

Prequalification Process

Prequalification for all not for profit organizations must be completed by the due date of the grant application. The prequalification process may take up to a few weeks to complete, so interested organizations are encouraged to begin this process immediately upon RFP announcement. The process is described in the RFP. If you have any questions about prequalification registration, please go to the Grants Reform website (<http://www.grantsreform.ny.gov/Grantees>). If you intend to submit an application and have a question about your institution's status, contact NYSED at prequal@mail.nysed.gov.

Revision to the RFP as presented

Please note, the following changes have been made to the RFP:

Change #1 –The required minimum institutional match has been decreased from 50% to 15%.

Change #2 – The requirement for a full-time HEOP director has been modified to require a HEOP Director, however less than full-time would be permissible.

Clarification of an issue of General Interest to all HEOP Applicants

Q: Does the 15% variation of a one-time fluctuation in household income still exist? The previous guidelines state evidence of the previous calendar years income showing a student would be eligible based on that year's guidelines is sufficient.

A: Yes. A maximum of 15 percent of the students admitted to a HEOP program by an institution may come from households whose income exceeds the household scale listed in the applicable table in paragraph (1) of NEW YORK TITLE 8. EDUCATION DEPARTMENT CHAPTER I. RULES OF THE BOARD OF REGENTS PART 27. HIGHER EDUCATION OPPORTUNITY PROGRAMS SUBPART 27-1. NONPUBLIC INSTITUTIONS

Section 27-1.1. subdivision, provided that such institution has established to the satisfaction of the commissioner that unusual and extenuating circumstances as defined in this paragraph, exist for each such student. Prior to admitting any such student, the institution shall submit to the commissioner such documentation of unusual and extenuating circumstances as the commissioner may require. Such documentation shall be kept on file by the institution at which such students were enrolled, and shall be corroborated by a disinterested, reliable party. For purposes of this paragraph, unusual and extenuating circumstances shall be limited to the following:

- i. serious mismanagement of the household income with little accruing to the interest of the student; or
- ii. a one-time fluctuation in household income where there is a history of low income. Satisfactory evidence that a household's income in the calendar year prior to the calendar year used for determining the student's economic eligibility fell within the limits of the applicable household income scale shall be sufficient to establish the existence of a one-time fluctuation in household income, provided that there is satisfactory proof of a history of low income; or

- iii. households with substantial long-term no reimbursed medical obligations; or
- iv. families which must maintain two households in order to maintain employment, one for a wage earner and one for dependents.

RFP Questions and Answers:

	<u>Programmatic/Administrative</u>	<u>Answers for Programmatic/Administrative</u>
1	on page 33 "Double Counting" from more than one outside source... What does this mean? We have students in the CStep program and some are also counted in the SSS program. Please clear this up. In the past CStep can have no more than 15 present of the CStep roster as HEOP students... Is SSS an outside source and therefore counted...	The state cannot pay for the same services twice for the same students.
2	Is SED going to support MERS in the coming proposal years?	SED has currently made no determination on whether there will be continuing support for MERS. See Section IV.G.1 & 5 (p.12) of the 2014-19 RFP. NYSED will provide information and guidance to institutions as soon as possible, prior to and during any transition back to MERS or to a new system.
3	What is considered "closely" coordinated with the academic affairs at the institution? We are currently coordinated under the Student Affairs umbrella at our institution who then reports to Provost who oversees both student and academic affairs. Would this be considered "closely" coordinated?	While it is appropriate for HEOP to be housed under student affairs, it is important to note that HEOP is an <u>academic</u> opportunity program. Thus, it is the expectation that programs whether housed in academic or student affairs work in conjunction with academic affairs within the institution to provide academic supportive services to students enrolled in HEOP. See RFP Section IV.A (p.7).
4	Could you define more clearly and possibly provide some examples of who would be considered a high ranking academic officer of an institution? Provost? VP's?	A high ranking academic officer is one who directly reports to the institution's chief executive officer and/or governing board or boards. They are considered a senior level administrator and may be housed in either academic and/or student affairs. They usually hold titles such as Provost, Assoc./Asst Provost, Vice President, Assoc./Assist. Vice President, Dean, and/or Assoc. Dean. See RFP IV. A.3.b.ii (p. 7).

5	Who would be considered a Principal Investigator of the grant contract? I would assume the HEOP Director who is writing, managing and submitting the grant to be the PI – but HEOP funds are not to be used for the PI’s salary?	There is no requirement or suggestion that an institution has a Principal Investigator, however this practice may be common to particular institutions for internal reasons. There may be an occasion where a PI or other institution official may serve as the supervisor of the HEOP director. This individual whether termed a PI or another role may not receive a stipend or other financial consideration from the HEOP funds for this activity. If the institution uses a PI that is not the HEOP director, they cannot be paid from HEOP funds. See RFP Section X.A.2.f.
6	What would be the possibility of extending the RFP for a period of a year to address the following: the opportunity to build a case and petition for organizational change from student affairs to academic affairs, and ample time to develop responses to staffing and budget changes i.e. no NYSED support for clerical staff and professional development and recruitment travel?	No, while we do understand the concerns, we are unable to extend any deadlines. Please see pages iv & v in the RFP for important dates.
7	Can we use institution funds for administrative assistant salary?	Yes, institutions may use <u>institutional funds</u> for clerical/administrative support. Please note HEOP funds must not be used for purposes other than defined in Education Law Section 6451(3) & Commissioner's Rules & Regulations Section 152-1.5 and Section 1.8.
8	Will Programs be penalized if they exceed the recommended staffing guidelines in the RFP?	No, while we do strongly suggest that institutions adhere to the staffing guidelines found in Appendix 3 (page 26), please recognize that they are recommendations. The institution must use its professional judgment regarding the staffing necessary to implement the program activities of HEOP, as staffing structure will be evaluated during the application review. In addition, please see Change #2 indicated above.
9	Due to this open competition is it possible that continuing programs could get less funding per FTE than it got last year?	Yes, as per the RFP, "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." See RFP Section XIII.D.
10	Can you be more specific on the expectations regarding the qualitative & quantitative assessments?	The institution should develop an evaluation process which quantitatively measures not only the academic progress of the individual student, the HEOP student cohort in comparison to regular admit students, and the efficient use of institutional and HEOP resources, but also address the qualitative issues such as integration of the HEOP student

