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December 8, 2010

TO: Chief Executive Officers of Degree-Granting Institutions of Higher Education and Consortia in New York State

FROM: Joseph P. Frey, Deputy Commissioner
Office of Higher Education

SUBJECT: Guidelines for Submission of Science and Technology Entry Program (STEP) Proposals

I invite all degree-granting institutions and consortia of higher education to apply for the Science and Technology Entry Program funding for the period 2011-2015. All proposals are due by February 4, 2011.

One original and three copies of the full proposal must be submitted. All requests for information and all required signatures must be included if a proposal is to receive consideration.

For further information you may contact:

New York State Education Department
Pre-Collegiate Preparation Programs Unit – (PCPPU)
Science and Technology Entry Program
89 Washington Avenue
Room 967, Education Building Addition
Albany, New York 12234
steprfp@mail.nysed.gov

Attachment

The University of the State of New York
THE STATE EDUCATION DEPARTMENT
Office of Higher Education
Office of K-16 Initiatives and Access Programs
Pre-Collegiate Preparation Programs Unit
89 Washington Avenue
Room 967, Education Building Addition
Albany, New York 12234

**Guidelines
for Submission of
Science and Technology Entry Program Proposals
For the Period July 1, 2011- June 30, 2015**

Proposals are due by February 4, 2011

Announcement of Funding Opportunity for the Science and Technology Entry Program 2011-2015

Introduction/Background	The New York State Education Department is pleased to announce competition for Science and Technology Entry Program (STEP) grant contracts for the period July 1, 2011 through June 30, 2015 pending annual appropriations in the New York State Budget.
Legislative Authority	In April 1985, the New York State Legislature passed an amendment to Education Law Chapter 31, Article 130, Section 6454, to authorize the use of funds under the Science and Technology Entry Program (STEP). This publication is intended to assist eligible institutions in applying for Science and Technology Entry Program awards for 2011-2015.
Purpose/Goal	The purpose of the Science and Technology Entry Program is to prepare minorities historically underrepresented or economically disadvantaged secondary school students for entry into postsecondary degree programs in scientific, technical, health-related fields, and the licensed professions.
Eligible Applicants	New York State degree-granting post-secondary institutions or consortia of such institutions with registered scientific, technical, or health-related professional or pre-professional programs that lead to professional licensure or to employment in scientific, technical, and health-related fields may submit proposals. A list of Professions Licensed, Registered, or Certified by the Board of Regents can be found here: http://www.op.nysed.gov/prof/ . The institution submitting the proposal, or at least half of the institutions in a consortium, must be located within a school district with an enrollment that is at least 20 percent Black or African-American, Hispanic/Latino, or American Indian/Alaska Native, or located near such a district that is easily accessible by public transportation.
Important Dates:	A Bidders Conference by Webinar will be posted at: http://www.highered.nysed.gov/kiap/step/ on December 22, 2010. Eligible applicants planning to apply for funding are invited to view the presentation. Questions may be submitted to steprpf@mail.nysed.gov through December 29, 2010. A Question and Answer Summary will be posted at: http://www.highered.nysed.gov/kiap/step/ no later than January 5, 2011. Applications Due: Applications must be received by February 4, 2011 Project Period: July 1, 2011 through June 30, 2015.
Funding	<u>Funding in the amount of \$9.7 Mil was awarded in the 2010-2011 program year to fifty projects.</u>
SED Contact	Geneva M. Lewis: NYS Education Department Office of K-16 Initiatives & Access Programs Pre-Collegiate Preparation Programs Unit 89 Washington Avenue, EBA 967 Albany, NY 12234 Email: steprpf@mail.nysed.gov

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GUIDELINES FOR STEP PROGRAMS

I. **INTRODUCTION:**

The New York State Education Department is pleased to announce competition for Science and Technology Entry Program (STEP) grant contracts for the period July 1, 2011 through June 30, 2015 pending annual appropriations in the New York State Budget.

II. **PURPOSE:**

The purpose of the Science and Technology Entry Program is to prepare minorities historically underrepresented or economically disadvantaged secondary school students for entry into postsecondary degree programs in scientific, technical, health-related fields, and the licensed professions.

III. **INSTITUTIONAL ELIGIBILITY:**

New York State public, independent, and proprietary degree-granting colleges and universities or consortia of such institutions with registered scientific, technical, or health-related professional or pre-professional programs that lead to professional licensure or to employment in scientific, technical, and health-related fields may submit proposals for program support. A list of Professions Licensed, Registered, or Certified by the Board of Regents can be found at: <http://www.op.nysed.gov/prof/>. Both nonprofit and for-profit institutions are eligible to bid.

A consortium is defined as an association or grouping of eligible recipients set up for a common purpose that would be beyond the capabilities of a single member of the group.

The institution submitting the proposal, or at least half of the institutions in a consortium, must be located within a school district with an enrollment that is at least 20 percent Black or African-American, Hispanic/Latino, or American Indian, or Alaska Native, or located near such a district that is easily accessible by public transportation.

IV. **STUDENT ELIGIBILITY:**

The Science and Technology Entry Program is designed for New York State residents in grades 7 through 12 who are minorities historically underrepresented or economically disadvantaged in the scientific, technical, health-related, and licensed professions.

A. **Definitions:**

1. For the purpose of STEP, a student is considered a New York State resident if he or she resides in New York State and has lived in New York State for the last two terms of school prior to entry into the STEP program or resided in New York State for at least 12 months immediately preceding the first term for which he or she is seeking participation in the STEP program.
2. For the purpose of STEP, minorities historically underrepresented in the

scientific, technical, health-related, and licensed professions are Black or African-American, Hispanic/Latino, American Indian or Alaska Native.

3. For the purpose of STEP, a student is economically disadvantaged if he or she meets the eligibility requirements. Economic eligibility requirements can be found in the Operations Manual located on our website:
<http://www.highered.nysed.gov/kiap/step>

B. Documentation:

1. Institutions approved for funding are required to develop an application for STEP participants. In order to be accepted all required documentation must be complete. Students must complete an application prior to participation in the program. Funds may not be expended on behalf of students for whom an application and required documentation are not available. The project is responsible for having each student's previous and current report cards on file for the duration of their participation in the program.
2. Documentation confirming economically disadvantaged status is required only for students who are not Black or African-American, Hispanic/Latino, American Indian or Alaska Native. The racial/ethnic identification indicated by students on the STEP application is acceptable documentation. Economic eligibility requirements can be found in the Operations Manual located on our website: <http://www.highered.nysed.gov/kiap/step>.
3. The application and all required documentation must be kept on file for each student at the STEP project site and must be readily available for review by State Education Department (SED) staff. In the case of consortia, a copy of the application for each student must be available at each site as well as at the lead institution or project headquarters.

V. PRIORITIES:

In approving proposals for the Science and Technology Entry Program, priority shall be given to institutions that propose to provide one or more of the following:

- A. Program services and activities designed to improve the recruitment and retention of historically underrepresented male participants.
- B. Program services and activities designed to improve the recruitment and retention of Hispanic/Latino and American Indian participants.
- C. Program services designed to improve eighth grade students' test scores on the New York State Mathematics and Science Assessment Examinations.

VI. **PROGRAM REQUIREMENTS:**

Institutions that receive a STEP award will be required to:

- A. All programs must provide services to students enrolled in secondary education (grades 7 – 12). Program services must address students’ academic and collegiate preparation in science, technology, health-related fields and licensed professions. All programs must provide services to all grade levels by the end of the 2011-2015 grant/contract cycle.
- B. Provide program activities to assist students in acquiring the skills and aptitudes necessary to pursue postsecondary education leading to careers in scientific, technical, or health-related fields, or the licensed professions. The program must consist of instructional activities and services that emphasize the relationship between a course of study and careers in the targeted fields. Activities must also include academic advisement and career counseling to apprise students of the opportunities and prerequisites for the pursuit of careers in science, technology, and health-related fields, and the licensed professions.
- C. Provide services and activities to enhance and increase students’ mathematical skills, and experiences in the sciences and laboratory science in accordance with the Advanced Regents Diploma. Program activities must enhance and support students’ abilities to perform tasks in computing, statistics, algebra and geometry, and increase students’ knowledge in at least one field of science such as biology, chemistry, or physics. All activities must be in compliance with NYS learning standards, which can be found at the following website: <http://www.emsc.nysed.gov/ciai/standards.html>.
- D. Programs shall, to the extent practicable for all students, emphasize the concrete aspects of the scientific, technical or health-related disciplines as it relates to a professional career, through service learning, advanced coursework (e.g. college level coursework, international baccalaureate, and advanced placement courses), and research/internship opportunities.
- E. Provide evidence of formal collaborations (i.e. MOA) between the proposing institution and local education agencies such as local schools or school districts. Describe how the project collaborates with the Collegiate Science and Technology Entry Program (CSTEP).
- F. Provide evidence of Statewide & Regional collaboration:
 - a. Must generate a list of high school juniors and share it with CSTEP projects by mid-March of each year.
 - b. Must demonstrate participation in Statewide & Regional Network Committees.
- G. Implement a parent component with clearly defined roles, responsibilities, and activities. Outline the relationship between the parents and the program. The parent group must meet at least twice a semester.

