

The University of the State of New York
THE STATE EDUCATION DEPARTMENT
Office of Access, Equity & Community Engagement Services

Office of Postsecondary Access, Support & Success
89 Washington Avenue, Room 960 EBA
Albany, New York 12234

**Science and Technology Entry Program
Guidelines for Submission of Proposals
For the Period July 1, 2025 – June 30, 2030
RFP #GC25-001**

Proposals must be received by 11/26/2024

**Announcement of Funding Opportunity for the
Science and Technology Entry Program 2025-2030
Request for Proposals (RFP) #GC25-001**

Background:

The New York State Education Department is pleased to announce competition for Science and Technology Entry Program (STEP) grant contracts for the period of July 1, 2025, through June 30, 2030, pending annual appropriations in the New York State Budget.

Legislative Authority:

In 1985, the New York State Legislature passed an amendment to Education Law Chapter 31, Article 130, § 6454, to authorize the use of funds under the Science and Technology Entry Program (STEP).

Purpose/Goal:

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

Eligible Applicants:

According to § 145-6.5 of the Commissioner's Regulations, eligible applicant means a New York State degree-granting postsecondary institution 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. The institution submitting the proposal, or if the applicant represents a consortium then at least half of the institutions in the 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:

Project Period: July 1, 2025, through June 30, 2030

October 8, 2024: An informational webinar will be posted at NYSED's [STEP website](#).

October 22, 2024: Deadline for questions to be submitted to steprfp@nysed.gov

November 5, 2024: A Question and Answer Summary will be posted at: NYSED's [STEP website](#).

November 12, 2024: Non-Mandatory Notice of Intent due. See *Non-Mandatory Notice of Intent* section below.

November 26, 2024: Applications due by 5 p.m. Eastern Time

November 26, 2024: Nonprofits must be prequalified by 5:00 p.m. Eastern Time

Funding:

During the 2023-2024 program year, \$21,507,680 was awarded to 56 projects. Future awards depend on annual legislative appropriation, but it is anticipated that funding will continue at the same approximate levels. This RFP covers a five-year funding cycle from July 1, 2025, through June 30, 2030. There is a 25% match required for each year of funding from a combination of institutional and/or other non-NY state funds. The maximum award for an individual STEP project funded during the 2025-2030 cycle will be \$600,500 per year. The maximum award for any newly funded individual STEP project will be \$299,500. The maximum award for a consortium STEP project will be \$999,500.

APPLICATION SUBMISSION

New applicants for the STEP grant and current grantees must create and test or only test their GoAnywhere accounts respectively by November 13, 2024, to be able to submit the grant application. Applicants without access to GoAnywhere should send an email to steprfp@nysed.gov to request access.

Please submit the complete application on GoAnywhere at [GoAnywhere Website Login](#) by **November 26, 2024**, as follows:

- Proposal Narrative application and any attachments in Word and/or searchable/editable PDF files.
- Work Plan. Use the template posted with the RFP. The work plan includes all five years of the program.
- [FS-10 budget form](#). Non-Profit and For-Profit applicants should complete and submit five separate FS-10 budgets, or one for each year of the program. Utilize the Excel version of the FS-10.
- Budget Narrative, which provides description for all expenses entered onto the five FS-10 budgets. The Budget Narrative justifies all proposed expenditures, which must include details clarifying their nature, and the method of the calculation for each cost. Please utilize the STEP Budget Narrative form located on the [STEP website](#).
- M/WBE Package. Utilize the packet included in this RFP. Applicants must complete one set of MWBE documents to cover all five years of the program.
- Signed and scanned application Cover Page.

If there are technical issues and you cannot submit your application by [GoAnywhere](#), contact steprfp@nysed.gov at least three business days before the deadline to request alternative means of submission. However, even if an alternative submission method is used, applications must be received by the deadline above.

The following forms of e-signatures are acceptable:

- handwritten signatures on faxed or scanned documents
- e-signatures that have been authenticated by a third-party digital software, such as DocuSign and Adobe Sign
- stored copies of the images of signatures that are placed on a document by copying and pasting or otherwise inserting them into the documents.

Unacceptable forms of e-signatures include a typed name, including a signature created by selecting a script or calligraphy font for the typed name of the person "signing."

PREQUALIFICATION REQUIREMENT

Pursuant to the New York State Division of the Budget bulletin H-1032 (revised January 9, 2024), nonprofit organizations must Prequalify to do business with New York State agencies before they can compete for State grants. The process allows nonprofits to address questions and concerns prior to entering a competitive bid process. Nonprofits are strongly encouraged to begin the Prequalification process as soon as possible.

To become prequalified, a nonprofit must first register with Statewide Financial System (SFS). Once registered, nonprofits complete an online Prequalification application. This includes completing a series of forms by answering basic questions regarding the organization and uploading key organizational documents.

Detailed information on how to [register](#) with SFS and [become prequalified](#) is available on the [Grants Management](#) website.

Disclaimer: New York State reserves 5-10 business days from the receipt of complete Prequalification applications to conduct its review. If supplementary information or updates are required, review times will be longer. Due to the length of time this process could take to complete, it is advised that nonprofits Prequalify as soon as possible. Failure to successfully complete the Prequalification process early enough may result in a grant application being disqualified.

Nonprofits must receive approved prequalification status prior to grant application and execution of contracts. Grant proposals received from nonprofits that are not Prequalified in SFS by 5:00 PM on the application due date of November 26, 2024, will not be evaluated. Such proposals will be disqualified from further consideration.

NON-MANDATORY NOTICE OF INTENT (NOI)

The Notice of Intent is not a requirement for submitting a complete application by the application date; however, NYSED strongly encourages all prospective applicants to submit an NOI to ensure a timely and thorough review and rating process. A non-profit applicant's NOI will also help to facilitate timely review of their prequalification materials. The notice of intent is a simple email notice stating your organization's (use the legal name) intent to submit an application for this grant. The NOI due date is November 12, 2024. Please send the NOI to steprfp@nysed.gov.

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DEFINITIONS OF FREQUENTLY USED TERMS

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

Consortium: For the purposes of this RFP, a consortium is defined as an association or grouping of institutions set up for a common purpose that would be beyond the capabilities of a single member of the group. A consortium must meet all requirements established in NYSED's Consortium Policy for State and Federal Discretionary Grant Programs found in Section VI of this RFP.

Current Program: This includes all institutions applying under this RFP that have an existing Science Technology Entry Program at their institution.

Domicile: For the purposes of NYS residency determination for STEP, a permanent residence or domicile shall mean the person's legal home. A person may have more than one residence; however, they will have one domicile or permanent residence. The permanent residence or domicile (rather than the temporary residence) controls the jurisdiction for taxation and for the exercise of legal rights.

Economically Disadvantaged: For the purpose of STEP, a student who is economically disadvantaged means a student who is a member of a household that meets the following income eligibility standards: The total annual income of such household is equal to or less than 185 percent of the amount under the annual United States Department of Health and Human Services poverty guidelines for the applicant's family size for the applicable year. The income eligibility standards will be published annually by NYSED for the 2025-2030 funding cycle. The income eligibility standards apply only at the time of admission as a first-time student to a STEP program. Once admitted, a student may continue to receive supportive services as needed, even if the family income rises above the current income eligibility standards.

Additional documentation of household income need not be collected to determine eligibility under economic disadvantage if the student falls into one of the following categories, and documentation is available to demonstrate:

- A. the student's family is the recipient of family assistance program aid or safety net assistance through the New York State Office of Temporary and Disability Assistance or a county department of social services; or is the recipient of family day-care payments through the New York State Office of Children and Family Services or a county department of social services;
- B. the student is living with foster parents and no monies are provided from the natural parents;
- C. the student is a ward of the State or a county; or
- D. the student is independently eligible to receive free or reduced lunches at their secondary school (verified by the school).

First Generation College Goer: A student from a family in which neither parent (whether natural or adoptive) has pursued post-secondary education.

Full-Time Equivalent (FTE): A way to measure a worker's involvement in a project. Full-time equivalent for staff is defined as the percent effort for each activity and/or service provided by the worker. An FTE of 1.0 means that the person is equivalent to a full-time worker and spends 100% of their time on the project; an FTE of 0.5 signifies that the worker spends half of their time serving the project.

Headcount: Refers to the number of unduplicated, full-time student participants enrolled and receiving services in a program during any given fiscal year.

Historically Underrepresented Minority: According to § 145-6.5 of the Commissioner’s Regulations, minorities historically underrepresented in the scientific, technical, health and health-related professions means residents of New York State or permanent resident aliens residing in New York State who are Black or African American, Hispanic/Latino(a), American Indian or Alaskan native.

Institutional Match: The total amount of funds that the institution contributes toward STEP from its own or other resources (state grants are excluded) for the purposes of administering STEP.

Licensed Profession: To view the list of professions that are licensed, registered, or certified by the Board of Regents for New York State, please visit the [Office of the Professions website](#).

Minority or Minority Student Group: See “Historically Underrepresented Minority.”

MOU (Memorandum of Understanding): A written document or agreement between the school district and the IHE (Institute of Higher Education) partners that delineates all roles and responsibilities with which the parties shall commit to in the contract.

New York State Residency: The student is a resident of the State if the individual’s domicile is in New York State and the student is enrolled in grades 7 through 12.

Program Year: For purposes of this RFP, July 1 through June 30 constitutes a program year.

Scientific Field: Per § 6454 of the Education Law, a scientific field shall include those fields in the natural sciences (i.e. physical and life sciences), and those fields in the decision sciences (i.e. decision theory, logic, mathematics, statistics, systems theory, theoretical computer science) or where 70% of the registered program credits are in the mathematical and/or scientific departments.

Summer Session: Interim sessions between academic school years. Summer sessions would typically take place in July and August.

Start-up Programs: This includes all institutions applying under this RFP which do not have a current Science and Technology Entry Program at their institution.

STEP Student: an active member of a participating STEP project who is also a student enrolled in an appropriate grade at an eligible school. Active shall be defined as having applied for and then accepted into STEP at the institution and participation in STEP activities. Participation in the number of activities per semester will be defined by the STEP institution.

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

Technical Field: Per § 6454 of the Education Law, technical fields are those fields in the applied sciences (i.e. medical support fields, engineering support fields, computer science, etc.) or will pursue a career that requires at least two semesters of calculus or statistics, and both a full year introductory science course and science courses at above the introductory level.

GUIDELINES FOR PROGRAMS

I. INTRODUCTION

The New York State Education Department is pleased to announce competition for the Science and Technology Entry Program (STEP) grant contracts for the period of July 1, 2025, through June 30, 2030, pending annual appropriations in the New York State Budget.

II. PURPOSE

According to § 6454 of the Education Law, STEP “shall be to assist eligible students in acquiring the skills, attitudes and abilities necessary to pursue professional or pre-professional study in post-secondary degree programs in scientific, technical and health-related fields.”

III. INSTITUTIONAL ELIGIBILITY

According to § 145-6.5 of the Commissioner’s Regulations, eligible applicant means “a degree-granting postsecondary institution, or a consortium of such institutions, which offers an approved undergraduate program of study and/or an approved graduate level program of study.” A consortium is defined as an association or grouping of institutions set up for a common purpose that would be beyond the capabilities of a single member of the group. Each institution may submit more than one proposal only if the institution has two or more geographically separate campuses and serves different schools/districts with their own distinct contracted and unduplicated headcount. An institution may not submit applications as both a consortium and stand-alone program unless the programs are located on and serve two geographically separate campuses.

Although SUNY and CUNY colleges may use their respective “Research Foundation” as their fiscal agent if they receive a STEP award, the Research Foundation is not a degree-granting institution and therefore cannot be the applicant. A consortium must meet all requirements established in NYSED’s Consortium Policy for State and Federal Discretionary Grant Programs found in Section VI of this RFP. Both non-profit and for-profit institutions are eligible to apply.

The institution submitting the proposal, or if the applicant represents a consortium, then at least half of the institutions in the 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. Both non-profit and for-profit institutions are eligible to apply.

Education Law § 6454 states that grants shall be awarded to eligible applicants based upon the following criteria:

- A.** an established record of conducting effective collaborative educational programs with neighboring secondary schools;
- B.** the ability and willingness to cooperate with other postsecondary institutions in operating a program funded pursuant to this section;
- C.** the capacity to secure or provide additional support in amounts equal to at least twenty-five percent of the grant sought under this section through private and other governmental sources and through in-kind services;

- D. A location within a school district with an enrollment comprised of at least twenty percent minority group students or a location near such a district that is 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 historically underrepresented or economically disadvantaged in the scientific, technical, health-related, and licensed professions.

For the purpose of STEP, a student is eligible to participate if the student is:

- a New York State resident (The student is a resident of the State if the individual's domicile is in New York State and the student is enrolled in grades 7 through 12) and interested in pursuing careers in the scientific, technical, health-related, and licensed professions;
- **and** either a minority historically underrepresented (Black or African American, Hispanic/Latino, American Indian or Alaska Native);
- **or** economically disadvantaged (the student must meet the income eligibility criteria distributed by NYSED).