		<p>into the campus community, and contributions to the academic and cultural life of the institution. Further definition of the terms is included below.</p> <p>Quantitative Assessment collects data that can be analyzed using quantitative methods. Includes methods that rely on numerical scores or ratings. A quantitative measurement uses values from an instrument based on a standardized system that intentionally limits data collection to a selected or predetermined set of possible responses. Quantitative assessment approaches work by the numbers, collecting, analyzing, interpreting, and charting results, trends, and norms. (What was achieved and how much)</p> <p>Qualitative Assessment Collects data that does not lend itself to quantitative methods but rather to interpretive criteria. Includes methods that rely on descriptions rather than numbers. Qualitative measurement is more concerned with detailed descriptions of situations or performance; therefore it can be much more subjective but can also be much more valuable in the hands of an experienced educator. (What was achieved and how it was achieved)</p>
11	<p>Why is the concept of camp used when referring to the HEOP Summer Program? How will this keep the academic credibility for participants and institutions?</p>	<p>It is expected that each institution treat the summer program with high integrity. HEOP Summer Camps must be developmental and remedial <u>academic</u> programs. The institution of higher education can refer to the HEOP Summer Camp under whatever branding or title that fits the institution's mission and vision. Proper attribution of HEOP is required. See RFP section XII.</p>
12	<p>Why are For-Profit institutions funded in this cycle?</p>	<p>For-profit institutions have always been allowed. The statute indicates that eligible institutions are non-public institutions of higher education in New York State which includes both not-for-profit and for-profit colleges and universities.</p>

13	In the previous cycle the maximum HEOP award towards tuition was \$660, can clarity be given on the maximum for the next cycle?	An institution may apply for and award tuition assistance for students enrolled in higher education opportunity programs under the provisions of section 6451 of the Education Law. Such funds shall 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. See Commissioner's Rules & Regulations Section 152-1.8 & New York State Education Law Section 6451.
14	Due to changing institutional academic calendars can summer programs begin any time before July 1?	You cannot use HEOP funds for services carried out prior to year one of the RFP cycle. Each HEOP budget year begins on July 1 and ends on June 30. Only activities during those time periods may be included in the HEOP budget for that budget year.
15	Will reviewers of proposal be current and/or previous professionals in opportunity programs?	No, reviewers will be SED staff only. It is of the upmost importance of SED to have a review process that maintains the integrity of HEOP. As such, SED has taken strict measures to ensure that proposal reviewers are well versed in opportunity programs and are trained on the content of the 2014-19 RFP.
16	With respect to out of state transfer applicants, what is the acceptable or preferred proof of eligibility from the previous institution?	<p>Out-of-state transfers must meet the NYS Residency requirements, per Section 152-1.6 of the commissioner's regulations prior to enrollment in HEOP. Any transfer student needs to be an "Opportunity Type" Transfer. This means that institutions may accept a student as a transfer student coming from a college/university that does not have an Opportunity Program (in-state or out-of-state) if all of the following can be substantiated:</p> <ol style="list-style-type: none"> 1) Student was accepted to the college with special conditions and evidenced academic need- i.e. Admission letter restricted student to certain amount of credits, student enrolled in remedial courses(1st semester)(evidence from transcript), multiple failed courses and/or GPA< 1.5 etc. 2) Student's High School Transcript evidence academic disadvantaged based on institution's admission's criteria 3) The Student's household income from the year prior to the student beginning college met the income guidelines for that year. <p>If all the above can be substantiated the student can then be deemed an "opportunity type" transfer. All the semesters the student studied at the previous institution would be counted as eligibility used. These types of acceptances are not automatic and are done on a case by case basis.</p>

17	Are students who fall under the federal Dream Act HEOP eligible?	HEOP is not affiliated with any federal program. HEOP as a New York State program has specific eligibility for students. Please see RFP Section IX.
18	When the RFP requires a "copy" of a chart (i.e. organizational chart, chart showing admissions criteria, etc.) will those count in the max page allowance?	No, proposals are to be formatted exactly as outlined in Appendix 4 of the RFP. Attachments must clearly be labeled as attachments and will not count toward page maximums. Any additional documentation that is outside of the prescribed page limitations defined in Appendix 4 will not be reviewed.
19	Is it acceptable to refer to "Summer Camp" as Summer Program, as it has always been called that and gives it the respect it deserves?	The institution of higher education can refer to the HEOP Summer Camp under whatever branding or title that fits the institution's mission and vision. Proper attribution of HEOP is required. See RFP section XII and question #11.
20	Funding for HEOP is made possible through annual budget appropriations at the State level. If sufficient HEOP funding is not procured for a given year, is the participating institution still obligated to their original match amount regardless of the State's ability/inability to secure HEOP appropriations?	Please see Change #1 to the RFP identified above. The required minimum institutional match has been lowered from 50% to 15%. If an institution's funding level were to change in future years, the required match would remain the same—a minimum of 15% institutional match of the new funding amount would be required.
21	The following verbiage, "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)" leads us to believe that this would be the case. Or, does the match amount flex each year in accordance with the amount of funding available for HEOP and awarded to the participating institution	The institution is required to meet the academic and financial aid needs of all HEOP students. However, please see Change #1 to the RFP identified above. The required minimum institutional match is now 15%. See question #20.
22	Under Organizational Background, how is #4c different than #5c? Both want Key Personnel and Job Descriptions, please clarify what specifically to include in each section separately.	4c. Requires a description of job titles (narrative). 5c. Asks for an organizational chart showing the relationships between each job title (illustration).
23	Do we need to answer the items in exactly the same sequence as they appear on the RFP or can the structure be altered on the proposal?	Applications should follow the exact same sequence found in Appendix 4. See question #18.

24	Will reports be processed in a timelier manner to ensure more timely payments?	Yes. The change to the FS-10 budget process will improve the timeliness of the review and payment processes providing that budget and program information is submitted complete and on-time as required by the contract. See RFP IV.G.
25	3. On page five (II. Essential Information, #5) of the proposal guidelines, it states "awards in subsequent years will be subject to the availability of funds and satisfactory performance of the grantee in previous academic years." Does this mean that an institution can lose their funding for not terminating students that are failing to progress?	If we understand the question correctly, the institution must follow its stated institutional procedures for ensuring that students meet the academic standards for pursuit of progress and graduation. The institution will have funds for a single budget year reduced if their HEOP student FTE is not at least 95% of their contracted number on October 15. The institution will not be punished for exercising its academic responsibilities regarding student performance, however academic tutoring and support services, and the recruitment and retention of HEOP students is also an institutional function. Academic dismissal for student in HEOP must be consistent with the institutional policies and procedures covered for all students.
26	<p>In the new RFP under IV. Program Requirements, A. 3. b. 1. ii. (page) it now states under Program Integration:"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."and under X. Program Funding, A. 3. b. ii. (page 32) it now states under Institutional Obligation:"The HEOP director must be a part of or report to a member of the institution's senior level staff."-----</p> <p>-----Both changes replace D. 1. Program Integration (pg.8) in the 2009-2014 RFP"HEOP is an academic support program and the program director is normally expected to report to a high-rankingacademic officer of the institution. If such is not the case, the institution must clearly demonstrate that the program is closely coordinated with the academic practices, policies, and personnel of the institution."Based on the latter statement, will a previously approved explanation (to be included in the new submission of the RFP) be acceptable?</p>	All institutions must adhere to the guidelines as outlined in the RFP (please note the two changes to the RFP listed above). Therefore, HEOP directors must report to a high ranking academic officer in their institution as outlined in questions #3 & 4.