H. Describe Day of Service planning, implementation, and assessment. Day of Service Guidelines can be found in the Operations Manual located on our website <http://www.highered.nysed.gov/kiap/step>.

I. Provide a minimum of 25 percent matching funds from institutional, governmental and other in kind sources. Of this amount, no more than 40 percent may be from the salaries of non project personnel who do not provide direct service to the program.

Note: Projects must be conducted at a facility that will provide reasonable accommodations to meet the accessibility needs of individuals with disabilities who will participate in project activities. The institutions conducting the programs are responsible for special accommodations, such as interpreters, assistive listening devices, large print or Braille materials, etc.

VII. NYSED Consortium Policy for State and Federal Discretionary Grant Programs:

Participants can form a partnership or consortium to apply for the grant. In order to do so, the partnership or consortium must meet the following requirements:

1. The partnership or consortium must designate one of the participants to serve as the applicant and fiscal agent for the grant. The applicant agency must be an eligible grant recipient. All other consortium members must be eligible grant participants, as defined by the program statute or regulation.
2. In the event a grant is awarded to a partnership/consortium, the grant or grant contract will be prepared in the name of the applicant agency/fiscal agent, not the partnership/consortium, since the group is not a legal entity.
3. The applicant agency/fiscal agent must meet the following requirements:
 - a. Must be an eligible grant recipient as defined by statute;
 - b. Must receive and administer the grant funds and submit the required reports to account for the use of grant funds;
 - c. Must require consortium partners to sign an agreement with the fiscal agent that specifically outlines all services each partner agrees to provide.
 - d. Must be an active member of the partnership/consortium, except where SUNY or CUNY Research Foundations are the fiscal agent.
 - e. Is PROHIBITED from sub granting funds to other recipients. The fiscal agent is permitted to contract for services with other consortium partners or consultants to provide services that the fiscal agent cannot provide itself.
 - f. Must be responsible for the performance of any services provided by the partners, consultants, or other organizations and must coordinate how each plan to participate.

VIII. VENDOR RESPONSIBILITY:

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.

NYSED recommends that vendors file the required Vendor Responsibility Questionnaire online via the New York State VendRep System. However, vendors may choose to complete and submit a paper questionnaire. 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 or go directly to the VendRep System online at <https://portal.osc.state.ny.us>. For direct VendRep System user assistance, the Office of the State Comptroller's Help Desk may be reached at 866-370-4672 or 518-408-4672 or by email at ciohelpdesk@osc.state.ny.us. Vendors opting to file a paper questionnaire can obtain the appropriate questionnaire from the VendRep website 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.

Note: Bidders must acknowledge their method of filing their questionnaire by checking the appropriate box on Attachment I page 18.

IX. NOT-FOR-PROFIT (NFP) PROMPT CONTRACTING:

Chapter 166 of the Laws of 1991 added Article XI-B (The Prompt Contracting Law) to the State Finance Law promoting prompt contracting with NFP organizations.

More specifically, the Prompt Contracting Law sets time frames for processing contracts and related documents; provides for written directives, waivers of interest, and advances/loans to Not-for-Profits (NFPs) when those time frames cannot be met; and requires interest payments to NFPs when contract payments are late due to untimely processing of contracts and no advance or loan was provided. For information on loans for NFPs from the Short-Term Revolving Loan Fund, refer to Bulletin A-268. This bulletin explains the procedure to follow when contracting with NFPs.

Chapter 648 of the Laws of 1992 made several changes to Article XI-B. The 1992 revisions provided more reasonable time frames for processing local grant awards and federally funded contracts; allowed for State agencies and NFPs to waive interest payments under certain circumstances; eliminated interest penalties for contracts executed and funded in whole or in part for services rendered in a prior fiscal year; and limited the amount of time a State agency may suspend time frames to four and one-half months.

Chapter 292 of the Laws of 2007 added further amendments to Article XI-B. The 2007 amendments prohibit State agencies from requiring NFPs, as a prerequisite of the execution of a contract, to waive claims for interest that would otherwise be due; provide that a contract is deemed to continue, and the contract remains in effect when a State agency does not timely notify an NFP of an intent to terminate the contract; require that any waivers of interest be subject to the Office of the State Comptroller's (OSC's) approval and provide for the calculation and payment of interest to NFPs when OSC non-approves a waiver of interest; require State agencies to report prompt contracting information to OSC for inclusion in annual reports; and expand the NFP contracting advisory committee to sixteen members, require meetings at least quarterly, and expand the scope of the committee's responsibility.

A key objective of the Prompt Contracting Law is to expedite the contract process, and corresponding payments with NFPs to avoid service interruptions and financial hardships for these organizations. OSC advises that State agencies take measures to ensure compliance with the requirements of the Prompt Contracting Law. To this end, State agencies should maximize their use of the standard contract boilerplate, including simplified renewal documents, written directives, and valid waivers of interest when contracting with NFPs.

State agencies utilizing waivers of interest should ensure that the waiver is signed and dated by the NFP, includes an explanation for the retroactive contract start date, and satisfies required time frames set by the law.

Note: The Prompt Contracting Law requirements pertain to all grant contracts with NFPs, including those that fall below the \$50,000 threshold for the Comptroller's prior approval.

Source: OSC A-Bulletin A-316 (update effective November 18, 2009)

X. **FUNDING LIMITATIONS:**

The specific amount of awards depends upon the legislative appropriation and the review and approval of an institution's application for funding by the State Education Department's (SED) Pre-Collegiate Preparation Programs Unit (PCPPU). While these guidelines call for a four year proposal, funding in years two through four is dependent on satisfactory performance, legislative appropriation and the submission of a reapplication approved by SED. The Pre-Collegiate Preparation Programs Unit reserves the right to revise or modify requirements for funding in the reapplication guidelines.

For the period July 1, 2011 through June 30, 2012, the maximum level of funding for programs existing in 2010 to 2011 is their current award amount. New applicants may request funding up to the maximum amount of \$150,000.

All funding requests will be reviewed at the time of submission of an Application for Funding. If certain costs cannot be supported by STEP funds, the State Education Department in collaboration with the STEP Director will modify the proposed budget to include only allowed expenditures.

For an increase in appropriation:

An increase in appropriation in any funding year will result in a proportional increase for all eligible projects.

For a decrease in appropriation:

A decrease in appropriation in any funding year will result in a proportional reduction to all eligible projects.

Contract cancellation during funding cycle:

In the event that an institution's contract is cancelled at the end of an operational year but before the completion of the funding cycle, the funds that had been allocated for that institution will be distributed proportionally to the remaining funded projects.

XI. BUDGET:

A. Use of Funds:

1. Activities funded under a STEP award will be administered pursuant to a written contract between the State Education Department and the participating institution. Funding requests for the delivery of direct student services may include subcontracting by the participating institution(s) with not-for-profit, community-based, educational organizations. Maximum annual subcontracting is thirty (30) percent of the STEP award. (See Program Requirements, Section VI.)
2. No STEP funds may be used for purposes which have not been described in the proposal. Amendments to the proposal during the course of the year that involve changes in the manner in which STEP funds are expended must have prior written approval from SED/PCPPU.
3. Program changes (especially personnel) must have prior written approval from SED/PCPPU.

B. Allowable Expenses:

Allowable direct costs include the following:

1. Program administration, including professional and non-professional salaries, fringe benefits, staff travel, etc.

*Note: Out of state travel requires prior approval by NYSED liaison.

2. Stipends for students participating in approved STEP-supervised research opportunities and internships (the maximum stipend must be consistent with the average for similar activities at the institution or in the region);

3. Program activities, such as field trips, STEP student conference expenses, program achievement/awards, and related fees/charges, including charges for recreational facilities and activities, standardized tests/instruction fees, etc.
4. Expenses related to program attendance such as participant transportation.
5. Student classroom supplies, including laboratory supplies, calculators, etc.
6. Administrative and instructional supplies, materials, and equipment (including instructional or administrative computer software and computers, lab equipment, etc.) When equipment is purchased with STEP funds, it is the responsibility of the institution to ensure that the STEP Equipment Inventory Form is completed and that a copy is submitted to the PCPPU. If a program closes, any equipment purchased with STEP-SED funds must be released for transfer to another STEP program so that equipment continues to support STEP students. STEP-SED staff will assist in arranging the transfer of such equipment.

Note: Those items with a unit value of \$5,000 or more and having a useful life of more than one year must be reported in the equipment category.

7. Evaluation materials and activities;
8. STEP staff development/training.
9. Program brochures/materials and promotional activities.
10. Subcontracts for program services can be made. However, the allowed maximum for all sub-contracts is 30% of the award.

Adjustments to an award amount will occur if items within the proposed budget are deemed to be non-allowable or inappropriate.

Indirect Expenses:

1. Funds for indirect expenses provided by the STEP award may not exceed eight percent (8%) of total STEP grant expenditures. Indirect costs cannot be charged on the following items:
 - Equipment purchases
 - Stipends/honoraria
 - Tuition
 - The amount exceeding \$25,000.00 of each subcontract
2. Funds for indirect expenses provided by the institution may not exceed 20 percent of the matching funds contributed by the institution and/or other sources.