Documentation

- A. Institutions approved for funding are required to develop an application for STEP participants. 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 monitoring each student's academic progress, including mathematics and science coursework for the duration of their participation in the program.
- B. 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.
- C. Economic disadvantage documentation could include a copy of the parent's or legal guardians signed most recent year's tax returns (IRS form 1040, 1040A, 1040EZ or 4506) or proof of free or reduced lunch eligibility. The economic eligibility standards set forth apply only at the time of admission as a first-time student to a STEP program. Annual income eligibility criteria will be distributed by NYSED.
- D. To be accepted, all required documentation must be complete. 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 consortia's case, a copy of each student's application must be available at the home campus site and at the lead institution or project headquarters.

V. PROGRAM REQUIREMENTS

Institutions that receive a STEP award will be required to:

- A. Provide assistance to eligible students in acquiring the skills, attitudes, and abilities necessary to pursue professional or pre-professional study in post-secondary degree programs in scientific, technical, and health-related fields.

B. Prepare and deliver curriculum-related activities and services that include:

1. comprehensive program activities that emphasize the concrete aspects of the scientific, technical, or health-related discipline as it relates to a professional career, through laboratories, relevant work experience opportunities, or similar activities.
2. academic, career and financial aid advisement to ensure that such students are fully aware of the opportunities and necessary preparations for professional careers in scientific, technical, or health-related fields.
3. quantifiable measures to assess the effectiveness of the activities and services in promoting the purposes of the Science and Technology Entry Program,
 - including the persistence rate of participating students;
 - the persistence rate of participating students in completing mathematics and science courses in an academic track;
 - the college placement rate of participating students in professional or pre-professional programs in scientific, technical, or health-related fields.
4. effective collaborative educational programs with neighboring secondary schools; the ability and willingness to cooperate with other postsecondary institutions in operating a program;
5. a location within a school district, or at least half of the institutions in the consortium, with an enrollment comprised of at least twenty percent (20%) minority group students or a location near such a district that is accessible by public transportation.

C. Ensure that STEP is an academic opportunity program that must be overseen by academic or student affairs at the institution and provide suitable institutional support.

PROPOSED for 2025-2030 RFP:

STEP Suggested Minimum Staffing:

Per the chart below, the number of staff should match the requested contracted headcount (number of students to be served) for the application, and all professional staff should have a background working with students in grades 7-12.

Contracted Headcount	Professional Staff FTE Required
50 – 99	.5
100 – 199	1
200– 299	1.5
300-399	2
400 and up	2.5

The project lead for the proposed STEP project should report directly to senior level administrator of the institution. A senior level administrator is one who directly reports to either the institution’s President, Chief Academic/Student Affairs Officer and/or governing board.

- D. 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 grades 7-12.
- E. 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 career advisement to apprise students of the opportunities and prerequisites for the pursuit of careers in science, technology, and health-related fields, and the licensed professions.
- F. Provide services and activities to enhance and increase students’ mathematical skills, and experiences in the sciences and laboratory science in accordance with the current NYSED standards for high school graduation. 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 the most current NYS learning standards, which can be found at the [NYSED website](#).
- G. Provide at least one MOU (Memorandum of Understanding) between the proposing institution and a local public, private and/or charter school or district. An MOU with a partner school must include authorization for the applicant institution to obtain and review school records, which include but are not limited to report cards, transcripts, attendance records, and college acceptance letters. Such shared educational information on the STEP participant between the applicant and school district will be handled in accordance with the Family Educational Rights and Privacy Act (FERPA) and all information obtained will remain confidential, in accordance with all applicable New York State laws.
- H. Promote and encourage collaborations with Statewide & Regional partners:
 - 1. Collaborate with the Collegiate Science and Technology Entry Program (CSTEP) (e.g., generate a list of high school juniors to share with CSTEP projects or share list of STEP alumni attending CSTEP institutions, etc.).
 - 2. Participate in Statewide & Regional Network Committees.
- I. Implement a parent component with clearly defined roles, responsibilities, and activities. Establish a relationship between the parents and the program. The parent group must meet at least twice a semester.
- J. Develop and implement a STEP Advisory Committee with membership representatives from various stakeholder groups, such as students, parents, local K-12 administrators/teachers, and campus faculty/staff, and designated individuals for which the program holds an MOU. The purpose of the STEP Advisory Committee is to meet, at minimum, annually to discuss upcoming programming or the calendar of events and assist with the self-review process.
- K. Provide all students with an opportunity to participate in Service-Learning. Students should be made aware of what Service-Learning is, how it relates to their studies and the benefits of this collaborative and collective activity. Service-Learning projects can involve direct and indirect services that students could provide to their communities.
- L. Ensure audit accountability, as each institution must adhere to the Generally Accepted Accounting Principles and reflect STEP and institutional monies by line item, separate from all other institutional accounts. State, institutional, Federal, and other grant funds must be clearly delineated.

- M. Provide a minimum of 25% matching funds from institutional, governmental (other than New York State) and other in-kind sources.

All STEP projects are required to conduct a summer program that may include, but not be limited to, research experience, internship opportunities, academic support and/or career exploration.

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.

VI. NYSER CONSORTIUM POLICY FOR STATE AND FEDERAL DISCRETIONARY GRANT PROGRAMS

- A. The consortium must designate one of the members to serve as the applicant/ fiscal agent for the grant. The applicant agency/fiscal agent must be an eligible grant recipient. All other consortium members must be eligible grant participants, as defined by the program statute or regulation.
- B. In the event a grant is awarded to a 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.
- C. The applicant agency/fiscal agent must meet the following requirements:
 - 1. Must be an eligible grant recipient as defined by statute;
 - 2. Must receive and administer the grant funds and submit the required reports to account for the use of grant funds;
 - 3. Must require consortium members to sign an agreement with the fiscal agent that specifically outlines all services each partner agrees to provide. An MOU signed by all consortium member institutions must be submitted to NYSER and kept on file prior to the start of the contract. Funding for project and work cannot commence prior to submission of an MOU signed by each member institution;
 - 4. Cannot act solely as a flow-through for grant funds to pass to other recipients. The fiscal agent must provide a minimum of 20% of the direct services supported by this grant, as reflected in the budget, except where SUNY or CUNY Research Foundations are the fiscal agent;
 - 5. Must be an active member of the consortium;
 - 6. Is PROHIBITED from sub granting funds to other recipients. The applicant/fiscal agent is permitted to contract for services with other consortium partners or consultants to provide services that the fiscal agent cannot provide itself;
 - 7. 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.

VII. 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, websites, and program related activities 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 lead 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:

*Attn: STEP
Office of Postsecondary Access, Support and Success
New York State Education Department
89 Washington Avenue, EBA 960
Albany, New York 12234*

Telephone: (518) 474-3719
Email: kiap@nysed.gov

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

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

VIII. NYSSED'S RESERVATION OF RIGHTS

NYSSED reserves the right to:

- A.** Reject any or all proposals received in response to the RFP;
- B.** Withdraw the RFP at any time, at the agency's sole discretion;
- C.** Make an award under the RFP in whole or in part;
- D.** Disqualify any bidder whose conduct and/or proposal fails to conform to the requirements of the RFP;
- E.** Seek clarifications of proposals;
- F.** Use proposal information obtained through site visits, management interviews and the state's investigation of a bidder's qualifications, experience, ability or financial standing, and any material or information submitted by the bidder in response to the agency's request for clarifying information in the course of evaluation and/or selection under the RFP;
- G.** Prior to the bid opening, amend the RFP specifications to correct errors or oversights, or to supply additional information, as it may become available;
- H.** Prior to the bid opening, direct bidders to submit proposal modifications addressing subsequent RFP amendments;
- I.** Change any of the scheduled dates;
- J.** Waive any requirements that are not material;
- K.** Negotiate with the successful bidder within the scope of the RFP in the best interests of the state;
- L.** Conduct contract negotiations with the next responsible bidder, should the agency be unsuccessful in negotiating with the selected bidder;
- M.** Utilize any and all ideas submitted in the proposals received;
- N.** Unless otherwise specified in the solicitation, every offer is firm and not revocable for a period of 90 days from the bid opening;

- O. Require clarification at any time during the procurement process and/or require correction of arithmetic or other apparent errors for the purpose of assuring a full and complete understanding of an offeror's proposal and/or to determine an offeror's compliance with the requirements of the solicitation;
- P. Request best and final offers.

IX. 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 New York State Education Department (NYSED). While these guidelines call for a five-year proposal, funding in years two through five is dependent on satisfactory performance (the ability to maintain an enrollment of 95% of the contracted total and to provide programmatic services that meet all program requirements as outlined in this RFP), legislative appropriation and the submission of appropriate budget documents and work plan approved by NYSED.

NYSED may suspend funding to any project that fails to provide required reports or carry out the priorities and requirements of STEP as identified in the RFP and subsequent contract.

Each institution may submit more than one proposal only if the institution has two or more geographically separate campuses and provides separate activities for unduplicated students on each campus. An institution may not submit applications as both a consortium and stand-alone program unless the programs are located on and serve two geographically separate campuses. A consortium is defined as an association or grouping of institutions set up for a common purpose that would be beyond the capabilities of a single member of the group. A consortium must meet all requirements established in NYSED's Consortium Policy for State and Federal Discretionary Grant Programs found in Section VI of this RFP.

The maximum award for an individual STEP project that was previously funded in the 20-25 cycle ("previously funded Individual Projects") will be \$600,500 per year. New projects will be capped at a maximum budget of \$299,500 (which equates to a headcount of 125) during the 2025-2030 cycle to demonstrate the ability to effectively meet programmatic requirements and goals in a sustained manner. The maximum award for a consortium STEP project will be \$999,500 per year.

The maximum amount of funding that may be requested in any one application will be determined by the minimum number of student participants the project commits to serve contractually on an annual basis. The number of students will be based on the "unduplicated count," which is the number of students participating throughout the grant year (July 1 – June 30). The project may propose a budget that reflects a lower funding amount if the project deems it suitable for the scope of their project services or to address their ability to meet the required 25% match. **The minimum number of students (headcount) that must be served annually in a STEP project is 50 participants.**

Projects that serve between 50 and 99 students per year will be awarded a maximum of \$2,500 for each student contracted to serve. The annual budget for a project contracted to serve 50 students per year may not exceed \$125,000; the annual budget for a project contracted to serve 99 students per year may not exceed \$247,500. (See the Funding Levels for Individual and Consortia STEP Projects tables below).

Projects that serve between 100 and 199 students per year will be awarded a maximum of \$2,000 for each student they serve above 99. As such, the annual budget for a project contracted to serve 100 students per year may not exceed \$249,500 (\$247,500 + \$2000); the annual budget for a project contracted to serve 199 students

per year may not exceed \$447,500 (i.e., \$247,500+\$200,000). (See the Funding Levels for Individual and Consortia STEP Projects tables below.)

Previously funded Individual Projects that serve 200 or more students per year will be awarded a maximum of \$1,500 for each student they serve above 199, up to a cap of \$600,500 **per individual project**, per year. Thus, for example, the annual budget for a project contracted to serve 200 students per year may not exceed \$449,000 (i.e., \$447,500+\$1,500). (See the Funding Levels for Individual and Consortia STEP Projects tables below.)

This approach seeks to award funding to successful projects in an equitable manner and maximize the number of students served statewide while recognizing that projects serving fewer students can bear a higher proportion of infrastructure and administrative costs per student.

Further, while individual projects that provide services to more than 301 students will not receive additional funds per student, serving higher numbers of proposed participants will be viewed favorably by reviewers in the scoring rubric for recruitment: “Describe all strategies and activities that will be used to recruit and select participants.”

Similarly, while consortium projects that provide services to more than 567 students will not receive additional funds per student, serving higher numbers of proposed participants will be viewed favorably by reviewers in the scoring rubric for recruitment: “Describe all strategies and activities that will be used to recruit and select participants.”

Projects that do not meet their contracted enrollment of participants will have their budget reduced proportionately (see the “Shortfalls in enrollment goals” section below for additional information).

All funding requests will be reviewed at the time of submission of an application. If certain costs cannot be supported by STEP funds, they will be eliminated from the budget.

For an increase in available funding:

A. If new or additional funding becomes available in years 0 or 1, and NYSED chooses to distribute this funding to applicants of this current RFP, NYSED will allocate the funds in this order by:

1. Making whole any funded programs that have received a partial award;
2. Approving awards, in rank order, for eligible applicants who received passing scores, but who did not rank high enough to receive the initial funding;
3. Allocating funds among already awarded programs. NYSED will offer all awarded programs, that have not fallen below 95% of their enrollment goal, according to the most recently submitted rosters of students (see the Shortfalls in Enrollment Goals section below). Maximum request amounts will be established by distributing funding proportionally (based on total annual budget)

B. If new or additional funding becomes available in year 2, and NYSED chooses to distribute this funding to applicants of this current RFP, NYSED will allocate the funds in this order by:

1. 50% of the additional funds to make whole any funded program that received a partial award and the remainder of the 50% to approve awards, in rank order, for eligible applicants that received passing scores, but who did not rank high enough to receive initial funding.