27	<p>Sections C - Organizational Background - Please clarify who should be included in the attachment section of Key Personnel / HEOP Management. What is the key information that should be included in the job/title descriptions for these individuals?</p>	<p>Individual institutions must make the determination of who is considered to be key personnel and HEOP management as well as provide detailed job/title descriptions. See RFP Appendix 3 & 4.</p>
28	<p>Section D - Need - Please clarify what should be specified in the community description, poverty, education and other information that describes or relates to the target population and the objectives of the proposal. How is this different than what is required in the Admissions section?</p>	<p>This section should explain why the institution is seeking to operate HEOP at their campus. Included should be a description of the community in which the institution are selecting student from HEOP and why the community and the institution will benefit from HEOP. See RFP Appendix 4.</p>
29	<p>Does the 15% variation of a one-time fluctuation in household income still exist? The previous guidelines state evidence of the previous calendar years income showing a student would be eligible based on that year's guidelines is sufficient.</p>	<p>Yes. A maximum of 15 percent of the students admitted to a HEOP program by an institution may come from households whose income exceeds the household scale listed in the applicable table in paragraph (1) of NEW YORK TITLE 8. EDUCATION DEPARTMENT CHAPTER I. RULES OF THE BOARD OF REGENTS PART 27. HIGHER EDUCATION OPPORTUNITY PROGRAMS SUBPART 27-1. NONPUBLIC INSTITUTIONS Section 27-1.1. subdivision, provided that such institution has established to the satisfaction of the commissioner that unusual and extenuating circumstances as defined in this paragraph, exist for each such student. Prior to admitting any such student, the institution shall submit to the commissioner such documentation of unusual and extenuating circumstances as the commissioner may require. Such documentation shall be kept on file by the institution at which such students were enrolled, and shall be corroborated by a disinterested, reliable party. For purposes of this paragraph, unusual and extenuating circumstances shall be limited to the following: i. serious mismanagement of the household income with little accruing to the interest of the student; or ii. a one-time fluctuation in household income where there is a history of low income. Satisfactory evidence that a household's income in the calendar year prior to the calendar year used for determining the student's economic eligibility fell within the limits of the applicable household income scale shall be sufficient to establish the existence of a one-time fluctuation in household income, provided that there is satisfactory proof of a history of low income; or iii. households with substantial long-term no reimbursed medical obligations; or iv. families which must maintain two households in order to maintain employment, one for a wage earner and one for dependents.</p>

30	Can HEOP funds be delegated for HEOP Staff? Under #3, I presume they can be as long as staff is providing tutoring, counseling, and guidance for program students.	Yes, if HEOP staff is providing the services outlined in section III.A of the RFP and in Education Law Section 6451(3) & Commissioner's Rules & Regulations Section 152-1.5 and Section 1.8. Please also see question #7.
31	Can the HEOP Director report to the Director of Educational Resources/Library Services?	No, see questions #26 & #4.
32	When will the Commissioner's Regulations be updated? They are not current with the changes in economy, student make-up, academic challenges, and educational goals of New York State.	A review of the regulations is underway.
33	In looking at the regional ranking system, will SED take into consideration the various profiles of institutions when giving out funding (e.g., Residential vs. Commuter, Admissions Profiles, etc.)?	No, see RFP Section XIII for a description of the proposal rating process and method of award.
34	Please explain the rationale for the reduction in the self-help policy (the commuter was reduced from \$6,000 to \$5,000 and residential from \$7,000 to \$6,250). Are the loan limits different for dependent vs. independent students in regards to the max loan amounts?	To allow first year students to not be overburdened with loans and self-help. No, the max loan limits are not different for dependent vs. independent students. See RFP Appendix 2.
35	Why was the terminology changed from the pre-freshmen summer program to summer camp? Do we need to refer to it as summer camp in our proposal?	The institution of higher education can refer to the HEOP Summer Camp under whatever branding or title that fits the institution's mission and vision. Proper attribution of HEOP is required. See RFP section XII and question #11 and question #19.
36	Many institutions have changed over to an electronic system in regards to award letters, admissions notifications, etc. Does electronic receipt of these documents satisfy the requirement stated in the RFP "that awards need to be mailed to students" (p. 45)?	Yes, as long as the institutions can provide proof of receipt.
37	Why was the tuition max award of \$725 removed from the Guidelines?	To provide additional flexibility to the institutions.
38	In outlining our yearly goals, activities and objectives can we use the chart that was used in the past proposal?	Institutions must provide information that is relevant to the <u>current</u> RFP. See question #18.
39	Is it recommended to request the maximum award amount possible for each applicant institution of \$5,600 per FTE?	Individual institutions must make the determination on how much funding per FTE would adequately serve the student enrolled in HEOP at their campus. See RFP XIII.D.
40	Will existing programs receive prior experience points?	No, all institutions will be reviewed on a competitive basis. See RFP XIII.
41	Can SED funds be used for travel for HEOP staff members, for educational opportunities as specified in the Guidelines?	No. Please note HEOP funds must not be used for purposes other than defined in Education Law Section 6451 & Commissioner's Rules & Regulations Section 152-1.5 and

		Section 152-1.8. HEOP funds may not be used for this purpose except as specifically identified for students. It is expected that institutional funds will be available in this category for trips made by HEOP staff, including for education opportunities, such as conferences, trainings, workshops, and recruiting students. Activities sponsored or co-sponsored by HEOP-SED for purposes of staff training should receive first priority in this category. Please see RFP section X.A.2.b.
42	Can large program with multiple offerings (e.g., majors, variety of support services) submit more than 35 pages for the proposal?	No. See question #18.
43	The webinar indicated an anticipated notification of awards by May 30, 2014 while the RFP stated a date of June 15, 2014. Which date is accurate?	We anticipate the notification of awards should be between May 30th - June 15th.
44	Section IV, E, 1: Program Requirements, Final Report – “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) (p. 8).” Is there a standard method of assessment that SED would like programs to use?	The institution should develop an evaluation process which quantitatively measures not only the academic progress of the individual student, the HEOP student cohort in comparison to regular admit students, and the efficient use of institutional and HEOP resources, but also address the qualitative issues such as integration of the HEOP student into the campus community, and contributions to the academic and cultural life of the institution. SED has not proscribed what should be collected for the institutional internal evaluation. Reports due to SED will be prescribed and institutions will be provided with the required data elements and data definitions.
45	Section IV, G, 4b: Timetable for Submission of Program Reports – “The HEOP student FTE reported on the report due October 15th will be used to ensure that the institution has met their budgeted HEOP student FTE (p.11).” What about spring transfer students that are added to the roster after the October report is submitted?	Transfer students that are added to the roster after the October report will be counted as part of the October report for the following year.
46	Section IX, E, 1a: Selection Criteria for Transfer Students - What is the definition of a transfer student?	Please see the answer to question #16 for further exploration of this issue. Students transferring from other institutions of higher education. The transfer student may come from institutions having opportunity programs funded under Section 6451 or 6452 (HEOP, EOP, SEEK, College Discovery) of the New York State Education Law, or may be an opportunity type student meeting specific criteria. See RFP section IX.E.