D. Fringe Benefits:

The rate for fringe benefits cannot exceed the actual rate paid by the institution. For CUNY and SUNY institutions, the maximum rate that will be considered is the rate allowed by the New York State Comptroller's Office (OSC).

E. Transfer of Funds:

1. Budget transfers of more than 10 percent, must be submitted as a budget amendment. Form FS-10-A: Proposed Amendment for a Federal or State Project must be used to request a budget amendment and must be submitted to STEP liaison for approval. All FS-10-A forms must be submitted by May 31st of the program year and funds should not be expended until the budget amendment has been approved in writing. Variations in each budget line category which exceed ten percent (10%) of such category must receive the approval of the Commissioner of Education and the Office of the State Comptroller
2. Funds up 10 percent of line categories may be transferred between approved line categories without prior written approval. However, SED/PCPPU must be informed in writing of all amendments made to an approved budget within 30 days of each occurrence, but no later than May 31st of the program year.

Note: Failure to follow the procedures outlined above may result in the disallowance of all expenditures not previously approved by SED/STEP liaison.

F. **Institutional Funds:**

1. Matching Funds

A minimum 25 percent match of the STEP grant is required. The matching requirement may be met through the institution's own resources, private sources, certain other governmental sources, and in-kind services. All matching contributions must be used for activities related exclusively to the STEP project, and institutional accounts must be structured to reflect this contribution by appropriate line item.

2. Institutional Obligation

Institutions approved for funding will have an obligation to honor the institutional amount committed in support of the program in each budget category. This obligation will be reflected in the approved budget agreed to by SED/PCPPU and the institution. The budget may be amended only upon the written agreement of both parties, as stated in Section XI. Budget, E. Transfer of Funds.

3. Program Support

The institution must provide sufficient space and resources for the effective operation of the program. Programs must have access to and use of space needed to conduct the following: group meetings/workshops, conferencing, confidential counseling, and tutoring services.

G. **STEP Payment Schedule:**

Not-for-Profit Applicants:

- a. The initial payment of **25% will be made** upon execution of the contract.
- b. Subsequent payments would be made following the submission and approval of an FS-25 form.
- c. The final payment of **10%** occurs upon the approval of the Final Program and Expenditure Report (**FS-10F**).

For-Profit Applicants:

- a. Funds will be distributed using the SED grant contract process. For-profit institutions will receive payment for work or service that has been performed. The applicant may receive interim payments (up to 90 percent of the grant contract), but only actual expenditures will be reimbursed.

- b. The final reimbursement payment of **10%** occurs upon the approval of the Final Program and Expenditure Reports (FS-10F Short Form).

Note: The Grant Contract is fully executed when it has been signed by the institution'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.

H. **Records Retention:**

The following general rule for record retention satisfies requirements in most instances: Supporting documentation must be retained for the current year plus six prior years unless otherwise required by specific program requirements. 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.

XII. **PROJECT OPERATIONAL GUIDELINES:**

A. Operation Dates

The operation dates for the first year of this proposal will be July 1, 2011 through June 30, 2012. Expenses incurred prior to July 1, 2011, or after June 30, 2012, will not be reimbursed.

B. Required Reports

Each institution receiving a STEP award will be required to submit a mid-year assessment and a final report to the Pre-Collegiate Preparation Programs Unit. For each year, the mid-year assessment, which covers project activities from July 1 to December 31, will be due February 1. The final report, which reflects on all project operations and project accomplishments, will be due September 30 of each year.

Note: Late submissions of budgetary forms and reports will result in the suspension of funds. Exceptions may be made to programs that have requested an extension in writing to their liaison and have received approval. Acceptable written notification may include email, regular mail, or fax. All communication must be copied to the president of the institution. The formats for the mid-year assessment and the final report will be provided by NYSED.

C. Project Guidelines

Funded programs are required to follow the operations manual. The operations manual provides detailed guidance for project operations which can be found on the following website: <http://www.highered.nysed.gov/kiap/step>.

XIII. **APPLICATION FOR FUNDING:**

Interested institutions must submit one original and three copies of the Application for Funding. (Application for Funding (Attachment I pg.1 of 17) The original must be clearly identified with original signature of the CEO or designee.

A complete Application for Funding consists of the following items in the order indicated:

- A. Table of Contents (including page numbers).
- B. Statement of Assurances (Attachment I pg.17), with the original signature of the CEO or designee.
- C. Narrative format that covers the information requested in Section XIV, bullets A through F: Reviewers will adhere to the criteria established for the proposal ranking process described in Section XV: Application Review and Rating Process. Clarity, conciseness, completeness, and quality of writing will be evaluated in the proposal review and rating process. Proposals that are presented in the requested format will facilitate the review process. Applications for Funding that do not follow the format described in this document or that fail to include all attachments or information requested under each major category may lose points.
- D. Science and Technology Entry Program (STEP) July 1, 2011 through June 30, 2012 Budget Narrative (Attachment II) and a proposed budget that justifies all proposed expenditures, that includes details clarifying their nature, and that indicates the basis of calculation for each cost.
- E. For Non-Profit, and For-Profit Institutions
Proposed Budget for a Federal or State Project (FS-10).
Website: <http://www.oms.nysed.gov/caf/forms.html>
- F. New Payee Information form - [Payee Information Form](#) (Attachment II pg. 14)
- G. [Grant Application Checklist](#) (Attachment III)

Submit applications as follows:

The completed application must be received by **February 4, 2011** in:

Contract Administration Unit
New York State Education Department
89 Washington Avenue
Education Building, room 505W
Albany, NY 12234

Submit one original and three (3) copies of the **Narrative/Application** in a sealed envelope labeled “STEP Technical Proposal - GC#10-002 Do Not Open”.

Submit one original and three (3) copies of the **Budget/Budget Narrative (includes Attachment II and the FS-10)** in a separate sealed envelope labeled “STEP Cost Proposal – GC#10-002 Do Not Open”.

XIV. **NARRATIVE FORMAT:**

The proposal narrative should describe the 2011-2015 proposed activities in detail that meet the priorities and requirements spelled out in the request for proposal as stated in this publication. The proposal is limited to a maximum of 20 double-spaced pages, and all of the information requested must be contained within the narrative portion of the proposal. (This excludes resumes, memoranda of agreement (MOAs), course descriptions, the Science and Technology Entry Program Composite Budget, and the FS-10.) The narrative should present a cohesive document with each individual section related to all other sections and must adhere to the format indicated below. The name of the institution must appear in the top right corner of each page. All pages must be numbered. A specific format (Attachment I pgs.7 through 16) is required for the Program Priorities/Requirements, and Measures of Positive Performance Matrix.

The point scale is summarized at the end of this section. Proposals will be ranked based on their total score. Maximum points available in the narrative section are 80. A minimum score of 48 is required to be further considered for a grant.

A. Institutional Expertise: (5pts)

Describe the institution’s expertise and commitment in providing services to similar populations regarding science, technology, engineering, mathematics, and health-related careers, and the licensed professions.

B. Cooperative Relationships: (4pts)

Provide a brief description of the roles and responsibilities of each cooperative relationship. Specify how each participating party will contribute to the project. Documents that support collaborations must be attached.

1. Describe how the following partners will support student & program initiatives.

- Businesses
- Licensed professionals
- Community-based organizations

2. Describe the program's involvement in the Statewide & Regional Network Committees for STEP and CSTEP. The Network Committee list can be found in the Operations Manual located on our website <http://www.highered.nysed.gov/kiap/step>

C. Program Priorities/Requirements and Measures of Positive Performance (53pts)

To complete the Program Priorities/Requirements and Measures of Positive Performance Matrix, refer to Attachment I, pg. 7 of 17

D. Recruitment: (8pts)

Describe all strategies and activities that will be used to recruit and select participants. Based upon your region and school partners describe the type of targeted student groups that your program will recruit. The following criteria should be addressed: regional/community demographics, and school academic profile. Within this context describe your accepted student profile. A student profile incorporates the following criteria: total grade point average (GPA), science and math grade point average, Regents test scores for Integrated Algebra, Geometry, Algebra2/Trigonometry, Earth Science, Living Environment, Chemistry, and Physics.

Describe other non-academic criteria that will be considered in the student selection process.

E. Retention: (5pts)

Describe how your program plans to retain students. Discuss how the plan differs from grade level to grade level. Provide a timeline e.g. (summer, fall, winter, spring) of your recruitment and retention activities. A good recruitment plan starts with an excellent retention strategy.

F. Project Staffing and Management: (5pts)

1. Briefly describe all professional positions (full-time and part-time) that will be assigned directly to the project. Do not identify individuals, but do define role and scope of designated positions.