2. 50% of the additional funds are to be allocated among already awarded programs that have not fallen below 95% of their enrollment according to the most recently submitted rosters of students (see the Shortfalls in Enrollment Goals section below). Maximum request amounts will be established by distributing funding proportionally (based on total annual budget)
3. In the event there are remaining funds after making awards described in the preceding paragraph in years 0, 1 and 2, or if new or additional funding becomes available in years 3-5, NYSED may allocate the grant funds as determined by the Department.

Any contract changes resulting from an increase in available funding will be subject to review and approval by the Office of the State Comptroller.

For a decrease in available funding:

A decrease in funding for any subsequent funding year will result in a proportional reduction to all funded projects based on total annual budget.

Shortfalls in enrollment goals:

The STEP award recipient institution will furnish NYSED with a mid-year report indicating the number of students enrolled in its program as of February 15 in each program year. This roster is due March 15. The number of students listed in this roster will be compared against the number of students proposed to be served in the RFP's Composite Budget. The Composite Budget is part of the Budget Narrative form, which can be accessed on NYSED's [STEP website](#) (Under 'Application & Request for Proposal Information').

Probation for STEP Grantees

Circumstances in which the IHEs will be put on probation:

1. Not meeting 90% threshold for contracted headcount for two consecutive years.
2. Non-compliance with RFP requirements (e.g., not submitting reports and budgets or submitting them late).

The IHEs not meeting contracted headcount and those on probation will have to submit a performance improvement plan and are subject to receive a site visit at NYSED's discretion. An IHE not meeting the above requirements for the last year of the previous RFP cycle may be put on probation in the first year of the upcoming cycle should they apply for and be awarded a grant.

Existing grantees

If an existing grantee is unsuccessful in obtaining an award under this or a subsequent RFP, the institution of higher education should continue providing services to those students already enrolled in the program, to the greatest extent practicable. Institutions should develop a plan for continuing services until students enrolled during the grant period are no longer in the program to minimize the impact on their education

FUNDING LEVELS FOR STEP PROJECTS

Contracted Headcount	Maximum Budget	Contracted Headcount	Maximum Budget	Contracted Headcount	Maximum Budget	Contracted Headcount	Maximum Budget	Contracted Headcount	Maximum Budget
50*	\$125,000*	100	\$249,500	150	\$349,500	200	\$449,000	250	\$524,000
51	\$127,500	101	\$251,500	151	\$351,500	201	\$450,500	251	\$525,500
52	\$130,000	102	\$253,500	152	\$353,500	202	\$452,000	252	\$527,000
53	\$132,500	103	\$255,500	153	\$355,500	203	\$453,500	253	\$528,500
54	\$135,000	104	\$257,500	154	\$357,500	204	\$455,000	254	\$530,000
55	\$137,500	105	\$259,500	155	\$359,500	205	\$456,500	255	\$531,500
56	\$140,000	106	\$261,500	156	\$361,500	206	\$458,000	256	\$533,000
57	\$142,500	107	\$263,500	157	\$363,500	207	\$459,500	257	\$534,500
58	\$145,000	108	\$265,500	158	\$365,500	208	\$461,000	258	\$536,000
59	\$147,500	109	\$267,500	159	\$367,500	209	\$462,500	259	\$537,500
60	\$150,000	110	\$269,500	160	\$369,500	210	\$464,000	260	\$539,000
61	\$152,500	111	\$271,500	161	\$371,500	211	\$465,500	261	\$540,500
62	\$155,000	112	\$273,500	162	\$373,500	212	\$467,000	262	\$542,000
63	\$157,500	113	\$275,500	163	\$375,500	213	\$468,500	263	\$543,500
64	\$160,000	114	\$277,500	164	\$377,500	214	\$470,000	264	\$545,000
65	\$162,500	115	\$279,500	165	\$379,500	215	\$471,500	265	\$546,500
66	\$165,000	116	\$281,500	166	\$381,500	216	\$473,000	266	\$548,000
67	\$167,500	117	\$283,500	167	\$383,500	217	\$474,500	267	\$549,500
68	\$170,000	118	\$285,500	168	\$385,500	218	\$476,000	268	\$551,000
69	\$172,500	119	\$287,500	169	\$387,500	219	\$477,500	269	\$552,500
70	\$175,000	120	\$289,500	170	\$389,500	220	\$479,000	270	\$554,000
71	\$177,500	121	\$291,500	171	\$391,500	221	\$480,500	271	\$555,500
72	\$180,000	122	\$293,500	172	\$393,500	222	\$482,000	272	\$557,000
73	\$182,500	123	\$295,500	173	\$395,500	223	\$483,500	273	\$558,500
74	\$185,000	124	\$297,500	174	\$397,500	224	\$485,000	274	\$560,000
75	\$187,500	125**	\$299,500**	175	\$399,500	225	\$486,500	275	\$561,500
76	\$190,000	126	\$301,500	176	\$401,500	226	\$488,000	276	\$563,000
77	\$192,500	127	\$303,500	177	\$403,500	227	\$489,500	277	\$564,500
78	\$195,000	128	\$305,500	178	\$405,500	228	\$491,000	278	\$566,000
79	\$197,500	129	\$307,500	179	\$407,500	229	\$492,500	279	\$567,500
80	\$200,000	130	\$309,500	180	\$409,500	230	\$494,000	280	\$569,000
81	\$202,500	131	\$311,500	181	\$411,500	231	\$495,500	281	\$570,500
82	\$205,000	132	\$313,500	182	\$413,500	232	\$497,000	282	\$572,000
83	\$207,500	133	\$315,500	183	\$415,500	233	\$498,500	283	\$573,500
84	\$210,000	134	\$317,500	184	\$417,500	234	\$500,000	284	\$575,000
85	\$212,500	135	\$319,500	185	\$419,500	235	\$501,500	285	\$576,500
86	\$215,000	136	\$321,500	186	\$421,500	236	\$503,000	286	\$578,000
87	\$217,500	137	\$323,500	187	\$423,500	237	\$504,500	287	\$579,500
88	\$220,000	138	\$325,500	188	\$425,500	238	\$506,000	288	\$581,000
89	\$222,500	139	\$327,500	189	\$427,500	239	\$507,500	289	\$582,500
90	\$225,000	140	\$329,500	190	\$429,500	240	\$509,000	290	\$584,000
91	\$227,500	141	\$331,500	191	\$431,500	241	\$510,500	291	\$585,500
92	\$230,000	142	\$333,500	192	\$433,500	242	\$512,000	292	\$587,000
93	\$232,500	143	\$335,500	193	\$435,500	243	\$513,500	293	\$588,500
94	\$235,000	144	\$337,500	194	\$437,500	244	\$515,000	294	\$590,000
95	\$237,500	145	\$339,500	195	\$439,500	245	\$516,500	295	\$591,500
96	\$240,000	146	\$341,500	196	\$441,500	246	\$518,000	296	\$593,000
97	\$242,500	147	\$343,500	197	\$443,500	247	\$519,500	297	\$594,500
98	\$245,000	148	\$345,500	198	\$445,500	248	\$521,000	298	\$596,000
99	\$247,500	149	\$347,500	199	\$447,500	249	\$522,500	299	\$597,500
								300	\$599,000
								301***	\$600,500***

The minimum number of students (headcount) that must be served annually in a STEP project is **50** participants.

*All projects contracted to serve **50** students per year may not exceed **\$125,000**.

New projects will be capped at a maximum budget of **\$299,500 (which equates to a headcount of **125**) during the 2025-2030 cycle in order to demonstrate the ability to effectively meet programmatic requirements and goals in a sustained manner.

***The maximum award for an individual STEP project that was previously funded (“previously funded Individual Projects”) will be **\$600,500** per year in the **2025-2030** cycle.

FUNDING LEVELS CONTINUED FOR CONSORTIA STEP PROJECTS

Contracted Headcount	Maximum Budget	Contracted Headcount	Maximum Budget	Contracted Headcount	Maximum Budget	Contracted Headcount	Maximum Budget	Contracted Headcount	Maximum Budget
302	\$602,000	356	\$683,000	410	\$764,000	464	\$845,000	518	\$926,000
303	\$603,500	357	\$684,500	411	\$765,500	465	\$846,500	519	\$927,500
304	\$605,000	358	\$686,000	412	\$767,000	466	\$848,000	520	\$929,000
305	\$606,500	359	\$687,500	413	\$768,500	467	\$849,500	521	\$930,500
306	\$608,000	360	\$689,000	414	\$770,000	468	\$851,000	522	\$932,000
307	\$609,500	361	\$690,500	415	\$771,500	469	\$852,500	523	\$933,500
308	\$611,000	362	\$692,000	416	\$773,000	470	\$854,000	524	\$935,000
309	\$612,500	363	\$693,500	417	\$774,500	471	\$855,500	525	\$936,500
310	\$614,000	364	\$695,000	418	\$776,000	472	\$857,000	526	\$938,000
311	\$615,500	365	\$696,500	419	\$777,500	473	\$858,500	527	\$939,500
312	\$617,000	366	\$698,000	420	\$779,000	474	\$860,000	528	\$941,000
313	\$618,500	367	\$699,500	421	\$780,500	475	\$861,500	529	\$942,500
314	\$620,000	368	\$701,000	422	\$782,000	476	\$863,000	530	\$944,000
315	\$621,500	369	\$702,500	423	\$783,500	477	\$864,500	531	\$945,500
316	\$623,000	370	\$704,000	424	\$785,000	478	\$866,000	532	\$947,000
317	\$624,500	371	\$705,500	425	\$786,500	479	\$867,500	533	\$948,500
318	\$626,000	372	\$707,000	426	\$788,000	480	\$869,000	534	\$950,000
319	\$627,500	373	\$708,500	427	\$789,500	481	\$870,500	535	\$951,500
320	\$629,000	374	\$710,000	428	\$791,000	482	\$872,000	536	\$953,000
321	\$630,500	375	\$711,500	429	\$792,500	483	\$873,500	537	\$954,500
322	\$632,000	376	\$713,000	430	\$794,000	484	\$875,000	538	\$956,000
323	\$633,500	377	\$714,500	431	\$795,500	485	\$876,500	539	\$957,500
324	\$635,000	378	\$716,000	432	\$797,000	486	\$878,000	540	\$959,000
325	\$636,500	379	\$717,500	433	\$798,500	487	\$879,500	541	\$960,500
326	\$638,000	380	\$719,000	434	\$800,000	488	\$881,000	542	\$962,000
327	\$639,500	381	\$720,500	435	\$801,500	489	\$882,500	543	\$963,500
328	\$641,000	382	\$722,000	436	\$803,000	490	\$884,000	544	\$965,000
329	\$642,500	383	\$723,500	437	\$804,500	491	\$885,500	545	\$966,500
330	\$644,000	384	\$725,000	438	\$806,000	492	\$887,000	546	\$968,000
331	\$645,500	385	\$726,500	439	\$807,500	493	\$888,500	547	\$969,500
332	\$647,000	386	\$728,000	440	\$809,000	494	\$890,000	548	\$971,000
333	\$648,500	387	\$729,500	441	\$810,500	495	\$891,500	549	\$972,500
334	\$650,000	388	\$731,000	442	\$812,000	496	\$893,000	550	\$974,000
335	\$651,500	389	\$732,500	443	\$813,500	497	\$894,500	551	\$975,500
336	\$653,000	390	\$734,000	444	\$815,000	498	\$896,000	552	\$977,000
337	\$654,500	391	\$735,500	445	\$816,500	499	\$897,500	553	\$978,500
338	\$656,000	392	\$737,000	446	\$818,000	500	\$899,000	554	\$980,000
339	\$657,500	393	\$738,500	447	\$819,500	501	\$900,500	555	\$981,500
340	\$659,000	394	\$740,000	448	\$821,000	502	\$902,000	556	\$983,000
341	\$660,500	395	\$741,500	449	\$822,500	503	\$903,500	557	\$984,500
342	\$662,000	396	\$743,000	450	\$824,000	504	\$905,000	558	\$986,000
343	\$663,500	397	\$744,500	451	\$825,500	505	\$906,500	559	\$987,500
344	\$665,000	398	\$746,000	452	\$827,000	506	\$908,000	560	\$989,000
345	\$666,500	399	\$747,500	453	\$828,500	507	\$909,500	561	\$990,500
346	\$668,000	400	\$749,000	454	\$830,000	508	\$911,000	562	\$992,000
347	\$669,500	401	\$750,500	455	\$831,500	509	\$912,500	563	\$993,500
348	\$671,000	402	\$752,000	456	\$833,000	510	\$914,000	564	\$995,000
349	\$672,500	403	\$753,500	457	\$834,500	511	\$915,500	565	\$996,500
350	\$674,000	404	\$755,000	458	\$836,000	512	\$917,000	566	\$998,000
351	\$675,500	405	\$756,500	459	\$837,500	513	\$918,500	567****	\$999,500****
352	\$677,000	406	\$758,000	460	\$839,000	514	\$920,000		
353	\$678,500	407	\$759,500	461	\$840,500	515	\$921,500		
354	\$680,000	408	\$761,000	462	\$842,000	516	\$923,000		
355	\$681,500	409	\$762,500	463	\$843,500	517	\$924,500		

**** Headcounts of 567 and above may request a maximum of \$999,500. While individual projects that provide services to higher numbers of students will not receive additional funds per student, serving higher numbers of proposed participants will be viewed favorably by reviewers in the Priorities rubric: “activities and services to increase access to the number of historically under-represented students that support program requirements.”