47	<p>Section IX, E, 1b: Selection Criteria for Transfer Students - "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 (p. 25)." Can you clarify the end of this statement? Does a transfer student need to earn at least 15 credits at their previous institution before they can be accepted to another opportunity program or does the institution they are applying to need to accept a minimum of 15 transfer credits for the program to which they are applying?</p>	See question # 46.
48	<p>Section IX, E, 2: Selection Criteria for Transfer Students – This section contains the header College Courses While in High School. Does this belong here or under Academic Eligibility for First-Time HEOP Students? If this belongs under the transfer section, is the responsibility of accepting students previous postsecondary coursework the responsibility of the institution of the student's acceptance, not the transfer institution? (p. 25)</p>	<p>There is a possibility given expansion of Early College High School programs that a student who is either a transfer or first time HEOP applicant may have been enrolled in a course(s) identified in one of these programs. The receiving institution of the first-time student and/or transfer student needs to verify the acceptability of the coursework.</p>
49	<p>Section X, A, 1a: Program Funding – The category of "contractual services" seems to be eliminated from the new RFP. Can funding be used in the academic support services line to contract for items such as evaluations, food service for events such as award banquets and Summer Program luncheons, and other programs approved by SED?</p>	<p>The FS-10 fiscal process does not have a "contractual services" category, but has a "purchased services category." Yes, HEOP funds can be used for those costs related to evaluation under the academic support services general category if explained and justified. Those costs would be recorded appropriately on the FS-10 and explained in the budget narrative. However, HEOP funds cannot be used for food service, events such as awards or banquets, or summer program luncheons. HEOP funds must not be used for purposes other than defined in Education Law Section 6451 & Commissioner's Rules & Regulations Section 152-1.5. See question #7.</p>
50	<p>Appendix 4: Proposal Guidelines, H1: Summer Program – "The number of all first-time HEOP students participating in the HEOP Summer Camp and a description of the student selection process" (p. 50). In regards to the student selection process for the summer camp, can you please elaborate on this area? The students are selected based on the admissions selection criteria.</p>	<p>Yes, students attending the summer camp should be newly admitted in the fall and must be academically & economically supported.</p>
51	<p>Section C: Organizational Background: "A brief history, accomplishments, qualifications, and experience in education opportunity programs and/or serving the needs of disadvantaged populations." Would you like programs to speak on the individual HEOP officers' history or the college's</p>	<p>Individual institutions must make the determination on the best way to provide detailed information regarding the organizational background. See RFP Appendix 4.</p>

	in general? Please advise.	
52	HEOP Student Funding Eligibility, 1 “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 (p. 26).” Can you provide an example of a HEOP student not directly receiving HEOP funds?	Some students may be provided academic support services, supplemental financial assistance, or tuition assistance from institutional funds. The use of HEOP funds vs. institutional funds for those services provided to students and identified as eligible for the use of HEOP funds is an institutional decision.
53	Program Funding, A, 1, d, 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 pp. 30.” Does this mean that the money for books and supplies is \$250.00 each year or \$125.00 each AY semester?	Institutional can allocate the \$250.00 as a lump sum or divide the funds and allocate them in each semester. This is an institutional decision. Please see Commissioner’s Regulations Sec 152-1.5 and note that there are specific items that fall under supplemental financial assistance, including text books and instructional materials, which can be considered separate from the \$250 limit for personal expenses.
54	Program Funding, A, 2, B, I: 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. 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. 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 (p. 31).” If a bus is chartered for a student trip using HEOP funds, does the staff on this trip have to pay their part of the charter with institutional funds?	Institutional funds must be used for staff travel. HEOP funds must not be used for purposes other than defined in Education Law Section 6451 & Commissioner's Rules & Regulations Section 152-1.5. See question #41. Regarding student travel, Commissioner’s Regulations 152-1.5 identify the type of student travel that is allowable as part of the supplemental financial assistance. Any other student travel would have to be identified on the FS-10 and explained specifically in the budget narrative regarding its role as an academic support service under Education law Sec. 6451 (3).
55	Program Funding, A.1.b. Remedial, Developmental, Compensatory, and Summer Courses: What is the rationale for changes announced in iii and iv that deprive our summer programs of academic integrity? Why is it that the University cannot pay the tuition and list it as an institutional contribution?	HEOP funds can be used for remedial, developmental, compensatory, and summer courses. However, institutional funds can also be used. This is an institutional decision.
56	Does each expense category have to be a 50% match or the overall budget request?	Please see Change #1 to the RFP identified above. The minimum required institutional match has decreased to 15%. The match percentage applies to the overall budget request, not to each expense category.

57	Is there a limit on the number of attachments? Do we need to submit letters of support?	No, there are no limits on attachments. No, institutions do not need to send letters of support unless they feel the letters provide specific information that is requested in the proposal narrative guidelines (Appendix 4). See question #18.
58	Page 32, section c.ii. states "Institutional accounts must be structured to reflect this [minimum 50% match] contribution by appropriate line item." Please confirm that the 50% Institutional match is a bottom line figure for each of these three categories or for the total of all three categories? a. Academic Supportive Services b. Supplemental Financial Aid. Tuition	Please see Material Change #1 to the RFP identified above. The required minimum institutional match has been decreased to 15%. The 15% match requirement applies to the total grant request, not to each of the three categories.
59	Given the new restriction that "Clerical/Administrative assistance shall not be paid using HEOP funds," (p. 46) are we allowed to pay for clerical/administrative assistance using a portion of our Institutional match? Is this stated in the guidelines?	Yes, see question #7.
60	Does the 15% variation for economic eligibility due to the categories listed under the previous RFP apply to the new RFP, or is SED no longer honoring the 15% variance?	See question #29.
61	Does the Institute's maintenance of effort carry over from the previous RFP year (2013-14) which ends June 30, 2014, OR does the new RFP budget establish the new level of Institute match which will need to be met in the next 4 subsequent years under the new RFP?	No, the institution's maintenance of effort does not carry over from the previous year. The new RFP establishes a new level of institutional match which will need to be met during the RFP cycle.
62	Our summer session is considered a regular academic session (like fall and spring) even though it is 10 weeks instead of 15. If a student enrolls for summer session full-time, will it be counted as one of two allowable full-time sessions for the academic year? For example, can a student attend summer and spring (and not fall)?	If an institution is structured on a semester basis, the full academic year means the fall and spring semesters. Additional course periods, including quarter courses, winter terms, or summer terms are not considered part of the regular academic year for HEOP purposes. A trimester institution would need to fulfill its normal full academic year.
63	Page 8, section E.1. states that "institutions will prepare internal evaluations plans for HEOP activities" and "must include both quantitative and qualitative assessments." Is there a special format schools need to follow? When will this format and list of components required be available?	No.