2. List the names in this section and attach an appendix containing the current resumes for all full-time and part-time professionals, including instructional staff, to be assigned to the project. Include resumes for professionals volunteering their services to the project.
3. Describe a management plan that will assure the effective completion of project activities, given the fiscal and other resources available.
4. Provide an organization chart that indicates the management structure of the program within the institution.
5. Professional Staffing–(the following is a suggested guide to program staffing qualifications)
 - a. Principle Investigator – It is suggested that the Principle Investigator have a minimum of a master’s degree with 3-5 years of program administration & management experience in Opportunity Programs or STEM, and/or Licensed Professions.
 - b. Project Director/Associate Director – It is suggested that the project director have a minimum of a bachelor’s degree with 3-5 years of program administration & management experience. The director should also have experience in fiscal management and budgetary oversight. In addition, he or she should have experience working with diverse student groups.
 - c. The Assistant Director/Coordinator - It is suggested that the assistant director/coordinator have a minimum of a bachelor’s degree with 1-3 years of program administration & management experience. In addition, he or she should have experience working with students from historically underrepresented minority groups.
6. Consortium applicants only: The management plan of the project must delineate the organizational relationships between headquarters or the lead institution and each member institution.
 - a. Provide an organization chart of the consortia arrangement.
 - b. Demonstrate collaboration in order to establish best practices among consortium partners.
 - c. Describe coordination and maintenance of all reports, student records, and fiscal transactions.
 - d. Describe how the consortium will provide leadership and programmatic oversight of each site.

G. Budget/Budget Narrative (20pts)

1. Complete an FS-10 that shows all expenses requested from STEP funds. The form may be found at: <http://www.oms.nysed.gov/cafe/forms/>
2. Complete the STEP Composite Budget Form to indicate the proposed expenditures for the project from July 1, 2011 through June 30, 2012. The form must provide complete information and indicate all proposed expenditures from STEP, institutional, and other sources for the operation of the project. **All projects must provide at least a 25% match in institutional and/or other fund sources.**

Maximum number of points for each section of the narrative:

Section	Points
A. Institutional Expertise	5
1. Institutional expertise/efforts	(5)
B. Cooperative Relationships	4
1. Other partners, Business, CBOs, and Licensed Professional	(2)
2. Involvement in the Statewide & Regional Network Committees	(2)
C-1. Program Priorities	15
1. Activities and services supporting priorities and requirements	(6)
2. Measures of positive performance	(9)
C-2. Program Requirements	38
1. Activities and services supporting priorities and requirements	(12)
2. Measures of positive performance	(24)
3. Memorandum of Agreement (MOA)	(2)
D. Recruitment	8
1. Description of strategies and activities used to recruit students	(4)
2. Academic profile	(2)
3. Non-academic criteria e.g. interview, personal statement, letters of recommendation	(2)
E. Retention	5
1. Description of student retention activities	(2)
2. Description of student tracking by grade level	(2)
3. Timeline of recruitment and retention activities	(1)
F. Project Staffing & Management	5
1. Job descriptions	(2)
2. Resume	(1)
3. Management plan	(1)
4. Organizational charts	(1)
G. Budget: Evaluated by Contract Administration Unit	20
Bonus Points (if applicable and as described in section XV)	12
TOTAL	112

XV. Application Review and Rating Process:

Applications have a total value of 100 points, 80 for the technical section and 20 for the budget section. There will be an additional 12 bonus points available to all applicants funded in the 2010-2011 program year.

After all proposals are received by the New York State Education Department's Contract Administration Unit (CAU), each applicant's narrative section will be sent to the STEP program unit for review and evaluation. After the narrative review and evaluation process, applicants with a minimum technical score of 48 out of a possible 80 points will remain eligible for funding. All eligible applicants will then be forwarded to CAU. CAU will open the budget/budget narratives to calculate the budget and final score. All applicants will be awarded a grant based upon rank order of score. If funds are available, awards will be made to the highest ranked applicants until funds needed for a complete award are exhausted. In the case of a tie score, the applicant in that group of tied scores with the highest budget score will be awarded the grant. If those applicants have the same budget score, the applicant with the highest score in the Program Requirements section of the evaluation will be ranked higher. Below are detailed descriptions of the narrative and budget scoring.

Technical/Narrative Section:

The technical/narrative section of the proposals will be rated numerically based on the averages of the two reviewers. The rating will be evaluated using the Proposal Rubric included as Attachment IV of this RFP. In the event there is a 15-point difference between reviewers in the Technical/Narrative Score assigned to an application, a third reviewer will evaluate the application. The lowest score will be dropped and the Technical/Narrative Score will be the average of the remaining two evaluations. **Applicants whose score averages below 48 points on the Narrative point scale of the proposal will not be eligible to receive a STEP award.** Applicant budgets will not be reviewed if not eligible for an award. For those with an average score of 48 and higher, the budget will be reviewed and rated by the Contract Administration Unit.

Bonus Points:

All applicants funded in the 2010-2011 program year and meeting the minimum technical score will have an opportunity to receive up to 12 bonus points. These points will be based on past performance. This will be measured by two areas: 1) The percentage of STEP student graduates who go to college and 2) The number of students served.

1. The percentage of STEP student graduates who go to college (6 points)

Applicants will receive points based on the average of the annual percentages, during the last funding cycle, 2006 through 2010, of the number of STEP students going to college in comparison to the number of STEP students that graduated from high school.

Applicants with an average percentage of 90 or above will receive 6 points

Applicants with an average percentage of 80 through 89 will receive 4 points
Applicants with an average percentage of 70 through 79 will receive 2 points
Applicants with an average percentage of less than 70 will receive 0 points.

2. The number of students served (6 points)

For each year in the last funding cycle 2006-2011, applicants will receive points based on the average of the annual percentages of the number of students actually served in comparison to the number of students the applicant proposed to serve.

Applicants with an average percentage of 90 through 100 or above will receive 6 points
Applicants with an average percentage of 80 through 89 will receive 4 points
Applicants with an average percentage of 70 through 79 will receive 2 points
Applicants with an average percentage of less than 70 will receive 0 points.

Budget Section:

The budget section of the proposal represents 20 points of the final score. Points will be awarded pursuant to a formula that measures cost per student. The cost per student method for scoring budgets will be used to provide a way to measure the best use of STEP funds. It is calculated by dividing the total amount of STEP funds requested from NYSED by the number of students proposed to be served by the applicant (unduplicated number of students). This calculation will be computed by the Contract Administration Unit upon completion of the narrative scoring by the STEP proposal review panel. The submitted budgets will be awarded points pursuant to a formula which awards the highest score of twenty (20) points to the budget that reflects the lowest cost per student. The remaining budgets will be awarded points based on a calculation that computes the relative difference of each proposal against the lowest cost per student submitted. The resulting percentage is then applied to the maximum point value of twenty (20) points.

XVI. Method of Determining Award:

Applications must achieve a minimum technical (narrative) score of 48 points to be eligible for an award **and** will be ranked based on a combination of their technical score and budget score plus bonus score if any.

All applicants will be funded in rank order until the funds are exhausted. In the event there are insufficient funds to fund the next ranked applicant in full, the next ranked applicant will be given the opportunity to operate a smaller program using the remaining funds.

The maximum award new applicants may receive is \$150,000.

The maximum award currently funded applicants may receive is an award amount equal to the July 1, 2010 - June 30, 2011 award amount.

Tie Breaker:

In the event of a tie score the applicant in that group of tied scores with the highest budget score will be awarded the grant. If those applicants have the same budget score, the applicant with the highest score in the Program Requirements section of the evaluation will be ranked higher.

The New York State Education Department reserves the right to reject all proposals received or cancel this RFP if it is in the best interest of the Department.

XVII. Notification of Award:

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. Applicants of current programs not recommended to receive a Grant Contract will be notified in writing of the necessary actions needed to close their respective programs. Applicants not recommended for funding may request a summary of reviewer comments (see description in the debriefing procedure below).

Post Selection Procedures:

Upon selection, the successful applicant will enter into negotiations for a contract with NYSED. The contents of this RFP, any subsequent correspondence related to final contract negotiations, and such other stipulations as agreed upon may be made a part of the final contract developed by NYSED. Successful applicants may be subject to audit and should ensure that adequate controls are in place to document the allowable activities and expenditure of State funds.

Debriefing Procedures

All unsuccessful applicants may request a debriefing within five (5) business days of receiving notice of non-award from NYSED. Applicants may request a debriefing letter on the selection process regarding this RFP by submitting an email request to STEPRFP@mail.nysed.gov:

A summary of the strengths and weaknesses of the application, as well as recommendations for improvement will be emailed back to the applicant within ten (10) business days.

XVIII. Contract Award Protest Procedures:

Applicants who receive a notice of non-award 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 within ten (10) business days of receipt of a debriefing. The protest letter must be filed with:

NYS Education Department
Contract Administration Unit
89 Washington Avenue
Room 505W 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 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.

XIX. Funding Policy for Proposal Cycle:

Grant Recipient Responsibilities:

Projects must operate under the jurisdiction of the institution and are subject to at least the same degree of accountability as all other departmental expenditures of the institution. The institution is responsible for the proper disbursement of, and accounting for, project funds. Written Institution policy, as well as State rules pertaining to wages, mileage and travel allowances, overtime compensation, fringe benefits, competitive bidding, safety regulations, and inventory control must be followed. Original supporting documents are required for all Grant Contract related transactions entered into the local agency's recordkeeping system. Documents that authorize the disbursement of grant contract funds consist of purchase orders, contracts, time & effort records, delivery receipts, vendor invoices, travel documentation and payment documents.