X. BUDGET

Applicants should refer to the [Fiscal Guidelines for Federal and State Aided Grants](#) while preparing their program budgets.

A. Use of Funds

1. Activities funded by a STEP grant contract will be administered pursuant to a written agreement between the State Education Department and the participating institution.
2. STEP funds may not be used for purposes that have not been described in the authorizing statute, the Regulations of the Commissioner of Education, or this RFP. 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 NYSED. See **E. Transfer of Funds** below for additional information.
3. Program changes (**especially leadership, organizational structure, and space**) must have prior written approval from NYSED.

B. Allowable Expenses

Under §6454 of the NYS Education Law, Science and Technology Entry Program monies as part of a program may be used for tutoring, academic, financial, and career advising, college readiness special summer courses, academic enrichment, recruitment, and program administration.

Allowable costs include the following:

1. Program administration, including professional and non-professional salaries, benefits, staff travel for required program administration as approved by NYSED.
***Note:** All Out-of-state travel requires prior approval by NYSED liaison
2. Stipends for students participating in approved STEP activities including, but not limited to, 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 in accordance with the mission of STEP, such as field trips, student conference expenses, program achievement/awards, and related fees/charges, 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/technology is purchased with STEP funds, it is the responsibility of the institution to ensure that an inventory is completed and that a copy is submitted to NYSED upon request. If a program closes, any equipment purchased with NYSED funds must be released for transfer to another STEP program so that equipment continues to support STEP students. NYSED 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 on the Budget Form.
7. Evaluation materials and activities.
8. STEP staff development/training (*All out of state travel requires prior approval by NYSED).
9. Program brochures/materials and promotional activities.
10. Subcontracts for program services can be made.
11. Indirect costs at no more than 8% are allowed.

C. Non-Allowable Costs

1. Funds for indirect expenses provided by the state STEP award may not exceed eight percent (8%) of total STEP grant expenditures. Indirect costs cannot be charged on certain expenses, including:
 - a) Equipment purchases
 - b) Stipends/Honoraria
 - c) Tuition
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 non-NYS sources.
3. State STEP funds cannot be used for organizational dues or items not specifically allowed under the categories identified above.
4. State STEP funds cannot be used to pay for the salary or stipend of the STEP project lead's Supervisor, or someone designated as a Principal Investigator for the grant contract (in their role as supervisor or PI).
5. State STEP funds may not be used for purposes other than those described in the approved grant contract.
6. Rental of office or meeting space, storage facilities, fixtures, or the purchase of office furnishings. Rent cannot be charged if the IHE occupies the space or owns the item involved.
7. State STEP funds may not be used for cultural enrichment or other social activities.
8. Funds must supplement, not supplant, existing funding sources.

D. Fringe Benefits

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

The rate for fringe benefits cannot exceed the actual rate paid by the institution for benefits actually received by the covered employee. Only administrative costs directly attributable to the program are allowed by law; it is not permissible to deduct fringe benefits costs for employees who do not receive the benefits. 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

Failure to follow these procedures may result in the disallowance of all expenditures not previously approved by STEP-SED.

1. Consistent with the Fiscal Guidelines for Federal and State Grants, budget transfers must be requested using [Form FS-10-A](#): Proposed Amendment for a Federal or State Project.
2. All FS-10-A forms must be submitted anytime between the start date of any funding year and May 15th.
3. An amendment that would result in a transfer of funds among program activities or budget cost categories that does not affect the amount, consideration, scope or other terms of such contract may still be subject to the approval of the Attorney General and the Office of the State Comptroller where the amount of such modification is, as a portion of the total value of the contract, equal to or greater than ten percent (10%) for contracts of less than five million dollars, or five percent (5%) for contracts of more than five million dollars; and, in addition, such amendment may be subject to prior approval by the applicable State Agency as detailed in the contract.

4. Funds must not be expended until the budget/contract amendment has been approved in writing.

F. Institutional Funds

1. Matching Funds

- a. A minimum 25 percent match of the STEP grant contract is required. The matching requirement may be met through the institution's own resources, private sources, other non-New York State 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.
- b. Matching funds for indirect expenses provided by the institution may not exceed 20 percent of the matching funds contributed by the institution and/or other non-NYS sources.

2. Program Support

- a. The institution must provide sufficient space and institutional resources (e.g., storage space, communications access, information technology support, etc.) consistent with other academic support programs on the campus for the effective operation of the program.
- b. Programs must have access to and use of space as needed to conduct the following: group meetings/workshops, conferencing, confidential academic and/or financial advising, program administration, tutoring services, and secure storage for all project materials and technology.
- c. Projects must meet the needs of individuals with disabilities who will participate in project activities, in compliance with applicable laws, including but not limited to the Americans with Disabilities Act and Section 504 of the Rehabilitation Act.

3. Institutional Obligation

- a. 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 NYSED and the institution.
- b. The budget indicating matching funds may be amended only upon the written agreement by IHE and program office.

G. STEP Payment Schedule and Financial Reporting

1. Activities funded under a STEP award will be administered pursuant to a written contract between NYSED and the funded applicant institution or applicant lead institution of a consortium.

2. Budgets (FS-10)

- a. The application must include a separate FS-10 budget form for each of the five years of the program.
- b. General descriptions of expenditures, applicable cost principles and administrative regulations are available in the [Fiscal Guidelines for Federal and State Grants](#).

- c. Fiscal forms such as the FS-10 can be found on the [Grants Finance website](#) and the most recent copy of the STEP Budget Narrative (with Composite budget) can be located at NYSED's [STEP website](#).

3. Not-for-Profit Applicants

- a. The initial payment of 25% of the Year 1 budget will be made upon execution of the contract.
- b. Subsequent payments will be made following the project submission of an **FS-25** form.
- c. The final payment of **10%** occurs upon the approval of the Final Program and Expenditure Reports (**FS-10F Long Form**). This form is due to Grants Finance 30 days after the close of the grant year.
- d. Fiscal forms such as the FS-25 and FS-10F can be located on the [Grants Finance website](#).

4. For-Profit Applicants

- a. 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 Long Form**).

Note: *The Grant Contract is fully executed when it has been signed by the institution's Chief Executive Officer or their designee, the New York State Education Department, the Office of the New York State Attorney General, and the New York State Office of the State Comptroller.*

H. **Records Retention**

1. All STEP-related institutional records, including student and fiscal records, are subject to audit by the State Education Department and the Office of the State Comptroller, or an agency designated by one of the above.
2. Fiscal records, including those identifying an expense of STEP funds, must be maintained for seven full years, or longer if required by institutional policy or practice.
3. Student records must be maintained for six years after the student graduates.
4. If a student withdraws from the institution prior to graduation, the student STEP record must be maintained for six years from the end of the academic term in which the student withdrew, or longer if required by institutional policy or practice.
5. Audit or litigation will "freeze the clock" for record retention purposes. Supporting documentation related to an issue under audit or litigation must be retained until resolved or the above general rule for record retention, whichever is longer.

XI. PROJECT OPERATIONAL GUIDELINES

A. Operation Dates:

For the initial program funding year, projects may begin as early as July 1, 2025, but must be completed by June 30, 2030. The operational dates for subsequent years covered by this proposal will be July 1 through June 30.

B. Required Program Reports

1. Late or inaccurate submissions of any budgetary forms and/or Programmatic reports may result in the suspension of funds.
2. Exceptions to due dates may be made to programs that have requested an extension in writing to their liaison and have received approval. Acceptable written requests may be sent via email or regular mail. All communication requesting an extension must be copied to the President, Provost of the institution, or appropriate supervisor and indicate the reason the institution is unable to submit its report on time.
3. Each institution receiving a STEP award will be required to submit two program reports annually: a mid-year report and a final report to NYSED.
 - a. The mid-year report is to be received by NYSED not later than March 15 every year. This report specifies the enrolled STEP students and activities in operating the STEP program in a form and manner prescribed by NYSED. The STEP student headcount indicated on the report will be used to ensure that the institution has minimally met 95% of their budgeted STEP student headcount.
 - b. The final program report is due no later than September 15 of each program year. The final report shall cover the period from July 1 through June 30 (the entire program year). This report, in a form and manner prescribed by NYSED, outlines the institution's expenditures and activities in STEP for the program year and provides:
 - i. An analysis of program operation in terms of the stated requirements and to the extent to which the requirements were achieved.
 - ii. An itemization of the institution's support of such program during the contract period including the use of outside (Federal, State, and local) funds.
 - iii. Plans for program change, expansion, and development.
 - iv. Data:
 - (1) on the persistence rate of participating students;
 - (2) on the persistence rate of participating students in completing mathematics and science courses in an academic track;
 - (3) on the college placement rate of participating students in professional or pre-professional programs in scientific, technical, or health-related fields.
4. Each institution receiving a STEP award should submit an annual roster of their specific student participants to their respective school districts by April 1. Note: For data privacy reasons, institutions should NOT send their entire roster to school districts where students are not enrolled.
5. As indicated, the institution's program reports will be reviewed upon receipt by NYSED for accuracy and completeness. The institution will be notified by NYSED if their submission is incomplete and/or requires additional information.

C. Grant Recipient Responsibilities

1. 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.

2. The institution is responsible for the proper disbursement of, and accounting for, project funds.
3. 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.
4. Original supporting documents are required for all Grant Contract related transactions entered into the local agency's recordkeeping system.
5. 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.
6. 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](#).

D. Institutional Obligation

Applicants receiving a STEP grant contract must honor the amount 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. Written approval of the Commissioner of Education and the Office of the State Comptroller may amend the budget.

XII. VENDOR RESPONSIBILITY, M/WBE, AND ADDITIONAL REQUIREMENTS

A. 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 [OSC's website](#).

NYSED recommends that vendors file the required Vendor Responsibility Questionnaire online via the New York State VendRep System. To enroll in and use the New York State VendRep System, see the [VendRep System Instructions](#) or go directly to the [VendRep System online](#).

Vendors must provide their New York State Vendor Identification Number when enrolling. To request assignment of a Vendor ID or for VendRep System assistance, contact the Office of the State Comptroller's Help Desk at 866-370-4672 or 518-408-4672 or by email at ITServiceDesk@osc.ny.gov.

Vendors opting to complete and submit a paper questionnaire can obtain the appropriate questionnaire from the [VendRep website](#) or may contact NYSED or the Office of the State Comptroller's Help Desk for a copy of the paper form.

Subcontractors:

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

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

B. MINORITY AND WOMEN-OWNED BUSINESS ENTERPRISE (M/WBE)

Participation Goals Pursuant to Article 15-A of the New York State Executive Law

The following M/WBE requirements apply when an applicant submits an application for grant funding that exceeds \$25,000 for the full grant period.

All forms referenced here can be found in the M/WBE Documents section at the end of this RFP.

All applicants are required to comply with NYSED's Minority and Women-Owned Business Enterprises (M/WBE) policy. Compliance can be achieved by one of the three methods described below. Full participation by meeting or exceeding the M/WBE participation goal for this grant is the preferred method.

M/WBE participation includes services, materials, or supplies purchased from minority- and women-owned firms certified with the NYS Division of Minority and Women Business Development. Not-for-profit agencies are not eligible for this certification. For additional information and a listing of currently certified M/WBEs, see the [NYS MWBE Directory](#).

The M/WBE participation goal for this grant is 30% of each applicant's five-year total discretionary non-personal service budget. Discretionary non-personal service budget is defined as the total budget, excluding the sum of funds budgeted for:

1. direct personal services (i.e., professional and support staff salaries) and fringe benefits; and
2. rent, lease, utilities, and indirect costs, if these items are allowable expenditures.

The M/WBE Goal Calculation Worksheet is provided for use in calculating the dollar amount of the M/WBE goal for this grant application.

All requested information and documentation should be provided at the time of submission. If this cannot be done, the applicant will have to submit the necessary documents and respond satisfactorily to any follow-up questions from the Department. Failure to do so may result in loss of funding.

METHODS TO COMPLY

An applicant can comply with NYSED's M/WBE policy by one of three methods:

- 1. Full Participation - This is the preferred method of compliance. Full participation is achieved when an applicant meets or exceeds the participation goals for this grant.**

COMPLETE FORMS:

M/WBE Goal Calculation Worksheet
M/WBE Cover Letter
M/WBE 100 Utilization Plan
M/WBE 102 Notice of Intent to Participate
EEO 100 Staffing Plan

2. Partial Participation, Request for Partial Waiver - This is acceptable only if good faith efforts to achieve full participation are made and documented, but full participation is not possible.

COMPLETE FORMS:

M/WBE Goal Calculation Worksheet
M/WBE Cover Letter
M/WBE 100 Utilization Plan
M/WBE 101 Request for Waiver
M/WBE 102 Notice of Intent to Participate
M/WBE 105 Contractor's Good Faith Efforts
M/WBE 105A Contractor Unavailable Certification
EEO 100 Staffing Plan

3. No Participation, Request for Complete Waiver - This is acceptable only if good faith efforts to achieve full or partial participation are made and documented, but do not result in any participation by M/WBE firm(s).