64	<p>I understand the deadlines for the final request for approval for transfer of funds (June 1st for the first 4 years and May 15th for the last year). Is there a deadline for request for approval for transfer of funds going from the summer to the academic year? It used to be Dec. 15. What is it for the new RFP?</p>	<p>In the prior HEOP RFP there was a requirement to create separate budgets for summer and academic year segments. This requirement does not exist under the FS-10 budget process. This RFP requires one budget covering the entire budget year. Budget amendments (FS-10A) are submitted as needed based upon proposed changes in expenditures from the original approved budget. All amendments (FS-10A) must be in accordance with section IV.G.3 of the RFP, the Fiscal Guidelines for Federal and State Grants (http://www.oms.nysed.gov/cafe/guidance/guidelines.html) and the Master Grant Contract.</p>
65	<p>Page 11, section 4.c.ii states “An analysis of the progress of students served by the program with a comparison to other students enrolled by the institution” will be included in the final report. What comparisons is SED looking for: GPA? 1st-to-2nd year persistence? Please identify the specific areas of comparison to include in the final report.</p>	<p>Student outcomes: tracking of retention data, student GPAs, honors & awards, transfer, attrition, completion/graduation rates in comparison to the regular admit students. See question #44.</p>
66	<p>Page 31, section 2.c. states “HEOP funds cannot be used for items which previously had been assumed by the institution.” What does this mean? Can you provide an example? My understanding is that HEOP funds can be used for allowable costs based on the proposed RFP budget which will show grant and institutional match.</p>	<p>HEOP funds are intended to supplement and expand, not supplant, existing efforts. An activity previously paid for by institutional funds cannot be shifted to HEOP budget in an effort to avoid the institutional commitment to continuing that activity. As indicated earlier the match requirement has been decreased to 15%.</p>
67	<ul style="list-style-type: none"> · Please confirm whether SED will fund MERS for the new RFP period. · If not, will schools be made aware of the cost (user fee, etc.) for MERS BEFORE the RFP is due? · If use of HEOP funds for MERS is not allowable, will this cost liability fall upon the institution? · Are schools allowed to use grant funds for any MERS costs they may incur including training? · Are schools allowed to use Institutional match funds for MERS costs they may incur including training? 	<p>The RFP does not contain a set aside of local assistance funds for the support of MERS. SED has currently made no determination on whether there will be continuing support for MERS. See Section IV.G.1 & 5 (p.12) of the 2014-19 RFP.</p> <p>HEOP funds may only be used for those costs allowable under the statute and regulations (see EDL Sec. 6451(3), Reg. Sec. 152-1.5 and 152-1.8)</p> <p>As indicated earlier the minimum match requirement has been decreased to 15%. An institution may use their institutional match for those HEOP related activities not allowable or not sufficiently covered by HEOP funds.</p>
68	<p>Page 23, section D.1. states “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 ...(TAP).” The previous RFP specifically lists the</p>	<p>These documents can be obtained from your financial aid office. Please also visit www.hesc.com and fasfa.ed.gov for more information.</p>

	documentation required on p. 18. The new RFP does not include this list. What is the specific documentation needed for all types of income?	
69	Please confirm that the narrative portion of the proposal is not to exceed 35 pages and the budget narrative portion if not to exceed 10 pages for a total of 45 narrative pages plus attachments.	Yes.
70	Does SED have a preferred binding method for the hardcopies of the proposal?	No.
71	On page 7 Section IV Program requirements Section A. Program Integration #3.a. "All funded programs are required to have a full time 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. What does this mean? What do we add/subtract from budget requests?	Based upon a review of the Education Law, implementing regulations, and history of the Higher Education Opportunity Program the requirement for a full-time HEOP director has been modified to require a HEOP Director, however less than full-time would be permissible. The requirement to have an institutional staff member available to answer questions and address HEOP concerns in the absence of the HEOP Director remains. HEOP funds or a combination of HEOP & institutional funds can be used to pay for the HEOP director's salary.
72	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. • When I printed out the link, the regions are not in accordance with currently used HEOP Regions. Which Regions will, in fact, be used?	The action by the Board of Regents to create a higher education regional distribution takes precedence over regional designations that may have previously been used in HEOP. All HEOP institutions must adhere to Regents Higher Education Regions. The map can be found with other RFP materials at: http://www.highered.nysed.gov/kiap/colldev/HEOP/
73	Section C we are limited to 3 pages; our organizational charts alone are 3 pages. May we put these charts in an appendix and cite in the text their whereabouts?	Yes.
74	Section D: can you clarify and/or give an example for #3: "Make sure the institutional needs relate to what the institution plans on doing and avoid circular reasoning? "	"Circular argument: A sentence or argument that restates rather than proves. Thus, it goes in a circle: 'President Reagan was a great communicator because he had the knack of talking effectively to the people.' The terms in the beginning of the sentence (great communicator) and the end of the sentence (talking effectively) are interchangeable."(Stephen Reid, The Prentice Hall Guide for College Writers, 5th ed., 2000)
75	Section D and E/F Can you clarify how: "what the institution plans on doing" (Section D) is different from "How does your institution plan on achieving the stated goals and objectives" (Section F)	Section D asks the institution to identify what specific activities and actions will be undertaken; Section F asks how those activities will be completed and how the institution will determine if the stated goals and objectives were met.

		See RFP Appendix 4.
76	Does the Goals and Objectives section apply to a one-year or a five-year period?	The goals and objectives should be for the entire five-year period of the RFP cycle.
77	By Methodology, do you mean methods? (methodology is the research strategy that outlines the way one goes about undertaking a research project, whereas methods identify means or modes of data collection).	Yes, methods are the techniques or processes used; while the methodology is the discipline, or body of knowledge, that utilizes these methods. See question #77 & RFP Appendix 4.
78	Staffing: Required Full-Time Director: How does this impact institutions that have devised a different structure for multiple prior RFPs where the director is over more than one NYS program and thus has 50% time allocation to two programs.	Based upon a review of the Education Law, implementing regulations, and history of the Higher Education Opportunity Program the requirement for a full-time HEOP director has been modified to require a HEOP Director, however less than full-time would be permissible. The requirement to have an institutional staff member available to answer questions and address HEOP concerns in the absence of the HEOP Director remains. Please refer to the recommended staffing guidelines in Appendix 3.
79	It appears that we no longer are funded along parallel Supplemental Financial Assistance and Supportive Services, but instead get one lump sum (up to \$5,600/FTE) and it is up to us to allocate it under allowable expenses. Is this correct?	Yes. The previous RFP process included separate budgets for summer and academic year; the movement to the FS-10 budget process eliminates that requirement.
80	On Page 31 of the RFP, b. Travel i. it states that the "Commissioners Regulations do not allow HEOP funds be used for this purpose (travel) except as specifically identified for students. And then in b. Travel iii. It describes "educational opportunities including conferences, trainings, workshops and recruiting students." Does this mean that we CAN budget grant funds for staff travel for conferences, trainings, recruiting and so forth?	HEOP funds must not be used for staff travel for conferences. Institutional funds may be used for this purpose. See question #41
81	HEOP Regional breakdown is different from the Commissioner's regional breakdown. Which one will SED be using for the competitive component?	See question #72. NYSED will use the Regents Higher Education Regions in the method of award.
82	Page 25 1.D Transfer students. While transfer students are trying to establish residency, can they not matriculate in any programs within NYS? Or can they attend classes, but not matriculate?	To participate in HEOP, students must be NYS Residents. Institutions must keep in mind the eligibility criteria for participation in HEOP, including both academic and economic disadvantage. Both of these criteria must be met prior to a student joining a HEOP at a participating institution.
83	Why was Summer College changed to Summer Camp? Could Summer Academic Camp could be	The institution of higher education can refer to the HEOP Summer Camp under whatever branding or title that fits the

