1.5 Point</b> | <b><u>Poor</u></b><br><b>1 Point</b> | <b><u>Not Found</u></b><br><b>0</b> |
|--|--|---------------------------------------|--|--------------------------------------|-------------------------------------|
| Description and justification for tuition and fees |  |                                       |  |                                      |                                     |
| Description and justification for remedial courses |  |                                       |  |                                      |                                     |
| <b>Instructions:</b> Enter Score                   |  |                                       |  |                                      |                                     |
| <b><u>Comments:</u></b>                            |  |                                       |  |                                      |                                     |

| <b><u>Institutional Match (5 points total)</u></b>   |                         |                    |                    |                    |                         |
|--|-------------------------|--------------------|--------------------|--------------------|-------------------------|
| Describe the specific items included as Institutional Match, including the justification and cost calculation, and how HEOP funds do not supplant other institutional efforts. |                         |                    |                    |                    |                         |
| <b><u>Standard</u></b>   | <b><u>Excellent</u></b> | <b><u>Good</u></b> | <b><u>Fair</u></b> | <b><u>Poor</u></b> | <b><u>Not Found</u></b> |
|  | <b>5 Points</b>         | <b>4 Points</b>    | <b>2.5 Point</b>   | <b>1 Point</b>     | <b>0</b>                |
| Describe the specific items included as Institutional Match, including the justification and cost calculation, and how HEOP funds do not supplant other institutional efforts. |                         |                    |                    |                    |                         |
| <b>Instructions:</b> Enter Score   |                         |                    |                    |                    |                         |
| <b><u>Comments:</u></b>  |                         |                    |                    |                    |                         |

**PART 3B: FISCAL VIABILITY 25 POINTS**

**APPLIES TO FOR-PROFIT INSTITUTIONS ONLY**

**Best Value Determination** (as calculated using the information submitted via the HEOP B-1)

**Lowest HEOP Tuition Assistance per Academic Year FTE (10 Points total)**

Check one:

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

**Lowest HEOP Academic Support Services per Academic Year FTE (10 Points total)**

Check one:

|  |                   |           |
|--|-------------------|-----------|
|  | \$1,900 and under | 10 points |
|  | \$1,901 – 2,200   | 8 points  |
|  | \$2,201 – 2,500   | 6 points  |
|  | \$2,501 – 2,799   | 4 points  |
|  | Above \$2,800     | 0 points  |

**Lowest HEOP Supplemental Financial Assistance per Academic Year FTE (5 points total)**

Check one:

|  |                   |          |
|--|-------------------|----------|
|  | \$1,900 and under | 5 points |
|  | \$1,901 – 2,200   | 4 points |
|  | \$2,201 – 2,500   | 3 points |

|  |                        |              |
|--|------------------------|--------------|
|  | \$2,501 – 2,799        | 2 points     |
|  | Above \$2,800          | 0 points     |
| <b>PART 3 FISCAL VIABILITY NON-PROFIT INSTITUTIONS [25]</b>  | <b>Possible Points</b> | <b>Score</b> |
| Academic Support Services Staffing                           | 5                      |              |
| Academic Support Services – Academic Support Expenses        | 5                      |              |
| Supplemental Financial Assistance                            | 5                      |              |
| Tuition Assistance   | 5                      |              |
| Institutional Match  | 5                      |              |
| <b>Total Part 3 Fiscal Viability NON-PROFIT INSTITUTIONS</b> | <b>25</b>              | <b>_____</b> |
| <b>PART 3 FISCAL VIABILITY FOR PROFIT INSTITUTIONS [25]</b>  | <b>Possible Points</b> | <b>Score</b> |
| Best Value Tuition Assistance                                | 10                     |              |
| Best Value Academic Support Services                         | 10                     |              |
| Best Value Supplemental Financial Assistance per Student     | 5                      |              |
| <b>Total Part 3 Fiscal Viability FOR-PROFIT INSTITUTIONS</b> | <b>25</b>              | <b>_____</b> |
| <b>Total Part 3 Fiscal Viability</b>                         | <b>25</b>              |              |

|                          |            |  |
|--------------------------|------------|--|
| <b>GRAND TOTAL</b>       |            |  |
| <b>PART 1</b>            | <b>72</b>  |  |
| <b>PART 2</b>            | <b>28</b>  |  |
| <b>PART 3</b>            | <b>25</b>  |  |
| <b>GRAND TOTAL SCORE</b> | <b>125</b> |  |