COMPLETE FORMS:

M/WBE Goal Calculation Worksheet
M/WBE Cover Letter
M/WBE 101 Request for Waiver
M/WBE 105 Contractor's Good Faith Efforts
M/WBE 105A Contractor Unavailable Certification
EEO 100 Staffing Plan

GOOD FAITH EFFORTS

Applicants must make a good faith effort to solicit NYS certified M/WBE firms as subcontractors and/or suppliers to achieve the goals for this grant. Solicitations may include, but are not limited to: advertisements in minority and women-centered publications; solicitation of vendors found in the [NYS Directory of Certified Minority and Women-Owned Business Enterprises](#); and the solicitation of minority and women-oriented trade and labor organizations.

Good faith efforts include actions such as setting up meetings or announcements to make M/WBEs aware of supplier and subcontracting opportunities, identifying logical areas of the grant project that could be subcontracted to M/WBE firms, and utilizing all current lists of M/WBEs who are available for and may be interested in subcontracting or supplying goods for the project.

Applicants should document their efforts to comply with the stated M/WBE goals and submit this with their applications as evidence. Examples of acceptable documentation can be found in form M/WBE 105, Contractor's Good Faith Efforts. NYSED reserves the right to reject any application for failure to document "good faith efforts."

REQUEST FOR WAIVER

When full participation cannot be achieved, applicants must submit a Request for Waiver (M/WBE 101). Requests for Waivers must be accompanied by documentation explaining the good faith efforts made and reasons they were unsuccessful in obtaining M/WBE participation.

NYSED reserves the right to approve the addition or deletion of subcontractors or suppliers to enable applicants to comply with the M/WBE goals, provided such addition or deletion does not impact the technical proposal and/or increase the total budget.

All payments to Minority and Women-Owned Business Enterprise subcontractor(s) should be reported to the NYSED M/WBE Program Unit using the M/WBE 104G Quarterly M/WBE Compliance Report. This report should be submitted on a quarterly basis and can be requested at MWBEGrants@nysed.gov.

NYSED's M/WBE Coordinator is available to assist applicants in meeting the M/WBE goals. The Coordinator can be reached at MWBEGrants@nysed.gov.

Equal Employment Opportunity Reporting (EEO) Pursuant to Article 15-A of the New York State Executive Law

Applicants must complete and submit form EEO 100: Staffing Plan.

C. PREQUALIFICATION FOR INDIVIDUAL APPLICATIONS

Pursuant to the New York State Division of the Budget bulletin H-1032 (revised January 9, 2024), nonprofit organizations must Prequalify to do business with New York State agencies before they can compete for State grants. The process allows nonprofits to address questions and concerns prior to entering a competitive bid process. Nonprofits are strongly encouraged to begin the Prequalification process as soon as possible.

To become prequalified, a nonprofit must first register with Statewide Financial System (SFS). Once registered, nonprofits complete an online Prequalification application. This includes completing a series of forms by answering basic questions regarding the organization and uploading key organizational documents.

Detailed information on how to [register](#) with SFS and [become prequalified](#) is available on the [Grants Management](#) website.

Disclaimer: *New York State reserves 5-10 business days from the receipt of complete Prequalification applications to conduct its review. If supplementary information or updates are required, review times will be longer. Due to the length of time this process could take to complete, it is advised that nonprofits Prequalify as soon as possible. Failure to successfully complete the Prequalification process early enough may result in a grant application being disqualified.*

Nonprofits must receive approved prequalification status prior to grant application and execution of contracts. Grant proposals received from nonprofits that are not Prequalified in SFS by 5:00 PM on the application due date of November 26, 2024, will not be evaluated. Such proposals will be disqualified from further consideration.

D. WORKERS' COMPENSATION COVERAGE AND DEBARMENT

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

The Workers' Compensation Board has developed several forms to assist State contracting entities in ensuring that businesses have the appropriate workers' compensation and disability insurance coverage as required by Sections 57 and 220(8) of the WCL.

Please Note – an ACORD form is not acceptable proof of New York State workers' compensation or disability benefits insurance coverage.

4. Proof of Workers' Compensation Coverage

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

- **Form C-105.2** - Certificate of Workers' Compensation Insurance issued by private insurance carriers, or **Form U-26.3** issued by the State Insurance Fund; or
- **Form SI-12** - Certificate of Workers' Compensation Self-Insurance; or **Form GSI-105.2** Certificate of Participation in Workers' Compensation Group Self-Insurance; or
- **CE-200** - Certificate of Attestation of Exemption from NYS Workers' Compensation and/or Disability Benefits Coverage.

5. Proof of Disability Benefits Coverage

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

from the contractor and submit to OSC to prove the contractor has appropriate disability benefits insurance coverage:

- **Form DB-120.1** - Certificate of Disability Benefits Insurance; or
- **Form DB-155**- Certificate of Disability Benefits Self-Insurance; or
- **CE-200** - Certificate of Attestation of Exemption from New York State Workers' Compensation and/or Disability Benefits Coverage.

For additional information regarding workers' compensation and disability benefits requirements, please refer to the New York State [Workers' Compensation Board website](#).

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

E. Data Security and Privacy Plan

The Contractor agrees to comply with FERPA and New York State Education Law § 2-d. The NYS Education Department (NYSED) is required to ensure that all contracts with a third-party contractor that has access to or receives information include a Data Privacy and Security Plan, pursuant to Education Law § 2-d and § 121.6 of the Regulations of the Commissioner of Education.

NYSED's Data Privacy Appendix (Attachment R), annexed to this RFP, the terms of which are incorporated herein by reference, shall also be part of the Contract.

F. Accessibility of Web-Based Information and Applications

Any documents, web-based information and applications development, or programming delivered pursuant to the contract or procurement, will comply with New York State Education Department IT Policy NYSED-WEBACC-001, Web Accessibility Policy as such policy may be amended, modified or superseded, which requires that state agency web-based information, including documents, and applications are accessible to persons with disabilities. Documents, web-based information, and applications must conform to NYSED-WEBACC-001 as determined by quality assurance testing. Such quality assurance testing will be conducted by NYSED employee or contractor, and the results of such testing must be satisfactory to NYSED before web-based information and applications will be considered a qualified deliverable under the contract or procurement.

XIII. 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)

XIV. APPLICATION FOR FUNDING

New applicants for the STEP grant and current grantees must create and test or only test their GoAnywhere accounts by November 13, 2024, to be able to submit the grant application. Applicants without access to GoAnywhere should send an email to steprfp@nysed.gov to request access.

Please submit the complete application on [GoAnywhere](#) at [GoAnywhere Website Login](#) by **November 26, 2024**, as follows:

- Proposal Narrative application and any attachments in Word and/or searchable/editable PDF files.
- Work Plan – Use the template posted with the RFP. The work plan includes all five years of the program.
- [FS-10 budget form](#). Non-Profit and For-Profit applicants should complete and submit five separate FS-10 budgets, or one for each year of the program. Utilize the Excel version of the FS-10.
- Budget Narrative, which provides description for all expenses entered onto the five FS-10 budgets. The Budget Narrative justifies all proposed expenditures, which must include details clarifying their nature, and the method of the calculation for each cost. Utilize the STEP Budget Narrative form located on the [STEP website](#).
- M/WBE Package. Utilize the packet included in this RFP. Applicants must complete one set of MWBE documents to cover all five years of the program.
- Signed and scanned application Cover Page.

If there are technical issues and you cannot submit your application by [GoAnywhere](#), contact steprfp@nysed.gov at least three business days before the deadline to request alternative means of submission. **However, even if an alternative submission method is used, applications must be received by the deadline above.**

The following forms of e-signatures are **acceptable**:

- a. handwritten signatures on faxed or scanned documents
- b. e-signatures that have been authenticated by a third-party digital software, such as DocuSign and Adobe Sign
- c. stored copies of the images of signatures that are placed on a document by copying and pasting or otherwise inserting them into the documents.

Unacceptable forms of e-signatures include a typed name, including a signature created by selecting a script or calligraphy font for the typed name of the person “signing.”

A complete Application for Funding consists of the following items uploaded to GoAnywhere.

- A. Cover Page
- B. Proposal Application Checklist
- C. Proposal Narrative (include A, B, D, E, and F from section XV. *Narrative Format*, below)
- D. Narrative Attachments - including MOU(s), letters of support, resumes, organizational chart(s)
- E. Program Work Plan (use template posted with the RFP) for each year of the program
- F. [FS-10 Budget](#) forms (Complete and submit a separate FS-10 for each year of the program)
- G. Budget Narrative (including Composite Budget). Form available on NYSED’s [STEP website](#)
- H. M/WBE Package (Applicants must complete one set of MWBE documents to cover all five years of the program)
- I. Payee Information Form (if applicable)
- J. Attachment I – including Statement of Assurances with the original signature of the CEO or designee

XV. PROPOSAL NARRATIVE FORMAT

The proposal narrative should describe all 2025-2030 proposed activities in detail that meet requirements as stated in this RFP. The completed proposal narrative document should reflect a cohesive program that reflects the mission of STEP. The maximum length of the proposal narrative is 10 pages, not including attachments. Proposal narratives will not be reviewed beyond the maximum number of pages. The proposal narrative is to be prepared in Calibri, 11-point font, single spaced, with a .5” margin. The name of the institution should appear in the top right corner of each page. A template for the Program Work Plan has been posted with the RFP. The Work Plan template has pages for all five years of the program. The Work Plan is not part of the 10-page limit. Clarity, conciseness, completeness, and quality of writing will be evaluated in the proposal review in addition to the specific programmatic information requested in the narrative. Applications that do not follow the format described in this document will be converted to conform with the formatting requirements, and excess pages beyond the 10-page limit will not be read or scored. Applications that fail to include all information requested under each major category may lose points according to the corresponding category in the scoring rubric. Proposals will be ranked based on their total score. The maximum points available in the narrative section are 75 (A-F, not including G. Budget).

A. Institutional Expertise (5 points)

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. Also describe your institution's experience conducting educational programs with students at neighboring secondary school(s).

B. Cooperative Relationships (10 points)

Provide a brief description of formal collaborations between the proposing institution and local education agencies such as local (public, private or charter) schools and school districts, CSTEP Programs, professional organizations, other agencies that will be involved in the project and/or others who will participate in the proposed project. Specify how each participating party will contribute to the project.

A copy of the MOU between the applicant institution and any P-12 school partners, demonstrating a commitment on the part of the P-12 school to collaborate in the STEP project, as well as documents that support collaborations with businesses or other community organizations should be signed and attached. The MOU with partner school districts and/or schools must include authorization for the applicant's institution to obtain and review school records, which include but are not limited to report cards, transcripts, attendance records, and college acceptance letters. Such shared educational information on the STEP participant between the applicant and school district will be handled in accordance with the Family Educational Rights and Privacy Act (FERPA), and all information obtained will remain confidential.

Funding for project and work cannot commence prior to submission of the MOU from the partner school district that has an enrollment comprising at least twenty percent Black or African American, Hispanic/Latino, or American Indian/Alaska Native, or economically disadvantaged.

1. Describe the level and extent of how community-based organizations, schools and districts will participate in the project's planning and implementation. Describe specifically your collaborative efforts with the school or school district with whom you have also included an MOU. Be sure to describe how the collaboration will support the provision of services to all grade levels (7-12). Also describe any planned collaboration with other programs that have similar objectives and goals as STEP (i.e., CSTEP, YMCA, Liberty Partnership Program, etc.). Include, as an attachment, the MOU between the IHE and the school district and any letters of support from participating programs. (3 pts.)
2. Describe in detail the level and extent of the involvement of faculty, department chairs, or deans in the planning, implementation, and/or evaluation of the project. Include a letter of support from key campus resources, departments, or faculty. (2 pts.)
3. Describe the planned collaboration with government agencies, local businesses, and/or industry in scientific and licensed professions and how they will participate in the planning and implementation of the project. Include a letter of support from the participating program. (2 pts.)
4. Describe the program's ability and willingness to cooperate with other postsecondary institutions as well as its planned involvement in the Statewide and Regional collaborations related to education in the licensed professions, scientific, and technical fields. (3 pts.)

C. Program Work Plan (total 40 pts.)

Complete the STEP Program Work Plan template posted with the RFP. The document includes a Work Plan for all five years of the program. The Work Plan is not part of the 10-page Program Narrative, but it is part of Program Narrative scoring. (**Applicants may add Tasks or Performance Measures to the Work Plan tables if needed and also do not have to use all of the provided spaces for Tasks and Performance Measures.**)

Program Work Plan should identify the activities, timeline, staff responsible, and evaluation tool associated with the following program requirements:

1. Describe academic and student support programming and activities that include tutoring; academic, career, and financial aid advising; college planning; special summer courses; supplemental financial assistance; academic enrichment; and planning/support for students to enter higher education and pursue careers in scientific, technical fields and the licensed professions. (5 pts.)
2. Describe the activities to increase student involvement in research, internships, and/or college level coursework. (5 pts.)
3. Provide student professional development opportunities: workshops, poster presentations, publications in professional/research journals that promote access to careers in math, science, technology, health-related fields, and the licensed professions. (5 pts.)
4. Describe the activities to enhance student skills for STEP participants in mathematics and the sciences that will facilitate the skills necessary to satisfy secondary school graduation requirements in NYS. (5 pts.)
5. Describe the process conducted in planning and implementing an annual Service-Learning activity. (5 pts.)
6. Describe how the project will implement and sustain a parent component with clearly defined roles, responsibilities, and activities. (5 pts.)
7. Describe the activities to develop and implement a STEP Advisory Committee with membership representatives from various stakeholder groups, such as students, parents, local K-12 administrators or teachers, and campus faculty or staff. Describe when the STEP Advisory Committee will meet and how they will assist with upcoming programming and the self-review process. (5 pts.)
8. Describe how you will promote and encourage collaborations with Statewide & Regional partners by participating in Statewide and Regional networking and committees (5 pts.)