	acceptable?	institution's mission and vision. Proper attribution of HEOP is required. See RFP section XII and question #11. Summer Academic Camp or Summer Academy would be acceptable.
84	Page 7: Please define more clearly "must be closely coordinated with the academic affairs at the institution." If a program reports to student affairs who then reports to Academic Affairs be considered "Closely Coordinated" to academic affairs?	Yes, see question #4.
85	Page 2, Definitions, FTE. How are part-time student calculated for FTE? New or revised definition, sub point 2 (although talking about FT going as PT), refers "an annual 24 credit hour basis". Sub point 4, part time program info also lists 24 semester hours per year, and 6 credits as 1/4th, etc. But also listed on page 26, Section F. HEOP Student funding Eligibility, subsection 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" . Is the calculation 24 part-time credits = 1 FTE or 30 part-time credits = 1 FTE?	Thank you. This is a typo. This should read 24* semester hours not 30*.
86	Page 26, HEOP Student Funding Eligibility. Sub point 2:Part Time Student. This clause contradicts the page 2 definition for FTE and how its calculated. Not changed from the original, or is there some kind of adjustment? Either way 24C x 10 semesters doesn't work with the 150c rationale that has been used in the past.	Part-time students are calculated in such a way as to produce FTE numbers for program participants. 24 credits are an equivalent of a full year FTE. Methods of computing FTE in previous HEOP funding cycles are not applicable to this funding cycle. Please see question #85.
87	Page 27. Special Sessions: Since Summer session for continuing student is now consider a "special session", where do we put the request for this? The old RFP allows us to put it in the Summer Supportive services.	In the prior HEOP RFP there was a requirement to create separate budgets for summer and academic year segments. This requirement does not exist under the FS-10 budget process. See question #64.
88	Page 38, Awarding of Funds to Non-Profit Institutions. Sub points 4 through 6. Ranking of applicants and how funding is provided, based on region, program/proposal ranking. Is this new. Does this mean other programs will not be fully funded.	Yes, this is a new requirement. No, this does not necessarily mean other programs will not be fully funded.
89	Page 40, Changes in Award Amounts and Allocation of Program Increases or Decreases, Sub point one. This looks new. If actual enrollment is less than 95% of budgeted FTEs based upon the roster provided [...] In addition, the program will be placed on probation in the next program year requiring a site	This means institutions are fully encouraged to recruit and maintain eligible students and to fulfill the commitments they make in their application. Regarding probation and technical assistance; If an institution is not able to reach or maintain its contracted HEOP FTE this may require a site visit by SED-HEOP, meeting with HEOP and institutional

	visit and technical assistance review by HEOP-SED. What does this mean?	officers, to determine the cause and possible solutions of the problem.
90	Should goals be written in narrative form or in chart form?	Narrative form. See Appendix 4.
91	Is the \$5600/FTE the maximum for ALL programs or just for the new grantees? If a continuing program is currently funded at a higher rate, do they lose the higher rate?	The \$5,600 FTE maximum is for all institutions.
92	Are attachments counted as part of the 35 page limit?	No, see Appendix 4 and questions 18 and 57.
93	Is there a limit to the number of attachments?	No, see Appendix 4 and questions 18 and 57.
94	Do we include any forms that we use, letters, brochures, etc.?	This is not a requirement. See Appendix 4 for a complete list of requested information and documentation.
95	If the assistant director has been acting in the capacity of Director for a long period of time but the institution has not named them Director, can this arrangement continue?	No, all HEOP institutions must have an HEOP Director as identified in the RFP. It is not acceptable for an institution to have an Acting Director, except during the time of the active search for a HEOP Director. See RFP IV.A.3
96	Please clarify section on travel funds: may HEOP funds be used for staff travel to take advantage of educational opportunities (b.iii)?	See question #54 & 7.
97	What does the reference to Section 152-1.5 signify in context of travel?	See question #41, 54 & 7.
98	I want to make sure that the 15% variation of a one-time fluctuation in household income still exists. The guidelines state evidence of the previous calendar years income showing a student would be eligible based on that year's guidelines is sufficient. Could you please let me know what information you would need to approve a case like this?	See question 29.
99	In 2011 a memorandum was issued regarding economic eligibility. It stated add-on incomes and 0 EFC were terminated. It made no mention of the one-time fluctuation in income so we were allowed to continue that. I have a case now that I want to do that for but I don't know what documentation you need to approve the case.	See question 29.
100	I have read the RFP and I have found some issues that I need clarification on. Are you asking programs to fire their administrative assistants because HEOP funding is no longer available for that position? Also, director travel is not to be funded by HEOP funds yet the expectation is to travel to recruit students. Who pays for recruitment? The institution only?	See question #7.

101	Can information that is presented in chart form be single spaced?	Yes, supplemental charts can be single spaced. However proposal narratives should be written in narrative form. Narratives cannot be written in chart form. The narrative should be written in Calibri 1.5 space according to the proposal guidelines.
102	Does the budget justification need to be given as a narrative in a word document or can the information be presented in a detailed excel worksheet with a limited description to accompany the figures?	Budget justifications must be in narrative form. See question #101.
103	To clarify, only first time college students or those transferring from another opportunity program are eligible for HEOP correct? Students with perhaps past college credits or those transferring from another school without such a program are not eligible?	There is a possibility to transfer from an institution without an opportunity program however specific criteria must be met. For further discussion of this topic, see question #16.
104	Can students be enrolled to start in other semesters besides fall? Meaning, can the college host a "summer camp" for new enrollees to join in the Spring semester?	It must be noted that in an institution structured on a semester basis, the full academic year means the fall and spring semesters. Additional course periods, including quarter courses, winter terms, or summer terms are not considered part of the regular academic year for HEOP purposes. Yes, it is acceptable to enroll new HEOP students in the Spring semester, with the condition that students receive the same support as mandated by the RFP for those students entering in the fall.
105	If an academic year is considered three 14 week semesters at the institution, does the same \$5,600 cap per student apply? Or can it be adjusted for students who are attending year-round (and completing their degree more quickly)?	The \$5,600 applies for the full year July 1 - June 30th. This amount cannot be adjusted.
106	Can you further define "Open Admissions Institution".	Open admissions institutions are institutions that have a non-competitive admissions process which allows any student with a high school diploma or GED certificate to attend.
107	It is our understanding that an Open Admissions Institution needs to establish academic criteria for HEOP participants that differentiates them from the rest of the student body. For example, high school GPA below a certain threshold. If the College currently admits students below that academic threshold (but does not have a HEOP program), upon establishment of a HEOP program any student admitted below that threshold would then have to be part of the HEOP program, correct?	No, students will not have to be part of HEOP. This will be an institutional decision.