Supporting documentation for Grant Contracts must be kept for at least six years after the last payment was made unless otherwise specified by program requirements. Additionally, audit or litigation will "freeze the clock" for record retention purposes

until the issue is resolved. All records and documentation must be available for inspection by State Education Department officials or its representatives.

For additional information about grant contracts, please refer to the [Fiscal Guidelines for Federal and State Aided Grants](http://www.oms.nysed.gov/cafe/). <http://www.oms.nysed.gov/cafe/>

Institutional Obligation:

Applicants receiving a STEP grant are required to make a 25% match and have an obligation to honor the amount to which they have committed in the various budget categories. This obligation is reflected in the final budget agreed to by the State Education Department, the Office of the Attorney General, the Division of Budget, the Office of the State Comptroller, the Director of State Operations and the institution/agency. The budget may be amended by written approval of the Commissioner of Education and the Office of the State Comptroller.

Audit Procedures:

1. Submission of Final Expenditure Reports:

One original and one copy of the FS-10-F Short Form should be submitted directly to the Grants Finance Office by the last business day in July of each program year. To ensure accuracy, the FS-10-F Short Form should be completed by the institution's business office, and verified by the STEP director

2. Audit Correspondence:

During the audit of the FS-10-F Short Form, the institution's business office will be notified of possible disallowances on the Request for Audit Information Form (FS-70). The institution will have 15 days to respond to this notification. If the requested information is not received, questioned costs will be deleted and the final cost calculated. Upon completion of the audit, a copy of the audited FS-10-F Short Form will be mailed to the institution and a final payment, if due will be processed. If the audit results in a refund due, a Notice of Overpayment (form FS-80) will be mailed to the institution.

3. Reopening of Audits:

Once a project has been audited and closed, the contract recipient is allowed 90 days to reopen a project for further review. Requests should be submitted in writing to Grants Finance. If no request for additional review is made within this period, the audit findings are considered final. However, the State Education Department reserves the right to reopen a project after it has been closed to recover any un-allowed costs or reimburse any additional costs that have been disclosed through separate audits or reviews.

XX. BIDDERS CONFERENCE, QUESTIONS AND CORRESPONDENCE:

A Bidders Conference by Webinar will be posted at: [//www.highered.nysed.gov/kiap/step/](http://www.highered.nysed.gov/kiap/step/) on December 22, 2010. Eligible applicants planning to apply for funding are invited to view the presentation.

Questions may be submitted to: steprfp@mail.nysed.gov through December 29, 2010.

A question and answer summary will be posted at: <http://www.highered.nysed.gov/kiap/step/> no later than January 5, 2011.

Applications Due: Applications must be received by February 4, 2011.

Project Period: July 1, 2011 through June 30, 2015

Annual Operation Dates: July 1 through June 30

All other correspondence and requests for information concerning the STEP RFP should be submitted to:

New York State Education Department
Pre-Collegiate Preparation Programs Unit
Science and Technology Entry Program
89 Washington Avenue
Education Building Addition, Room 967
Albany, New York 12234
E-mail: steprfp@mail.nysed.gov

XXI. PUBLIC RELATIONS/ATTRIBUTIONS OF FUNDING:

In order to ensure the continued support and the commitment of resources to State-funded Science and Technology Entry Program projects, there must be public awareness of the program's positive impact on the lives of project participants and their families, schools, and communities. Positive publicity and community awareness also help to ensure that those who are eligible and who could benefit from participation are informed of the project's existence.

To facilitate public awareness, all funded Science and Technology Entry Program projects are required to ensure that all public relations materials and activities, such as project brochures and award ceremonies, acknowledge that the project and its activities are supported, in whole or in part, by a grant from the New York State Education Department. In addition, when local, statewide, or national media report on the project's success or on honors received by students or staff, New York State Education Department funding must be acknowledged.

In addition, the project director should submit copies of all local, statewide, or national media stories about the project and/or the project participants and staff to the State Education Department at the following address:

New York State Education Department
Pre-Collegiate Preparation Programs Unit
Science and Technology Entry Program
89 Washington Avenue
Education Building Addition, Room 967
Albany, New York 12234

Questions about this policy may be directed to the appropriate project liaison.

Note: The 2011-2015 STEP Guidelines are available on the web at:
<http://www.highered.nysed.gov/kiap/step>

2011-2015 APPLICATION FOR FUNDING
Science and Technology Entry Program

Instructions

Complete all parts of this form and include it as part of the application. One original and **three** copies of the completed application must be returned no later than February 4, 2011,

Name of institution: _____

Address: _____

Title: _____
Name of project director (if selected):

Address: _____

Phone: _____ Fax: _____ Email address: _____

Projected number of
program participants: Summer: _____ Academic year: _____ Unduplicated Count: _____

Unduplicated count: is the number of students participating in the summer plus all other academic year student participants who did not attend in the summer.

Assembly/Senate Districts _____

Name of person completing this form: _____ Date: _____

Title: _____ Phone: _____
(Area code) (Number) (Extension)

CEO name: _____

CEO signature: _____ Date: _____

Institution Name _____

Institution Table of Contents

Institution Name: _____

Program Name: _____

ABSTRACT

Provide a brief, precise statement below of the purpose and mission for the program. No other information should be included in the abstract.

Institution Name: _____

Program Name: _____

List all schools, school districts, and other organizations that will be involved in the planning, development, implementation, and evaluation of this project.

Name and address	School District	Contact person	Type of Organization ¹

¹ S = School, SD = School district, TC = Teacher center, CBO = Community-based organization, PO = Professional organization, B=Business; O=Other (specify)

Institution Name: _____
Program Name: _____

Project operation (check all that apply):

Duration of program: Summer _____ to _____

Academic year _____ to _____

Summer only: No. of weeks _____ Days per week _____

Academic year only: No. of weeks _____ After school: No. of hours per week _____

Summer and academic year: Total No. of weeks _____ Saturday: No. of hours per week _____

Programs should operate a minimum of 18 weeks during the academic year.

Indicate the anticipated number of students who will participate in this program according to grade level.

_____ Seventh grade

_____ Eighth grade

_____ Ninth grade

_____ Tenth grade

_____ Eleventh grade

_____ Twelfth grade

_____ TOTAL

List all programs having similar purposes that will be coordinated with this program.

Institution Name: _____
Program Name: _____

Check all that apply. (Any proposed activities checked must be substantiated in the text of the proposal narrative, XII, C)

Proposed Activities (Check term of activity Summer or Academic Year)	S	AY
1. Instruction in Mathematics: Algebra, Geometry, Algebra2/Trigonometry, Calculus. (Required)		
2. Instruction in Earth Science, Living Environment, Chemistry, Physics, (Required)		
3. Instruction and guidance for Regents exams, and college admissions exams i.e., PSAT, SAT, ACT (Required)		
4. Instructional Technology		
5. Tutorial services		
6. Academic, College and Career Counseling and Advisement		
7. Operation of a parent component (Required)		
8. Collaboration with program partners and among STEP and CSTEP Programs (Required)		
9. Trips to postsecondary institutions, conferences, business and industry, etc.		
10. Supervised STEP career oriented internships and research opportunities		
11. Other – please specify		

Instructions for addressing Priorities/Requirements, and Measures of Positive Performance Matrix

Attachment I pg.8-17 provides a separate chart for each priority/requirement. All nine of the listed priorities/requirements must be addressed; omission of any will reduce the number of points awarded.

When completing the priorities/requirements matrix, be sure to provide all requested information by including the following:

1. Descriptions of activities and/or services are broken out over a four year period, you are asked to show increasing measures of positive performance in each year. The proposed project must include required activities and/or services as indicated in Section VI: Program Requirements. It may also include other activities designed to achieve program purposes.
2. For each activity and/or service, indicate the staff that will be responsible for the implementation of each objective.
3. For each activity and/or service, indicate the staff responsible for each activity and/or service full-time equivalent (FTE). **Full-time equivalent (FTE)** is a way to measure a worker's involvement in a project, or a student's enrollment at an educational institution. An FTE of 1.0 means that the person is equivalent to a full-time worker; while an FTE of 0.5 signifies that the worker is only half-time.
4. For each activity and/or service, indicate the level of positive performance you feel the activity and/or service is providing in each year. For example: select Level One = Beginning, Level Two = Developing, Level Three = Proficient.

Priority 1: Program services designed to improve recruitment and retention of historically underrepresented male participants in all targeted grade levels

<p>Beginning Level 1</p>	<p>We do not provide services targeting the recruitment instead we focus on the retention of historically underrepresented male participants.</p>
<p>Developing Level 2</p>	<p>We provide services targeted at the recruitment and retention of historically underrepresented male participants in some but not all targeted grade levels.</p>
<p>Proficient Level 3</p>	<p>We provide services targeted at the recruitment and retention of historically underrepresented male participants in ALL targeted grade levels.</p>

Activities/Services	Staff Responsible	FTE	Level	Measure of Positive Performance
First Year:				<u>Describe performance outcomes using qualitative and quantitative measures:</u>
Second Year:				<u>Describe performance outcomes using qualitative and quantitative measures:</u>
Third Year:				<u>Describe performance outcomes using qualitative and quantitative measures:</u>
Fourth Year:				<u>Describe performance outcomes using qualitative and quantitative measures:</u>

Priority 2: Program services and activities designed to improve the recruitment and retention of Latino/Hispanic and Native American participants in all targeted grade levels.