D. Recruitment (10 points)

1. Describe all strategies and activities used to recruit and select participants who are economically disadvantaged or minorities historically underrepresented in the scientific, technical, health, and licensed professions. Based on your region and school partners, describe the targeted student groups 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. (4 pts.)

2. Describe the process and list the criteria to select participants for any component of the program, such as requirements for internships/research opportunities, summer programming, Service-Learning and other field experiences. (3 pts.)
3. Describe other nonacademic criteria that will be considered in the student selection process. (3 pts.)

E. Retention (5 points)

1. Describe how your program plans to retain students. Discuss how the plan differs from grade level to grade level, addressing all grades (7-12). (2.5 pts.)
2. Provide a detailed timeline (e.g., summer, fall, winter, spring) of your recruitment and retention activities. (2.5 pts.)

F. Project Staffing and Management (5 points)

1. Briefly describe all professional positions (full-time and part-time) that will be assigned directly to the project. Define role and scope of designated positions. If submitting separate proposals for two or more geographically separate campuses, each proposal should identify internal controls for any overlapping personnel. (1 pt.)
2. List the names in the Program Narrative and provide an attachment containing the current resumes for all full-time and part-time professionals, including instructional staff, to be assigned to the project. (1 pt.)
3. Describe a management plan that will ensure the effective completion of project activities, given the fiscal and other resources available. Consortium applicants only: Demonstrate collaboration in order to establish best practices among consortium partners; describe coordination and maintenance of all reports, student records, and fiscal transactions; describe how the consortium will provide leadership and programmatic oversight of each site. (MOUs for each member institution are to be submitted to NYSED and kept on file (it is recommended that the MOUs be submitted with the application; if they are not, funding for project and work cannot commence prior to submission of MOUs for each consortium member institution.) The consortium management plan should also include the organizational relationships between headquarters or the lead institution and each member institution. (2 pts.)
4. Provide an organization chart indicating the program's management structure within the institution, including how the program will be located and associated within Academic/Student Affairs. Consortium applicants only: Provide an organization chart of the consortium arrangement. (Upload organizational chart as part of Narrative Attachments.) (1 pt.)

G. Budget/Budget Narrative (25 points)

- Applications shall include the [FS-10](#) and STEP Budget Narrative, both in **MS Excel format**
 - [FS-10 budget form](#). Applicants should complete and submit a separate FS-10 for each year of the program.

- Budget Narrative, which provides description for all expenses entered onto the five FS-10 budgets. The Budget Narrative justifies all proposed expenditures, which must include details clarifying their nature, and the method of the calculation for each cost. Please utilize the STEP Budget Narrative form located on the [STEP website](#).

XVI. APPLICATION REVIEW AND RATING PROCESS

Applications have a total value of 100 points (not including priority points): 75 for the technical section and 25 for the budget section.

Priority points (up to 6 points for current STEP projects):

1. Enrollment (2 points)

If your 20-23 STEP program met the required 95% enrollment for:

4-year (20, 21, 22 and 23) - 2 pts

3-year - 1.5 pts

2-year - 1 pt

1 year - .5 pt

2. On-time submission of budget documents and interim/final reports as described in the 2020-2025 RFP (2 points)

On time budget documents for 4 years - 1 pt

On time final report for 4 years - 1 pt

On time 3 years - .75 pt

On time 3 years - .75 pt

On time 2 years – .5 pt

On time 2 years - .5 pt

On time 1-year - .25 pt

On time 1-year - .25 pt

3. Expended previously awarded funds of 90% or more (2 points)

4 years - 2 pts

3 years – 1.5 pts

2 years - 1 pt

1-year - .5 pt

SECTION	POINTS
A. Institutional Expertise	5
1. Institutional expertise/efforts	(5)
B. Cooperative Relationships	10
1. Community-based partnerships (school and local)	(3)
2. Internal college/university partnerships	(2)
3. Participation of government agencies, business/industry and at least one profession	(2)
4. Statewide and regional activities	(3)
C. Program Work Plan (use template posted with the RFP)	40
1. Describe academic/student services and activities that include: tutoring, academic advising, college planning, special summer courses, supplemental financial assistance, academic enrichment, and career planning for students to enter higher education and pursue careers in scientific, technical fields and the licensed professions.	(5)
2. Describe activities to increase student involvement in research, internships, and/or college level coursework.	(5)

<ul style="list-style-type: none"> 3. Provide student professional development opportunities: workshops, poster presentations, publications in professional/research journals that promote access to careers in math, science, technology, health-related fields, and the licensed professions. (5) 4. Describe the activities to enhance student skills for STEP participants in mathematics and the sciences that will facilitate the skills necessary to satisfy secondary school graduation requirements in NYS. (5) 5. Describe the process conducted in planning and implementing an annual Service-Learning activity. (5) 6. Describe how the project will implement and sustain a parent component with clearly defined roles, responsibilities, and activities. (5) 7. Describe the activities to develop and implement a STEP Advisory Committee with membership representatives from various stakeholder groups, such as students, parents, local K-12 administrators or teachers, and campus faculty or staff. Describe when the STEP Advisory Committee will meet and how they will assist with upcoming programming and the self-review process. (5) 8. Describe how you will promote and encourage collaborations with Statewide & Regional partners by participating in Statewide and Regional networking and committees. (5) 	
<p>D. Recruitment</p> <ul style="list-style-type: none"> 1. Describe all strategies and activities to recruit and select targeted STEP participants. (4) 2. Describe the process and criteria to select participants for various components of the program. (3) 3. Describe other nonacademic criteria that will be considered in the student selection process (3) 	10
<p>E. Retention</p> <ul style="list-style-type: none"> 1. Describe how your program plans to retain students. Discuss how the plan differs from grade level to grade level, addressing all grades (7-12) (2.5) 2. Provide a detailed timeline (e.g., summer, fall, winter, spring) of your recruitment and retention activities (2.5) 	5
<p>F. Project Staffing & Management</p> <ul style="list-style-type: none"> 1. Position descriptions (1) 2. Resumes of project staff (1) 3. Management plan (2) 4. Organizational chart (1) 	5
<p>G. Budget – Not-for-Profit applicants – Budget narrative and five FS-10 budgets For-Profit applicants – evaluated by Contract Administration Unit</p>	25
TOTAL	100
<p>Priority Points</p> <ul style="list-style-type: none"> 1. Enrollment (2) 2. Timely submission of budgets and reports (2) 3. Expenditure (2) 	6

XVII. METHOD OF DETERMINING AWARD

A. Awarding of Funds to Not-for-Profit Institutions

- o Two reviewers will score the Proposal Narrative. The Proposal Narrative section is worth a total of 75 points.
- o The five FS-10 Budgets and the Budget Narrative for each application will also be reviewed and scored by both reviewers. The budget section represents 25 points of the final score.
- o Up to 6 priority points will be awarded to the applicants from previous STEP awards in accordance with compliance in each area. These are not applied unless the application scores 60.
- o The final score used for rank ordering the applications will be the average of the two reviewers' scores for the total of the Program Narrative, Budget (including narrative), and priority points.
- o If, however, the two reviewers' scores have a discrepancy of more than 15 points, a third reviewer will score the proposal. In cases where a third review is necessary, the two closest scores will be averaged to obtain the final average score. If one reviewer's score is equal to the average of the highest and lowest scores, that middle score will become the final score.
- o Applicants whose total score averages below 60 points on the 100-point scale of the proposal (for both Program Narrative and Budget/Budget Narrative score combined) will not be eligible to receive a STEP award.
- o In the event of a tie score, the tie breaker will be the highest score on the Proposal Narrative.
- o If the scores remain tied, the second tiebreaker will be the highest score in the Program Work Plan section.
- o 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, that next ranked applicant will be given the opportunity to operate a smaller program using the remaining funds.

B. Award of Funds to For-Profit Institutions

- o A maximum of \$600,500 will be set aside for the highest-ranking for-profit applicants statewide.
- o The budget section of the proposal represents 25 points of the final score.
 - Twenty (20) points will be awarded pursuant to a formula based on per student cost. 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 per year (unduplicated number of students/headcount). 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 overall budget that reflects the lowest cost per student. As noted in the Funding Limitation section, a program may not exceed \$2,000 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.

- Similarly, five (5) points will be awarded for the highest institutional match (calculated from the Composite budget) per total amount of STEP funds requested from NYSED. The remaining budgets will be awarded points based on a calculation that computes the relative difference of each proposal against the highest institutional match. The resulting percentage is then applied to the maximum point value of five (5) points. The total points for the match component are then added to the cost per student component to achieve the applicant's final cost score. (25 Points total)
- o In the event of a tie score, the tie breaker will be the highest score on the Proposal Narrative.
- o If the scores remain tied, the second tiebreaker will be the highest score in the Program Work Plan section.
- o 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, that next ranked applicant will be given the opportunity to operate a smaller program using the remaining funds.
- o If funds remain after awarding the for-profit applicants, those funds revert to the not-for-profit award method.

XVIII. NOTIFICATION OF AWARD

All applicants will be notified in writing regarding the disposition of their proposal. Successful applicants will be informed of the amount of their award and the 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 Procedures below).

Post Selection Procedures/ Contract Terms and Conditions

Individual awards issued under this grant proposal will require that the awardee enter into a grant contract, the form of which will be posted with this RFP. In addition to being signed by the awardee and NYSED Counsel, the contract will need to be submitted for review and approval by the NYS Attorney General and the Office of the State Comptroller. All provisions of this RFP are subordinate to the terms and conditions of the grant contract. 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 fifteen (15) calendar 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@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.

XIX. CONTRACT AWARD PROTEST PROCEDURES

Applicants who receive a notice of non-award or disqualification 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 or disqualification letter. The protest letter must be filed with steprfp@nysed.gov attention Thomas McBride.
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 bidder with written notification of the review team's decision within ten (10) 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.

STEP 2025-2030 Application

**SCIENCE AND TECHNOLOGY ENTRY PROGRAM (STEP)
COVER PAGE**

Instructions: New applicants for the STEP grant and current grantees must create and test or only test their Go Anywhere accounts respectively by November 13, 2024, to be able to submit the grant application. Applicants without access to GoAnywhere should send an email to steprfp@nysed.gov to request access. Please submit the complete application on Go Anywhere at [Go Anywhere Website Login](#) by November 26, 2024, as follows:

- Narrative application and any attachments in Word and/or searchable/editable PDF files.
- Program Work Plan – Please use the template posted with the RFP. The work plan includes all five years of the program.
- [FS-10 budget form](#). Non-Profit and For-Profit applicants should complete and submit a separate FS-10 for each year of the program. Utilize the Excel version of the FS-10.
- Budget Narrative, which provides description for all expenses entered onto the five FS-10 budgets. The Budget Narrative justifies all proposed expenditures, which must include details clarifying their nature, and the method of the calculation for each cost. Please utilize the STEP Budget Narrative form located on the STEP website. M/WBE Package. Utilize the packet included in the RFP.
- Signed and scanned Application Cover Page.

If there are technical issues with Go Anywhere and you cannot submit your application by Go Anywhere, contact steprfp@nysed.gov at least three business days before the deadline to request alternative means of submission. **However, even if an alternative submission method is used, applications must be received by November 26, 2024.**

Name of Institution: _____

Address: _____

Institutional Contact: _____ Title: _____

Address: _____

Phone: _____ Fax: _____

(Area Code) (Number) (Extension) (Area Code) (Number)

Judicial District: _____ Regents District: _____

Email Address: _____ / _____

Annual Projected Number of Program Participants: _____

Academic Year

Summer

Unduplicated Count

Name of partnering school district that has enrollment comprised of at least twenty percent minority students: _____

List your member institutions if you are applying as part of a consortium: _____

I hereby certify that I am the applicant's chief school/administrative officer and that the information contained in this application is, to the best of my knowledge, complete and accurate. I further certify, to the best of my knowledge, that any ensuing program and activity will be conducted in accordance with all applicable Federal and State laws and regulations, application guidelines and instructions, Assurances, Certifications, Master Contract for Grants and that the requested budget amounts are necessary for the implementation of this project. It is understood by the applicant that this application constitutes an offer and, if accepted by the NYS Education Department or renegotiated to acceptance, will form a binding agreement. It is also understood by the applicant that immediate written notice will be provided to the grant program office if at any time the applicant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

The following forms of e-signatures are acceptable:

- a. handwritten signatures on faxed or scanned documents
- b. e-signatures that have been authenticated by a third-party digital software, such as DocuSign and Adobe Sign
- c. stored copies of the images of signatures that are placed on a document by copying and pasting or otherwise inserting them into the documents.