108	I am reading the Regulations of the Commissioner and see that in this version that was sent to schools last week, it has restored the 15% variance rule. I did not see any language in the RFP discussing the variance though. Can you clarify whether or not this variance is restored for 14/15 and going forward in the new grant cycle?	Yes. A maximum of 15 percent of the students admitted to a HEOP program by an institution may come from households whose income exceeds the household scale, provided that the requirements of Part 27 of the Rules of the Board of Regents are met. See question #29.
109	Is single spacing allowable within charts?	Yes, See question #101.
110	Is a table of contents allowable or recommended? If so, how should it be included?	Yes, this is allowable and would not be counted toward the page limit.
111	What attachments are allowed or recommended in the appendices? Is there a limit?	Institutions may include attachments that support their proposals. There are no limits on attachments; however, the proposal must be kept to the 35 page limit and the budget narrative at 10 pages. Please see question # 57.
112	Is it allowable to attach the Institutional Organization Chart (Section C.4.a.) and the list of campus-wide committees on which HEOP staff members serve (Section C.4.b.) rather than include it within the narrative as part of the 35 page count?	Yes, this can be an attachment. However, an explanation of the chart should be written in narrative form.
113	Can an RFP be submitted as a 4-1/2 year maximum model? In this scenario, the university would provide supplemental financial assistance for nine(9) semesters. The student would be responsible for 100% of the cost of attendance minus any federal and state aid they receive in the 10th semester.	No. The proposal must address the entire RFP funding cycle.
114	In reference to the Financial Aid/Full-Need Packaging Section C: Is it correct to assume that the \$25,000 maximum cumulative student loan covers years 2-5 of the students cost and that the student can incur an additional \$6,250 for student self-help and loans in the first year?	No, this is for years 1-5. See RFP Appendix 2.
115	Can the requested organizational chart of the institution as well as a HEOP organization chart (referenced on page 48 of the RFP) be included in the appendix as attachments and not be counted as part of the 35-page limit?	Yes, See question #112.
116	The titles of remedial/developmental coursework to be offered during the summer program are requested. Should course descriptions be provided in the appendix?	Yes, however, this is optional and should be included only if it elaborates on a specific part of the institutional proposal.

117	<p>There are several sections of the proposal that require inclusion of charts, as follows:</p> <ul style="list-style-type: none"> · Organizational Background – section C4a and C5c · Admissions section G.2. –a chart for selection criteria <p>Can these be attachments? If so, will they be counted toward narrative page maximum for their sections or will they be counted with the page count?</p>	<p>These must be addressed in narrative form in the proposal and within the page limitation, with the corresponding chart included as an attachment. The attachments will not be counted toward the page limit. Do not include charts or other attachments without corresponding direct reference to them in the proposal narrative. See question #112.</p>
118	<p>FTE computation for Part-time students</p> <p>Could you please clarify the difference between the information on page 2 (item 4-“use of 24 semester hours must be used to calculate the FTE”) and the information on page 26 (item 2-“ The FTE will be calculated on a thirty-semester hour equivalent basis per academic year)</p>	<p>See question #85.</p>
119	<p>The maximum award amount stated in the webinar for each applicant institution is computed by multiplying the amount of \$5,600.00 by the number of FTEs in the proposal. My intuition is currently funded the amount of \$8,455.45 per FTE for (2013-2014). Does it mean that our total award for 2014-2015 will be reduced?</p>	<p>The maximum award amount possible for each applicant institution through this RFP 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. See RFP XIII.D.</p>
120	<p>I have a question about the policy on changes in award amounts and allocation of program increases or decreases (pg. 40, section E of guideline).</p> <p>Is an institution placed on probation and it's award decreased if it's enrollment decreases below 95% of the October 15th report FTE, due to early graduation?</p>	<p>The institution should ensure that it manages its recruitment and retention to ensure that its budgeted FTE is maintained regardless of early graduation or alternative scheduling.</p>
121	<p>I am hoping you can provide guidance and clarification regarding the HEOP RFP released yesterday (2/25/2014). The RFP states a contract start date of 7/1/2014; when would a new or start up applicant/awardee be expected to enroll its first HEOP cohort, and offer a summer program in advance of matriculation?</p>	<p>Start-up programs should enroll HEOP students in the fall of the first year of the funding cycle. New institutions will have the opportunity to consult with SED on how to start-up a summer program once it is determined that the start-up program will be funded.</p>

<u>HEOP Fiscal Qs</u>	
<u>Fiscal/Contractual</u>	<u>Answers to Fiscal/Contractual</u>
1. On the FS10 can we summarize the Supplemental Financial Assistance (SFA) and provide a more detailed breakdown on the budget narrative. For example, list stipend on the FS10 and detail the proportional allocation for books, transportation, personal expenses in the budget narrative.	Supplemental financial assistance should be detailed according to the sub-divisions in Commissioner's regulations sec. 152-1.5 and placed into the correct FS-10 categories according to instructions on the FS-10 form (http://www.oms.nysed.gov/cafe/forms/home.html) and Section X.A.1.d of the RFP.
2. Should we clearly separate summer SFA and academic year SFA on the FS10.	No, you should not separate summer SFA and academic year SFA on the FA-10.
3. Is there any other code where you would like to see summer expenses separated from academic year expenses (e.g. full time employees under code 15)	No, However, it recommended that programs follow their institutional policies and general accepted accounting principles. See RFP IV.F.
4. What is an F-10 and are any of the budgets completed in MEERs?	<p>Form FS-10, Proposed Budget for a Federal or State Project, is used to:</p> <ul style="list-style-type: none"> • Assist the local applicant agency in planning for necessary project expenditures. • Provide SED with a specific itemization of proposed project expenditures. • Provide SED and the Office of the State Comptroller with the necessary documentation upon which payments can be based. • Ensure that expenditures made by the local agency have the prior approval of SED. <p>No, these forms are not completed in MERS. Please review the Fiscal Guidelines for Federal and State Grants to obtain more information on the FS form series. http://www.oms.nysed.gov/cafe/guidance/guidelines.html</p>