Level	Measure of Positive Performance			
Beginning Level 1	We do not provide services targeting the recruitment or retention of Latino/Hispanic and Native American participants.			
Developing Level 2	We provide services targeting the recruitment and retention of Latino/Hispanic and Native American participants in some but not all targeted grade levels.			
Proficient Level 3	We provide services targeted at the recruitment and retention of Latino/Hispanic and Native American participants in ALL targeted grade levels.			
Activities/Services	Staff Responsible	FTE	Level	Measure of Positive Performance
First Year:				<u>Describe performance outcomes using qualitative and quantitative measures:</u>
Second Year:				<u>Describe performance outcomes using qualitative and quantitative measures:</u>
Third Year:				<u>Describe performance outcomes using qualitative and quantitative measures:</u>
Fourth Year:				<u>Describe performance outcomes using qualitative and quantitative measures:</u>

Priority 3: Program services designed to improve eighth grade students' test scores on the New York State Mathematics and Science Assessment Examinations.

Level	Measure of Positive Performance			
Beginning Level 1	We do not offer services to improve eighth grade test scores on NYS assessment examinations in math and science.			
Developing Level 2	We provide services targeting eighth grade test scores on NYS assessment examinations in both math and science.			
Proficient Level 3	We provide services for eighth graders that are specifically designed to improve eighth grade test scores in math and science.			
Activities/Services	Staff Responsible	FTE	Level	Measure of Positive Performance
First Year:				<u>Describe performance outcomes using qualitative and quantitative measures:</u>
Second Year:				<u>Describe performance outcomes using qualitative and quantitative measures:</u>
Third Year:				<u>Describe performance outcomes using qualitative and quantitative measures:</u>
Fourth Year:				<u>Describe performance outcomes using qualitative and quantitative measures:</u>

Requirement 1: Provide evidence of formal collaborations between the proposing institution and local education agencies such as local schools and school districts, CSTEP Programs, professional organizations, and/or other agencies that will be involved in the project.

Level	Measure of Positive Performance
Beginning Level 1	We do not have any formal collaboration with institutions and local education agencies and/or other agencies.
Developing Level 2	We actively pursue collaborations with local education agencies such as local school districts.
Proficient Level 3	We actively pursue collaborations with local institution and education agencies such as local school districts, professional organization, and other agencies that support our priorities and objectives. All collaborations have signed MOA.

Activities/Services	Staff Responsible	FTE	Level	Measure of Positive Performance
First Year:				<u>Describe performance outcomes using qualitative and quantitative measures:</u>
Second Year:				<u>Describe performance outcomes using qualitative and quantitative measures:</u>
Third Year:				<u>Describe performance outcomes using qualitative and quantitative measures:</u>
Fourth Year:				<u>Describe performance outcomes using qualitative and quantitative measures:</u>

Requirement 2: Provide program activities to assist students in acquiring the skills and aptitudes necessary to pursue postsecondary education leading to careers in scientific, technical, health-related fields, or the licensed professions.

Level	Measure of Positive Performance			
Beginning Level 1	We will measure academic skills. Examples: By utilizing sample Regents Tests and/or PSAT/ACT Testing methods			
Developing Level 2	Our program activities measure the aptitudes of our students pursuing postsecondary education and the results show that our students possess the ability, talent, and capacity to pursue postsecondary education.			
Proficient Level 3	We actively measure the aptitudes of our students pursuing postsecondary education leading to careers in scientific, technical, health-related fields, or the licensed professions, and the results show that our students possess the ability, talent, and capacity to pursue postsecondary education and the STEP related career goals. Examples: Measurement of aptitudes should encompass the following: Oral or written feedback, standardized test results, GPA, and postsecondary enrollment data			
Activities/Services	Staff Responsible	FTE	Level	Measure of Positive Performance
First Year:				<u>Describe performance outcomes using qualitative and quantitative measures:</u>
Second Year:				<u>Describe performance outcomes using qualitative and quantitative measures:</u>
Third Year:				<u>Describe performance outcomes using qualitative and quantitative measures:</u>
Fourth Year:				<u>Describe performance outcomes using qualitative and quantitative measures:</u>

Requirement 3: Prior to graduation programs must provide services to enhance and increase students' involvement in research, internships, college level coursework and/or service learning.

Level	Measure of Positive Performance			
Beginning Level 1	We are unable to provide services that increase student involvement in research.			
Developing Level 2	We encourage our students to learn about research, internship, and/or service learning programs by exposing them to workshops/seminars, on an annual basis.			
Proficient Level 3	We strongly encourage our students to seek out research opportunities, internships in the professions, college level coursework, and/or service learning initiatives. We have established partnerships with research facilities, service learning projects, and private industry.			
Activities/Services	Staff Responsible	FTE	Level	Measure of Positive Performance
First Year:				<u>Describe performance outcomes using qualitative and quantitative measures:</u>
Second Year:				<u>Describe performance outcomes using qualitative and quantitative measures:</u>
Third Year:				<u>Describe performance outcomes using qualitative and quantitative measures:</u>
Fourth Year:				<u>Describe performance outcomes using qualitative and quantitative measures:</u>

Requirement 4: Provide program services to enhance students' mathematical and scientific skills in accordance with the Advanced Regents Diploma.

Level	Measure of Positive Performance			
<p>Beginning Level 1</p>	<p>We do not offer services that enhance students' mathematic skills in preparation for the Advanced Regents Diploma.</p>			
<p>Developing Level 2</p>	<p>We encourage all students to take commencement level Regents Examinations in mathematics in accordance with the Advanced Regents Diploma requirements.</p>			
<p>Proficient Level 3</p>	<p>We encourage all students to take commencement level Regents Examinations in mathematics in accordance with the Advanced Regents Diploma requirements. In addition we provide mathematics workshops and tutoring courses in preparation for the examinations.</p>			
Activities/Services	Staff Responsible	FTE	Level	Measure of Positive Performance
First Year:				<p><u>Describe performance outcomes using qualitative and quantitative measures:</u></p>
Second Year:				<p><u>Describe performance outcomes using qualitative and quantitative measures:</u></p>
Third Year:				<p><u>Describe performance outcomes using qualitative and quantitative measures:</u></p>
Fourth Year:				<p><u>Describe performance outcomes using qualitative and quantitative measures:</u></p>

Requirement 5: Implement a parent component with clearly defined roles, responsibilities, and activities. Outline the relationship between the parent and the program.

Level	Measure of Positive Performance			
Beginning Level 1	We have not developed a parent component.			
Developing Level 2	We have a core group of parents who meet on regular basis.			
Proficient Level 3	We have a core group of parents who meet on a regular basis and who are actively engaged in the program planning and activities process.			
Activities/Services	Staff Responsible	FTE	Level	Measure of Positive Performance
First Year:				<u>Describe performance outcomes using qualitative and quantitative measures:</u>
Second Year:				<u>Describe performance outcomes using qualitative and quantitative measures:</u>
Third Year:				<u>Describe performance outcomes using qualitative and quantitative measures:</u>
Fourth Year:				<u>Describe performance outcomes using qualitative and quantitative measures:</u>

Requirement 6: Describe Day of Service planning, implementation, and assessment. The Day of Service Guidelines can be found in the Operations Manual located on our website <http://www.highered.nysed.gov/kiap/step>

Level		Measure of Positive Performance		
Beginning Level 1	We have not participated in Day-of-Service activities but we provide prospective students and parents with information.			
Developing Level 2	We participate in Day-of-Service activities between the months of October and May with one or more local schools to increase the awareness of STEP & CSTEP programs and opportunities in STEM, licensed professions, and healthcare related fields.			
Proficient Level 3	We offer Day-of-Service activities year round and during the months of October and May we collaborate with local institutions and local schools to share with students the opportunities that exist in the STEM, licensed professions, and healthcare related fields.			
Activities/Services	Staff Responsible	FTE	Level	Measure of Positive Performance
First Year:				<u>Describe performance outcomes using qualitative and quantitative measures:</u>
Second Year:				<u>Describe performance outcomes using qualitative and quantitative measures:</u>
Third Year:				<u>Describe performance outcomes using qualitative and quantitative measures:</u>
Fourth Year:				<u>Describe performance outcomes using qualitative and quantitative measures:</u>

STATEMENT OF ASSURANCES

Institution name: _____

Program: _____

1. The recipient will, if funded, operate a **Science and Technology Entry Program (STEP)** within the letter and spirit of all pertinent legislation and rules, including the 2011-2015 STEP Guidelines.
2. Funds from the State STEP award will supplement not supplant local expenditures and will not duplicate expenditures from other sources.
3. Within the four special populations fundable under STEP, the recipient will ensure equitable access and participation without regard to: religion, creed, disability, marital status, national origin, gender, genetic predisposition or carrier status, or sexual orientation.
4. The recipient institution does not discriminate in its programs and services on the basis of color, religion, creed, disability, marital status, veteran status, national origin, race, gender, genetic predisposition or carrier status, or sexual orientation.
5. All activities supported by State STEP funds will, to the extent possible, be accessible by persons with disabilities.
6. Upon request, the recipient will provide State Education Department staff access to its records and other sources of information concerning the operation of the STEP program.
7. All materials developed in whole or in part with the support of State STEP funds, including publicity releases and program announcements, will include the following statement:

Support for the development and production of this material was provided by a grant under the Science and Technology Entry Program administered by the New York State Education Department.