Unacceptable forms of e-signatures include a typed name, including a signature created by selecting a script or calligraphy font for the typed name of the person "signing."

Name of Person completing this form: _____	Date: _____
Title: _____	Phone: _____ (Area Code) (Number) (Extension)
President's (or Designee's) Name: _____	
President's (or Designee's) Signature: _____	Date: _____

Attachment I

Applicant Name: _____

School and Organization Information

List all schools, school districts, and other organizations involved in the planning, development, implementation, and evaluation of this project. Note: The applicant must be located within and partner with a school district with an enrollment comprising at least twenty percent historically underrepresented or economically disadvantaged students or must be located near such a district that is accessible by public transportation.

Name and Address	School District	Contact Person & Phone Number	Type of Organization

**S = School, SD = School District, CBO = Community-Based Organization, O = Other (Specify),
B = Business, TC = Teacher Center, PO = Professional Organization**

Institution Name: _____

Program Name: _____

Project Operation (Complete all that apply):

Duration of Program: Summer: _____ to _____

Academic Year: _____ to _____

Summer: Number of Weeks: _____ Days per week: _____

Academic Year: Number of Weeks: _____ Number of hours per week (After School): _____

Programs should operate a **minimum of 20 weeks during the academic year.**

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

All programs must provide services to all grade levels throughout the grant/contract cycle.

Seventh Grade: _____ Ninth Grade: _____ Eleventh Grade: _____

Eight Grade: _____ Tenth Grade: _____ Twelfth Grade: _____

TOTAL: _____

List all programs at the institution having similar purposes which could be coordinated with this program:

Institution Name: _____

STATEMENT OF ASSURANCES

1. The recipient will, if funded, operate a **Science and Technology Entry Program (STEP)** as described by this Request for Proposals and within the letter and spirit of all pertinent legislation (Chapter 31, Article 130, Section 6454 of the NYS Education Law).
2. Funds from the State STEP award will supplement, not supplant, local expenditures and will not duplicate expenditures from other sources.
3. All activities supported by State STEP funds will, to the extent possible, be accessible by persons with disabilities.
4. 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.
5. All materials developed in whole or in part with the support of State STEP funds, including publicity releases and program announcements whether published in print or on the web, 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.

6. The State STEP funds requested will be used to operate a program to prepare historically underrepresented or economically disadvantaged students for entry into scientific fields, technical fields, and the licensed professions. Students benefiting from these funds will be New York State residents.

*Original signature of Chief Administrative Officer or their designee is required.

CHIEF ADMINISTRATIVE 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.

Signature: _____ Date: _____
(Chief Administrative Officer)

Print Name & Title: _____

Institution Name: _____

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: _____

Proposed Budgets and Budget Narrative

Complete five separate Proposed FS-10 Budgets, one for each year of the program. The FS-10 be found in Excel format on the [NYSED website](#).

Complete and upload the proposed Budget Narrative form, which includes the Composite budget, which may be found in Excel format on the [STEP website](#).

If applicable, please complete a Payee Information form/NYSED Substitute W-9

Payee Information Form/NYSED Substitute W-9 – The [Payee Information Form](#) is a packet containing the Payee Information Form itself and an accompanying NYSED Substitute W-9. The NYSED Substitute W-9 may or may not be needed from your agency. Please follow the specific instructions provided with the form. The Payee Information Form is used to establish the identity of the applicant organization and enables it to receive federal (and/or State) funds through the NYSED. A Payee Information (or PI) form 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. A new form must also be submitted when an agency's payment address changes.

2025-2030 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.

DOCUMENTS TO UPLOAD TO GOANYWHERE

	Checked – Applicant	Checked – NYSED
A. 2025-2030 Cover Page / Application for Funding (Original Signature Required)	<input type="checkbox"/>	<input type="checkbox"/>
B. Proposal Application Checklist	<input type="checkbox"/>	<input type="checkbox"/>
C. Proposal Narrative	<input type="checkbox"/>	<input type="checkbox"/>
D. Narrative Attachments (MOUs, letters, resumes, org. charts)	<input type="checkbox"/>	<input type="checkbox"/>
E. Program Work Plan (for each year of the program)	<input type="checkbox"/>	<input type="checkbox"/>
F. FS-10 Budget forms (one for each year of the program)	<input type="checkbox"/>	<input type="checkbox"/>
G. Budget Narrative (including Composite Budget)	<input type="checkbox"/>	<input type="checkbox"/>
H. MWBE Documents (one set to cover all 5 years of program)	<input type="checkbox"/>	<input type="checkbox"/>
I. Payee Information Form, if applicable	<input type="checkbox"/>	<input type="checkbox"/>
J. Attachment I (including Statement of Assurances) (Original Signature Required)	<input type="checkbox"/>	<input type="checkbox"/>
OTHER		
K. Is the applicant Prequalified? (While no documentation is required with the application, the applicant must be prequalified in order to be eligible for this grant opportunity)	<input type="checkbox"/>	<input type="checkbox"/>
L. Worker’s Compensation Documentation (recommended)	<input type="checkbox"/>	<input type="checkbox"/>
M. Disability Benefits Documentation (recommended)	<input type="checkbox"/>	<input type="checkbox"/>

**PROPOSAL REVIEW CRITERIA
SCIENCE AND TECHNOLOGY ENTRY PROGRAM
2025-2030**

FOR USE BY NYSED APPLICATION REVIEW COMMITTEE

Name of Institution: _____

Proposal Number: _____

Reviewer Name: _____ Date sent to Reviewer: _____

Signature: _____ Date Completed: _____

Funding Requested: _____ Number of Students to be Served: _____

Narrative Score: _____ **Budgetary Score:** _____ **Priority Points:** _____ **Total Score:** _____

Directions for Raters:

Two reviewers will evaluate each proposal. Raters are asked to evaluate each technical and budget component as listed in the RFP, using the scales provided below. Reviewer comments are required to justify all scores. Raters should independently read and score each proposal. The scores of the two reviewers will be averaged to obtain the final average score. A third review will be performed if there is a difference of more than fifteen points between the two scores. In cases where a third review is necessary, the two closest scores will be averaged to obtain the final average score.

Rating Guidelines:

- Very Good -** 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 -** Unclear and non-specific. 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.
- Not Found -** Does not address the criteria or simply re-states the criteria.

A. Institutional Expertise <i>Provide a brief description of your institution's expertise in providing similar populations and in conducting collaborative education programs with neighboring schools. [5 Points]</i>	Very Good	Good	Fair	Poor	Not Found
1. Describe the institution's expertise and commitment in providing services to similar populations regarding science, technology, engineering, mathematics, health-related careers, and the licensed professions. Also describe your institution's experience conducting effective collaborative educational programs with neighboring secondary schools.	5	3.75	2.5	1.25	0

Institutional Expertise / <u>Comments:</u>	Score:	<input type="text"/>	<u>Out of 5</u>
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B. Cooperative Relationships <i>Provide a brief description of formal collaborations between the proposing institution and local education agencies such as local schools and school districts, CSTEP Programs, professional organizations, other agencies that will be involved in the project and/or others who will participate in the proposed project. Specify how each participating party will contribute to the project. MOUs are attached [10 Points]</i>	Very Good	Good	Fair	Poor	Not Found
1. Describe how community-based organizations, schools and/or districts will participate in the project's planning and implementation. Describe specifically your collaborative efforts with the school district that has an enrollment comprised of at least twenty percent minority students. Be sure to describe how the collaboration will support services to all grade levels (7-12) throughout the 2025-2030 grant/contract cycle. Also describe planned collaboration with other programs that have similar objectives and goals as STEP (i.e., CSTEP, YMCA, Liberty Partnership Program, etc.). Describe your partnership with a school district with an enrollment comprising at least twenty percent minority students. Letters of support from participating programs and MOUs from participating schools and/or districts (this documentation are included as an attachment). [3 points]	3	2.25	1.5	.75	0
2. Describe in detail the level and extent of the involvement of faculty, department chairs, or deans in the planning, implementation, and/or evaluation of the project. Include letters of support from key campus resources, departments, or faculty. (Letters should be included in the attachments) [2 points]	2	1.5	1	.5	0
3. Describe how government agencies, businesses, and/or industries in scientific and licensed professions will participate in the project's planning and implementation. Include at least one letter of support from each participating party. (Letters should be included in the attachments) [2 points]	2	1.5	1	.5	0

	Very Good	Good	Fair	Poor	Not Found
4. Describe the program's ability and willingness to cooperate with other postsecondary institutions and its involvement in the Statewide and Regional collaborations related to education in the licensed professions, scientific, and technical fields. [3 points]	3	2.25	1.5	.75	0

Cooperative Relationships / Comments:

Score:

Out of 10

C. Program Work Plan: <i>Responses provided on STEP Work Plan template, posted with RFP.</i>	Very Good	Good	Fair	Poor	Not Found
1. Describe academic and student support programming and activities that include tutoring, academic, career and financial aid advising; college planning; special summer courses; supplemental financial assistance; academic enrichment; and planning/support for students to enter higher education and pursue careers in scientific, technical fields and the licensed professions. [5 Points]	5	3.75	2.5	1.25	0
The applicant describes the activities, timeline, staffing, and evaluation tool(s) that support this program requirement.					

Requirement #1 / <u>Comments:</u>	Score: <input style="width: 50px; height: 20px;" type="text"/>	<u>Out of 5</u>
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C. Program Work Plan:	Very Good	Good	Fair	Poor	Not Found
2. Describe the activities to enhance and increase student involvement in research, internships, and/or college level coursework. [5 Points]	5	3.75	2.5	1.25	0
The applicant describes the activities, timeline, staffing, and evaluation tool(s) and services that support this program requirement.					

Requirement #2 / <u>Comments:</u>	<u>Score:</u>	<input type="text"/>	<u>Out of 5</u>
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C. Program Work Plan:	Very Good	Good	Fair	Poor	Not Found
3. Provide student professional development opportunities: workshops, poster presentations, publications in professional/research journals that promote access to careers in math, science, technology, health-related fields, and the licensed professions. [5 Points]	5	3.75	2.5	1.25	0
The applicant describes the activities, timeline, staffing, and evaluation tool(s) and services that support this program requirement.					

Requirement #3 / <u>Comments:</u>	Score:	<input type="text"/>	<u>Out of 5</u>
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C. Program Work Plan	Very Good	Good	Fair	Poor	Not Found
4. Describe the activities to enhance student skills for STEP participants in mathematics and the sciences that will facilitate the skills necessary to satisfy secondary school graduation requirements in NYS. [5 points]	5	3.75	2.5	1.25	0
The applicant describes the activities, timeline, staffing, and evaluation tool(s) and services that support this program requirement.					

Requirement #4 / Comments:

Score:

Out of 5

C. Program Work Plan	Very Good	Good	Fair	Poor	Not Found
5. Describe the process conducted in planning and implementing an annual Service-Learning activity. [5 points]	5	3.75	2.5	1.25	0
The applicant describes the activities, timeline, staffing, and evaluation tool(s) and services that support this program requirement					

Requirement #5 / <u>Comments:</u>	<u>Score:</u>	<input type="text"/>	<u>Out of 5</u>
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C. Program Work Plan	Very Good	Good	Fair	Poor	Not Found
6. Implement a parent component with clearly defined roles, responsibilities, and activities. [5 points]	5	3.75	2.5	1.25	0
The applicant describes the activities, timeline, staffing, and evaluation tool(s) and services that support this program requirement					

Requirement #6 / <u>Comments:</u>	Score:	<input type="text"/>	<u>Out of 5</u>
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C. Program Work Plan	Very Good	Good	Fair	Poor	Not Found
<p>7. Describe the activities to develop and implement a STEP Advisory Committee with membership representatives from various stakeholder groups, such as students, parents, local K-12 administrators or teachers, and campus faculty or staff. Describe how the STEP Advisory Committee will assist with upcoming programming and the self-review process. [5 points]</p>	5	3.75	2.5	1.25	0
<p>The applicant describes the activities, timeline, staffing, and evaluation tool(s) and services that support this program requirement</p>					

Requirement #7 / Comments:

Score:

Out of 5

C. Program Work Plan	Very Good	Good	Fair	Poor	Not Found
<p>8. Promote and encourage collaborations with Statewide & Regional partners by participating in Statewide and Regional networking and committees. [5 points]</p>	5	3.75	2.5	1.25	0
<p>The applicant describes the activities, timeline, staffing, and evaluation tool(s) and services that support this program requirement</p>					
<p>Requirement #8 / <u>Comments:</u></p>	<p><u>Score:</u></p>		<p><u>Out of 5</u></p>		
Empty space for comments					