<p>5. We have some questions regarding the Prequalification documents.</p> <p>1) Our business and finance office is not required to file CHAR500 or CHAR410. Is there a substitute document?</p> <p>2) Senior Leadership Resumes - Will the President, Provost, Vice President of Student Affairs, and VP of Finance suffice?</p>	<p>1) There is no substitute document. Colleges and universities are exempt from the requirement of filing the CHAR 500 or the CHAR 410.</p> <p>2) Yes.</p>
<p>6. What is the full name and address of the department requesting the Workers' Compensation & Disability Benefits forms?</p>	<p>The New York State 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. Please refer to the Board's website at: http://www.wcb.ny.gov/content/main/Employers/bu sPermits.jsp. 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.</p>
<p>7. It is our understanding for the budget section that we need to submit the FS 10 form, B1 form and budget narrative for the proposal. Is anything missing? Can you post an example of a budget narrative since this is a new requirement? Will training be provided prior to submission for the FS10 and B1 form?</p>	<p>Please refer to RFP Section II. A within Appendix 4: Proposal Guidelines for detailed instructions on what forms are required. At this time there is no currently scheduled training on the FS series. Please refer to http://www.oms.nysed.gov/cafe/guidance/guidelines.html for detailed instructions and examples.</p>
<p>8. Will training be provided for the FS series?</p>	<p>See question #7.</p>
<p>9. Budgets, Progress Reports, and Payments, 6, b, 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 (p. 12)." Do programs have to submit FS-25's monthly?</p>	<p>No, institutions do not have to submit monthly FS-25 forms. Institutions submit FS-25 on an 'as-needed' basis (based on actual expenses, plus anticipated expenditures for the next month). Please see RFP Section IV. G.</p>

<p>10. Will the RFP budget be a composite of summer and academic year expenses or do the expenses for summer and academic year need to be separated out, as they will be for reporting purposes?</p>	<p>See question #2.</p>
<p>11. Page 12, section 6.b.ii states “ subsequent payments would be made following the submission and approval of an FS-25 form.” Does submission of the FS-25 form follow the summer and academic year final report deadlines (Oct. 15 and July 15th, respectively)? Does this mean schools can’t bill the remaining 75% until their final report with the FS-25 form is approved?</p>	<p>No, submission of the FS-25 does not follow the summer and academic year final report deadlines. Please see question #9.</p>
<p>12. Page 12, section 6.d. states “Grantees may request tuition reimbursement on a schedule that is consistent with the institution’s standard tuition collection processes” for “the actual student FTE of students currently enrolled in the institution for that semester.” Does that mean schools can submit FS-25 forms for dates that are “consistent with the institution’s standard tuition collection processes”? For example, RIT’s fall tuition bill is due August 15. Can we submit and FS-25 for fall tuition at the time of our 21-day-report (21 days from the beginning of fall semester) which verifies FTE for fall semester?</p>	<p>Yes, institutions may submit forms during the "usual" submission times.</p>
<p>13. On the FS-10:a) Where are we to put the summer staff of peer counselors and tutors? Tutors for the academic year?b) Where do we show the breakdown of funds between the state, institution and other sources?c) Where do we put the maintenance and tuition monies? Where do we show TAP and PELL, etc.?</p>	<p>a) Salaries for Professional Staff, including peer counselors, and tutors, for both the summer and academic year, should be recorded under Code 15 Professional Salaries, unless these counselors or tutors are not employees of the institution, in which case their salaries should be reflected in Code 40, Purchase Services Please see RFP Section X.A.1.a.</p> <p>b) b) This should be reflected on the HEOP B-1 form.</p> <p>c) Tuition should be included under purchased services, maintenance (supplemental financial assistance) is recorded on various places on the FS-10 depending upon the type of expense. Pell or TAP are captured on the HEOP B-1 form, under state and federal funding sources.</p>

<p>14. There are so many questions, concerns and clarity needed regarding the FS-10, and RFP. Would it not make good sense to enact NYSED's Reservation of Rights, page 19, #2, so this all can be ironed out for all applicants?</p>	<p>NYSED does not plan to withdraw this RFP. The questions and answers period is designed to bring clarity where it is needed.</p>
<p>15. Where are expenses for outside facilitators recorded in the new budget forms?</p>	<p>Costs of consultants and other contractual services should be recorded under Code 40 Purchased Services. Please see RFP Section X.A.1.a.ii.</p>
<p>16. Where are expenses for events celebrating awards, honors, graduation, etc. recorded in the new budget forms?</p>	<p>These expenses should be documented under institutional match. Please see the HEOP B-1 form. http://www.highered.nysed.gov/kiap/collddev/HEOP/HEOP_B1_form.xlsm</p>
<p>17. In reading the RFP I do have one question that we now routinely ask relative to all contracts that we enter into. The question has to do with termination clauses, particularly with multi-yr contracts. On most of our multi-year agreements, we don't fret too much over termination related issues. That said, in an increasingly volatile economic environment, we do strive to understand all risks and related budget issues associated with obligations we sign on for.</p> <p>My question has to do with the information on page 40 of the RFP. Specifically, the contract does not appear to speak to possible termination before the 5 yr term expires. So, if in the event the campus was to determine that discontinuing the program was something that must be pursued, how would the contract address that or, what are the related implications if such</p>	<p>Please see section II.C, Term, Termination and Suspension, in the Standard Terms and Conditions of the Master Grant Contract that is posted with the HEOP RFP: http://www.highered.nysed.gov/kiap/collddev/HEOP/</p>

<p>termination is not addressed in the contract.</p>	
<p>18. Does proof of Workers' Compensation Coverage and Disability Benefits Coverage need to be submitted with the application or are these forms submitted at a later date?</p>	<p>These documents are not required at the time of application, but we encourage applicants to include them. They will be needed to facilitate the processing of awards/contracts.</p>
<p>19. Are there any signature pages for the Financial Aid director in the new RFP or a place for the same in the budget forms?</p>	<p>There is no signature required from the Financial Aid director in the application. Signatures are needed from the Chief Financial Officer on the Application Cover Page, the FS-10 Form and B-1 Form. The cover page may be signed by a designee, but in that case, the CEO must submit a letter naming the designated signatory. Please see RFP Section VI.B. & Appendix 5 for additional information. Please also see IX.D.5.e. for information regarding required signatures for student eligibility documentation and reporting during the contract period.</p>

<p>20. Will program be awarded a grant if the new Prequalification Requirements are not met at the time of the grant decision?</p>	<p>No. All not-for-profit applicants must be prequalified by the grant application deadline (April 18, 2014) in order to receive an award.</p>
<p>21. What is the expected timeline for budget transfer requests to be approved?</p> <p>22. Regarding the new Prequalification Requirement: must all non-profit applicants prequalify? Must the pre-qualify prior to the application deadline?</p>	<p>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 1st 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 15th for the budget period. Please see RFP Section IV.G.3.b.</p> <p>Yes, please see the answer to # 20. All non-profit applicants must pre-qualify prior to the application deadline in order to be eligible to receive an award.</p>