8. The State STEP funds requested will be used to prepare historically underrepresented minority and economically disadvantaged secondary school students for entry into postsecondary degree programs in scientific, technical and health-related fields, and the licensed professions. Students benefiting from these funds will be New York State residents.

CHIEF EXECUTIVE OFFICER CERTIFICATION	
I hereby certify that the information in this application is correct and in total compliance with appropriate State laws and regulations and that the program design will be carried out as described in the application.	
Signed* _____	Date _____
Chief Executive Officer	
Print name and title	

***Original signature of Chief Executive Officer is required.**

Vendor Responsibility Questionnaire

Check one of the following:

- My organization has filed its Vendor Responsibility Questionnaire online via the New York State VendRep System and that the current questionnaire was certified within the past six months.**
- I am including a completed paper copy of the Vendor Responsibility Questionnaire with the bid proposal.**
- My entity is exempt based on the OSC listing.**
- Other, explanation:** _____

Institution Name: _____
Unduplicated Number of Students to Be Served: _____

2011-2012 STEP Composite Budget

Line No.	Expenditure Category	Code	STEP (1)	Institution (2)	Other Sources (3)	TOTAL (4)
1	Salaries for Professional Personnel	15				
2	Salaries for Non-Professional Personnel	16				
	a. Clerical/Secretarial					
	b. Student Assistants					
	c. Other					
3	Purchased Services	40				
4	Supplies & Materials	45				
	a. Instructional					
	b. Other					
5	Travel Expenses	46				
	a. Student/Programmatic					
	b. Staff/Administrative					
6	Employee Benefits	80				
	a. Professional ___%					
	b. Clerical/Secretarial ___%					
	c. Student Assistants ___%					
	d. Other ___%					
7	SUBTOTAL of Lines 1-6					
8	Indirect Cost*	90				
9	BOCES Services	49				
10	Minor Remodeling	30				
11	Equipment	20				
12	GRAND TOTAL (Lines 7 - 11)					
13	Unduplicated Number of Students served					
14	Cost per student					

*Expenditures for Indirect Cost may not exceed 8% of STEP funds (col. 1, line 7). Expenditures for Indirect Cost may not exceed 20% of institutional funds (SUBTOTAL col. 2, line 7). Equipment is not included when computing Indirect Cost.

Complete the Proposed Budget FS-10 which may be found in Word or Excel format at
<http://www.oms.nysed.gov/cafe/forms/>

A Payee Information (or PI) form, found on the following pages, is required from grant/Request for Proposals applicants that have not previously received grant funding from the Department. The form is submitted with the grant application or RFP. A new form must also be submitted when an agency's payment address changes.



PAYEE INFORMATION

In order to receive funds from the NYS Education Department, **ALL SECTIONS** of this form will need to be completed and returned with **original signature** to the Education Department program office as part of your grant application.

Section I: Institution Identifying Information

Exact Legal Name of Agency	Contact Person/Telephone Number
-----------------------------------	---------------------------------

Please print or type	Business name, (if different from above)
	Payment/Fiscal Agent (if different from above)
	Address (number, street, and apt. or suite no.) to which checks will be mailed
	City, State, and ZIP code (+ 4 digits) or Foreign City, Country & Postal Code

Federal Employer Identification Number (FEIN) of this agency is: -

* Provide FEIN of recipient agency regardless of payment/fiscal agent

Municipality Code (if agency is a local government):

Section II: Agency Profile

1. This agency is a (check one) Non-Profit Organization For Profit Organization
2. This agency is a (check one) Sectarian Organization Non-sectarian Organization
3. Is this agency chartered or incorporated by the New York State Board of Regents? (Check one) Yes No
4. Is any member of the Board of Directors an employee of the NYS Education Department?
 Yes, please name _____ No

Section III: Charity Registration Number Status (NON-PROFIT ORGANIZATIONS ONLY)

Answer **ONE** of the four questions listed below.

1. The charity registration number (**NOT** a tax exempt or Federal ID number) of this organization is:
_____.
2. This organization has applied for a charity registration number from the Office of Attorney General but has not as yet been notified of the authorized number granted.
3. This organization is exempt from the requirement of registering with the Office of Attorney General as a charitable organization because it receives less than \$25,000 in total from governmental agencies.

4. This organization is exempt from registering with the Office of Attorney General - Bureau of Charities Registration as a charitable organization pursuant to the categories indicated on the Office of Attorney General's Schedule E: Request for Exemption (<http://www.oag.state.ny.us/bureaus/charities2/pdfs/char410SchE.pdf>). Please check the appropriate exemption types(s) as applicable and provide the exemption code number(s).

EPTL (Estates, Powers & Trusts Law) Exemption Only
EPTL #: _____ (#1 thru #13)

Article 7-A (of the Executive Law) Exemption Only
Article 7-A #: _____ (#1 thru #15)

Dual – EPTL & Article 7-A Exemption
EPTL #: _____ (#1 thru #13)
Article 7-A #: _____ (#1 thru #15)

Please refer to the updated Bulletin G-79 (Procurement & Disbursement Guidelines – Contracts with Non-Profit Organizations) from the NYS Office of the State Comptroller (http://www.osc.state.ny.us/agencies/gbull/g_79.htm).

Section IV: Certification

I hereby certify that the information herewith provided is to the best of my knowledge both accurate and true.

Chief Administrative Agency Official/Authorized Designee (**Please Print**)

Signature - Chief Administrative Agency Official/Authorized Designee

Date

SED USE ONLY: Deputy Area/Program Office

Institution ID:

8	0	0	0	0	0
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I have reviewed the payee information contained herein and hereby approve this agency for payment.

Program Manager (**Please Print**)

Deputy Area/Program Office

Signature - Program Manager

Date

SED USE ONLY: Grants Finance

SED Agency Number/BEDS Code (if applicable):

--	--	--	--	--	--

--	--

--	--	--	--

Institution Type:

--	--	--	--

Institution Subtype:

--	--	--	--

Interest Eligible: yes no

Reviewer: _____

Date: _____

Complete **all sections** of the form in accordance with the instructions indicated below.

Section I: Institution Identifying Information

self-explanatory

Section II: Agency Profile

Question 1: Self-explanatory.

Question 2: A sectarian organization is defined as one which is affiliated with a particular religious group. A non-sectarian organization has no religious affiliation.

Question 3: "Chartered or incorporated" here means created by the NYS Board of Regents.

Question 4: Self-explanatory.

Section III:

Article 7-a of the Executive Law requires that, with certain exemptions, non-profit organizations which receive funding of \$25,000 or more in total from governmental agencies must register with the Department of State as a charitable organization.

Office of the State Comptroller Bulletin No. G-79, <http://www.osc.state.ny.us/agencies/gbull/g-79.htm>, clarifies the procedure for providing charities registration information for State contracts with non-profit organizations.

In order for the New York State Education Department to comply with the provisions of Bulletin No. G-79, you are requested to read the **updated** Bulletin and then to answer **ONE** of the four question(s) included in Section III.

Section IV:

Be sure to complete this section with an original signature.

NOTE:

If any of the information provided here changes, please be sure to notify the Program Office to which your grant application was sent.

2011-2015 STEP Application
Proposal Application Checklist

Applicant Name: _____

Listed below are the components of a complete application package, in the order they should appear. Use this checklist to ensure that your application submission is in compliance with the application requirements. The checklist must be included with proposal application.

<u>Request for Proposal Sections</u>	<u>Checked-Applicant</u>	<u>Checked-SED</u>
A. 2011-2015 Application for Funding (Attachment I pg. 1-18) (Original signature required)	<input type="checkbox"/>	<input type="checkbox"/>
B. Table of Contents (Attachment I pg. 2-18)	<input type="checkbox"/>	<input type="checkbox"/>
C. Statement of Assurances (Attachment I pg.17) (Original signature required)	<input type="checkbox"/>	<input type="checkbox"/>
D. Vendor Responsibility Questionnaire Acknowledgement of Completion (Attachment I pg 18)	<input type="checkbox"/>	<input type="checkbox"/>
E. Proposal Narrative (Attachment I pg.5-16)	<input type="checkbox"/>	<input type="checkbox"/>
F. 2011-2012 Proposed Budget Form FS-10	<input type="checkbox"/>	<input type="checkbox"/>
G. STEP Composite Budget (Attachment II pg. 1)	<input type="checkbox"/>	<input type="checkbox"/>
H. New Payee Information PI-1 Form (Attachment II pg. 2-4) (Original signature required)	<input type="checkbox"/>	<input type="checkbox"/>
I. Proposal Application Checklist	<input type="checkbox"/>	<input type="checkbox"/>

Name of person (applicant) completing this form: _____ Date: _____

Title: _____ Telephone: _____

Fax: _____ Email: _____

**PROPOSAL RUBRIC
SCIENCE AND TECHNOLOGY ENTRY PROGRAM
2011-2015**

Name of Institution _____

Proposal Number _____

Date Sent to Reviewer: _____

Reviewer: _____

Total Score: _____

Please rate and provide detailed comments for each category at the end of the review sheet. Indicate strengths and weaknesses of this proposal and make suggestions for improvement. State your concerns and recommendations clearly because they may be presented to the proposing institution/entity for a response. Further, comments and concerns will be helpful to Science and Technology Entry Program staff as they provide technical assistance to improve and enhance funded programs. If you need additional space, please feel free to staple additional pages to this form and indicate the item to which each comment refers.

Stamp Date Returned

STEP Proposal Rubric

Narrative

Rating Guidelines:

- Excellent - Specific and comprehensive. Complete, detailed, and clearly articulated information as to how the criteria are met. 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. 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 meet the criteria, fails to provide information, provides inaccurate information, or provides information that requires substantial clarification as to how the criteria are met.
- N/A - Not Acceptable. Does not address the criteria or simply re-states the criteria.

Reviewers should enter a score in the “Your Rating” boxes at the right for each sub-category. Scores cannot exceed the maximum value for a subcategory. For example in A.1. below, the maximum score that the sub-category can earn is 5, the reviewer can rate the category between 5-4 for Excellent, 4-3 for Good, 3-2 for Fair, 2 or below for Poor and 0 for Not Acceptable.

STEP Proposal Rubric

	Excellent (Max Score)	Good	Fair	Poor	N/A	Your Rating
A. Institutional Expertise						
1. The applicant summarizes the institutions expertise and commitment in providing services to similar populations regarding science, technology, engineering, and health-related careers, and the licensed professions.	5	4	3	2	0	
SUBTOTAL						
Comments:						

STEP Proposal Rubric

	Excellent (Max Score)	Good	Fair	Poor	N/A	Your Rating
B. Cooperative Relationships [4 points]						
1. The applicant describes how the following collaborating partners will support student & program initiatives. <ul style="list-style-type: none"> • Businesses • Community-based organizations • Licensed professionals 	2	1	.5	.25	0	
2. The applicant describes their participation in the Statewide and/or Regional Networks.	2	1	.5	.25	0	
SUBTOTAL						
Comments:						

STEP Proposal Rubric

	Excellent (Max Score)	Good	Fair	Poor	N/A	Your Rating
C-1. Priority 1: Program services designed to improve recruitment and retention of historically underrepresented male participants in all targeted grade levels. [5 point] (See Attachment I pg.8)						
1. The applicant describes activities and services that support program priorities.	2	1	.5	.25	0	
2. The applicant describes the performance criteria and how positive performance will be verified.	3	2	1	.5	0	
SUBTOTAL						
Comments:						

STEP Proposal Rubric

	Excellent (Max Score)	Good	Fair	Poor	N/A	Your Rating
C-1. <i>Priority 2:</i> Program services and activities designed to improve the recruitment and retention of Latino/Hispanic and Native American participants in all targeted grade levels. [5 points] (See Attachment I pg.9)						
1. The applicant describes activities and services that support program requirements.	2	1	.5	.25	0	
2. The applicant describes the performance criteria and how positive performance will be verified.	3	2	1	.5	0	
SUBTOTAL						
Comments:						

STEP Proposal Rubric

	Excellent (Max Score)	Good	Fair	Poor	N/A	Your Rating
C-1. <i>Priority 3</i>: Program services designed to improve eighth grade students' test scores on the New York State Mathematics and Science Assessment Examinations. [5 points] (See Attachment I pg.10)						
1. The applicant describes activities and services that support program requirements.	2	1	.5	.25	0	
2. The applicant describes the performance criteria and how positive performance will be verified.	3	2	1	.5	0	
SUBTOTAL						
Comments:						

STEP Proposal Rubric

	Excellent (Max Score)	Good	Fair	Poor	N/A	Your Rating
C-2. Requirement 1: Provide evidence of formal collaborations between the proposing institution and local education agencies such as local schools, CSTEP Programs, professional organizations, and/or other agencies that will be involved in the project. [8 point] (See Attachment I pg.11)						
1. The applicant describes activities and services that support program requirements.	2	1	.5	.25	0	
2. The applicant describes the performance criteria and how positive performance will be verified.	4	3	2	1	0	
3. Includes signed Memorandum of Agreement (MOA)	2	1	.5	.25	0	
SUBTOTAL						
Comments:						

STEP Proposal Rubric

	Excellent (Max Score)	Good	Fair	Poor	N/A	Your Rating
C-2. Requirement 2: Provide program activities to assist students in acquiring the skills and aptitudes necessary to pursue postsecondary education leading to careers in scientific, technical, health-related fields, or the licensed professions. [6 points] (See Attachment I pg.12)						
1. The applicant describes activities and services that support program requirements.	2	1	.5	.25	0	
2. The applicant describes the performance criteria and how positive performance will be verified.	4	3	2	1	0	
SUBTOTAL						

STEP Proposal Rubric

	Excellent (Max Score)	Good	Fair	Poor	N/A	Your Rating
C-2. Requirement 3: Prior to graduation programs must provide services to enhance and increase students' involvement in research, internships, college level coursework and/or service learning. [6 points] (See Attachment I pg.13)						
1. The applicant describes activities and services that support program requirements.	2	1	.5	.25	0	
2. The applicant describes the performance criteria and how positive performance will be verified.	4	3	2	1	0	
SUBTOTAL						
Comments:						

STEP Proposal Rubric

	Excellent (Max Score)	Good	Fair	Poor	N/A	Your Rating
C-2. Requirement 4: Provide program services to enhance students' mathematical and scientific skills in accordance with the Advanced Regents Diploma. [6 points] (See Attachment I pg.14)						
1. The applicant describes activities and services that support program requirements.	2	1	.5	.25	0	
2. The applicant describes the performance criteria and how positive performance will be verified.	4	3	2	1	0	
SUBTOTAL						
Comments:						

STEP Proposal Rubric

	Excellent (Max Score)	Good	Fair	Poor	N/A	Your Rating
C-2. Requirement 5: Implement a parent component with clearly defined roles, responsibilities, and activities. Outline the relationship between the parent and the program. [6 points] (See Attachment I pg.15)						
1. The applicant describes activities and services that support program requirements.	2	1	.5	.25	0	
2. The applicant describes the performance criteria and how positive performance will be verified.	4	3	2	1	0	
SUBTOTAL						
Comments:						

STEP Proposal Rubric

	Excellent (Max Score)	Good	Fair	Poor	N/A	Your Rating
C-2. Requirement 6: The applicant describes Day-Of-Service planning, implementation, and assessment [6 points] (See Attachment I pg.16)						
1. The applicant describes activities and services that support program requirements.	2	1	.5	.25	0	
2. The applicant describes the performance criteria and how positive performance will be verified.	4	3	2	1	0	
SUBTOTAL						
Comments:						

Attachment IV pg. 14 - 17
STEP Proposal Rubric

	Excellent (Max Score)	Good	Fair	Poor	N/A	Your Rating
D. Recruitment [8 points]						
1. Applicant describes all strategies and activities that will be used to recruit and select participants.	4	3	2	1	0	
2. Applicant describes academic profile: total grade point average (GPA), science and math grade point average, Regents test scores for Integrated Algebra, Geometry, Algebra2/Trigonometry, Earth Science, Living Environment, Chemistry, and Physics.	2	1	.5	.25	0	
3. Applicant lists non-academic criteria that must be met in order for prospective participants to enroll e.g. interview, personal statement, letters of recommendation	2	1	.5	.25	0	
SUBTOTAL						
Comments:						

STEP Proposal Rubric

	Excellent (Max Score)	Good	Fair	Poor	N/A	Your Rating
E. Retention [5 points]						
1. Applicant describes all strategies and activities used to retain students.	2	1	.50	.25	0	
2. Applicant describes student tracking by grade level.	2	1	.50	.25	0	
3. Applicant provides a timeline of recruitment and retention activities.	1	.75	.50	.25	0	
SUBTOTAL						
Comments:						

STEP Proposal Rubric

	Excellent (Max Score)	Good	Fair	Poor	N/A	Your Rating
F. Project Staffing and Management [5 points]						
1. Describing all professional positions (full and part-time) assigned directly to the project.	2	1.	.50	.25	0	
2. Applicant provides resumes for all professional staff.	1	.75	.50	.25	0	
3. Applicant describes a management plan that assures the effective completion of project activities	1	.75	.50	.25	0	
4. Applicant provides project organization chart. or Consortium organization chart	1	.75	.50	.25	0	
SUBTOTAL						
Comments:						

TECHNICAL PROPOSAL RATING SCORE

Proposal narrative score: 80

A.	Institutional Expertise	(5 pt. max)	_____
B.	Cooperative Relationships	(4 pt. max)	_____
C-1.	Program Priorities And Measures of Positive Performance	(15 pt. max)	_____
C-2.	Program Requirements And Measures of Positive Performance	(38 pt. Max)	_____
D.	Recruitment	(8 pt. max)	_____
E.	Retention	(5 pt. max)	_____
F.	Project Staffing/Management	(5 pt. max)	_____
Total A-F =		(80 pt. maximum)	<input type="text"/>