D. Recruitment <i>Describe all strategies, activities and processes used to recruit and select participants. [10 Points]</i>	Very Good	Good	Fair	Poor	Not Found
1. Describe all strategies and activities used to recruit and select participants who are economically disadvantaged or minorities historically underrepresented in the scientific, technical, and health-related professions. 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. [4 points]	4	3	2	1	0
2. Describe the process and list the criteria to select participants for any component of the program, such as requirements for internships, summer programming and other field experiences. [3 points]	3	2.25	1.5	.75	0
3. Describe other nonacademic criteria that will be considered in the student selection process. [3 points]	3	2.25	1.5	.75	0

Recruitment / Comments:	Score: <input type="text"/>	Out of 10
--------------------------------	------------------------------------	------------------

E. Retention <i>Describe how students will be retained in STEP. [5 Points]</i>	Very Good	Good	Fair	Poor	Not Found
1. The applicant describes strategies and activities used to retain STEP students and how the plan differs by class level, addressing all grades (7-12). [2.5 points]	2.5	1.875	1.25	.625	0
2. Provide a timeline (e.g., summer, fall, winter, spring) of your activities. [2.5 points]	2.5	1.875	1.25	.625	0

Retention / <u>Comments:</u>	Score: <input data-bbox="1154 537 1278 604" type="text"/>	<u>Out of 5</u>
-------------------------------------	--	------------------------

F. Project Staffing and Management <i>Describe how the project will be staffed, including a management plan and organizational chart. [5 Points]</i>	Very Good	Good	Fair	Poor	Not Found
1. Applicant describes all professional positions (full-time and part-time) that will be assigned directly to the project. Define role and scope of designated positions. If submitting separate proposals for two or more geographically separate campuses, each proposal should identify internal controls for any overlapping personnel. [1 point]	1	.75	.5	.25	0
2. Applicant lists the names and provides an attachment containing the current resumes for all fulltime and part-time professionals, including instructional staff, to be assigned to the project. [1 point]	1	.75	.5	.25	0
3. Applicant describes a management plan that will assure the effective completion of STEP project activities, given the fiscal and other resources available, including how the program will be located and associated with Academic/Student Affairs. (Consortium applicants only: Demonstrate collaboration to establish best practices among consortium partners. Describe how the consortium will provide leadership and programmatic oversight of each site. Describe coordination and maintenance of all reports, student records, and fiscal transactions.) [2 points]	2	1.5	1	.5	0
4. Provide an organization chart that indicates the management structure of the STEP program within the institution including how the program will be located and associated with Academic/Student Affairs. [1 point] (Consortium applicants only: Provide an organization chart of the consortium arrangement.)	1	.75	.5	.25	0

Project Staffing and Management / Comments:

Score:

Out of 5

Technical Proposal Rating Scores by Section

A. Institutional Expertise

Out of 5 points

B. Cooperative Relationships

Out of 10 points

C. Program Work Plan

Out of 40 points

D. Recruitment

Out of 10 points

E. Retention

Out of 5 points

F. Project Staffing and Management

Out of 5 points

Total Score:

Out of 75 Points

FISCAL VIABILITY
Applies to NOT-FOR-PROFIT INSTITUTIONS Only
From the Composite Budget, FS-10 Form and Budget Narrative

Budgetary Standards [25 Points]	Very Good	Good	Fair	Poor	Not Found
1. STAFFING - Description of the costs in Professional and Support Service staffing (all items are appropriately budgeted and clearly indicate all staff members are essential to the operation of STEP).	5	3.75	2.5	1.25	0
2. PURCHASED SERVICES EXPENSES - Description and justification of the expenses in the Purchased Services category (all items are appropriately budgeted and clearly supported and are allowable costs for the operation of STEP).	5	3.75	2.5	1.25	0
3. SUPPLIES AND MATERIALS - Description and justification of the expenses in the Supplies and Materials category (all items are appropriately budgeted and clearly supported and are allowable costs for the operation of STEP)	5	3.75	2.5	1.25	0
4. TRAVEL - Description and justification of the expenses in the Travel category (all items are appropriately budgeted and clearly supported and are allowable costs for the operation of STEP).	5	3.75	2.5	1.25	0
5. INSTITUTIONAL MATCH - Description and justification of the amount and categories of the institutional match as found on the Composite Budget.	5	3.75	2.5	1.25	0

Budgetary & Fiscal Viability / Comments: **Score:** **Out of 25**

Priority points for current STEP projects (up to 6 points):

1. Enrollment (2 points)

If your 2020-23 STEP program met the required 95% enrollment for:

4 years (20, 21, 22 and 23) - 2pts

3 years - 1.5 pts

2 years - 1 pt

1 year - .5 pt

Score: _____

2. On time submission of budget documents and/or interim/final reports as described in the 2020-2025 RFP (2 points):

On time Budget documents:

4 years - 1 pt

3 years - .75 pt

2 years - .5 pt

1 year - .25 pt

On time Interim and Final reports:

4 years - 1 pt

3 years - .75 pt

2 years - .5 pt

1 year - .25 pt

Score: _____

3. Expended previously awarded funds of 90% or more (2 points):

4 years - 2 pts

3 years - 1.5 pts

2 years - 1 pt

1 year - .5 pt

Score: _____

Total Priority points: _____

FISCAL VIABILITY
Applies to FOR-PROFIT INSTITUTION Only

Contract Administration Unit

FISCAL VIABILITY FOR PROFIT INSTITUTIONS [25 Points]		
	Possible Points	Score
Best Value Total State Grant Cost	20	_____
Best Value Institutional Match	5	_____
Total Fiscal Viability FOR-PROFIT INSTITUTIONS	25	_____

**PROPOSAL REVIEW CRITERIA
GRAND TOTAL**

Proposal Narrative

Out of 75 points

Budget

Out of 25 points

TOTAL SCORE

Out of 100 points

Priority Points

Out of 6 points

GRAND TOTAL SCORE

Out of 106 points

M/WBE Documents
M/WBE Goal Calculation Worksheet

_____ Collegiate Science & Technology Entry Program
 _____ Science Technology Entry Program

Grantee Name: _____

Project Number: _____

The M/WBE participation goal is 30% of each grantee's total discretionary non-personal service budget. Discretionary non-personal service budget is defined as the total budget, excluding the sum of funds budgeted for direct personal services (i.e., professional and support staff salaries); fringe benefits; the portion of the budget in purchased services representing stipends; indirect costs; rent, lease, and utilities, if these are allowable expenditures. Please complete the following table to determine the dollar amount of the M/WBE goal for entire length of the grant.

	Budget Category	Amount budgeted for items excluded from M/WBE calculation	Total Budget
1.	Total Budget		
2.	Professional Salaries		
3.	Support Staff Salaries		
4.	Fringe Benefits		
5.	Portion of Purchased Services used for Stipends		
6.	Indirect Costs		
7.	Rent / Lease / Utilities*/ Conference Registration Fees		
8.	Sum of lines 2, 3, 4, 5, 6 and 7		
9.	Line 1 minus Line 8		
10.	M/WBE Goal percentage (30%)		0.30
11.	Line 9 multiplied by Line 10 = MWBE goal amount		

*If not included in #5

M/WBE COVER LETTER Minority & Women-Owned Business Enterprise Requirements

NAME OF GRANT PROGRAM _____

NAME OF APPLICANT _____

In accordance with the provisions of Article 15-A of the NYS Executive Law, 5 NYCRR Parts 140-145, Section 163 (6) of the NYS Finance Law and Executive Order #8 and in fulfillment of the New York State Education Department (NYSED) policies governing Equal Employment Opportunity and Minority and Women-Owned Business Enterprise (M/WBE) participation, it is the intention of the New York State Education Department to provide real and substantial opportunities for certified Minority and Women-Owned Business Enterprises on all State contracts. It is with this intention that NYSED has assigned M/WBE participation goals to this contract.

In an effort to promote and assist in the participation of certified M/WBEs as subcontractors and suppliers on this project for the provision of services and materials, the bidder is required to comply with NYSED’s participation goals through one of the three methods below. Please indicate which one of the following is included with the M/WBE Documents Submission:

- Full Participation – No Request for Waiver (PREFERRED)
- Partial Participation – Partial Request for Waiver
- No Participation – Request for Complete Waiver

By my signature on this Cover Letter, I certify that I am authorized to bind the Bidder’s firm contractually.

Signature/Date

Typed or Printed Name of Authorized Representative of the Firm

Typed or Printed Title/Position of Authorized Representative of the Firm

M/WBE UTILIZATION PLAN

INSTRUCTIONS: All bidders/applicants submitting responses to this procurement/project must complete this M/WBE Utilization Plan unless requesting a total waiver and submit it as part of their proposal/application. The plan must contain detailed description of the services to be provided by each Minority and/or Women-Owned Business Enterprise (M/WBE) identified by the bidder/applicant.

Bidder/Applicant's Name _____

Telephone/Email: _____/_____

Address _____

Federal ID No.: _____

City, State, ZIP _____

RFP No.: _____

Certified M/WBE	Classification (check all applicable)	Description of Work (Subcontracts/Supplies/Services)	Dollar Value of Subcontracts/Supplies/Services
NAME ADDRESS CITY, ST, ZIP PHONE/E-MAIL FEDERAL ID No.	NYS ESD Certified MBE _____ WBE _____		\$ _____
NAME ADDRESS CITY, ST, ZIP PHONE/E-MAIL FEDERAL ID No.	NYS ESD Certified MBE _____ WBE _____		\$ _____

PREPARED BY (Signature) _____

DATE _____

SUBMISSION OF THIS FORM CONSTITUTES THE BIDDER/APPLICANT'S ACKNOWLEDGEMENT AND AGREEMENT TO COMPLY WITH THE M/WBE REQUIREMENTS SET FORTH UNDER NYS EXECUTIVE LAW, ARTICLE 15-1, 5 NYCRR PART 143 AND THE ABOVE REFERENCE SOLICITATION. FAILURE TO SUBMIT COMPLETE AND ACCURATE INFORMATION MAY RESULT IN A FINDING OF NONCOMPLIANCE AND/OR PROPOSAL/APPLICATION DISQUALIFICATION.

NAME AND TITLE OF PREPARER: _____
(print or type)

TELEPHONE/E-MAIL _____

DATE _____

REVIEWED BY _____ DATE _____

UTILIZATION PLAN APPROVED YES/NO DATE _____

NOTICE OF DEFICIENCY ISSUED YES/NO DATE _____

NOTICE OF ACCEPTANCE ISSUED YES/NO DATE _____

M/WBE SUBCONTRACTORS AND SUPPLIERS NOTICE OF INTENT TO PARTICIPATE

INSTRUCTIONS: Part A of this form must be completed and signed by the Bidder/Applicant unless requesting a total waiver. Parts B & C of this form must be completed by MBE and/or WBE subcontractors/suppliers. The Bidder/Applicant must submit a separate M/WBE Notice of Intent to Participate form for each MBE or WBE as part of the proposal/application.

Bidder/Applicant Name: _____ Federal ID No.: _____

Address: _____ Phone No.: _____

City _____ State _____ ZIP Code _____ E-mail: _____

Signature of Authorized Representative of Bidder/Applicant's Firm

Print or Type Name and Title of Authorized Representative of Bidder/Applicant's Firm

Date: _____

PART B - THE UNDERSIGNED INTENDS TO PROVIDE SERVICES OR SUPPLIES IN CONNECTION WITH THE ABOVE PROCUREMENT/APPLICATION:

Name of M/WBE: _____ Federal ID No.: _____

Address: _____ Phone No.: _____

City, State, ZIP Code _____ E-mail: _____

BRIEF DESCRIPTION OF SERVICES OR SUPPLIES TO BE PERFORMED BY MBE OR WBE:

DESIGNATION: MBE Subcontractor WBE Subcontractor MBE Supplier WBE Supplier

PART C - CERTIFICATION STATUS (CHECK ONE):

The undersigned is a certified M/WBE by the New York State Division of Minority and Women-Owned Business Development (MWBD).

THE UNDERSIGNED IS PREPARED TO PROVIDE SERVICES OR SUPPLIES AS DESCRIBED ABOVE AND WILL ENTER INTO A FORMAL AGREEMENT WITH THE BIDDER/APPLICANT CONDITIONED UPON THE BIDDER/APPLICANT'S EXECUTION OF A CONTRACT WITH THE NYS EDUCATION DEPARTMENT.

The estimated dollar amount of the agreement \$ _____

Signature of Authorized Representative of M/WBE Firm

Printed or Typed Name and Title of Authorized Representative

Date

M/WBE CONTRACTOR GOOD FAITH EFFORTS CERTIFICATION (FORM 105)

PROJECT/CONTRACT # _____

I, _____
(Bidder/Applicant)

_____ of _____
(Title) (Company)

_____ (_____) _____
(Address) (Telephone Number)

do hereby submit the following as *evidence* of our good faith efforts to retain certified minority- and women-owned business enterprises:

- (1) Copies of its solicitations of certified minority- and women-owned business enterprises and any responses thereto;
- (2) If responses to the contractor’s solicitations were received, but a certified minority- or woman-owned business enterprise was not selected, the specific reasons that such enterprise was not selected;
- (3) Copies of any advertisements for participation by certified minority- and women-owned business enterprises timely published in appropriate general circulation, trade, and minority- or women-oriented publications, together with the listing(s) and date(s) of the publication of such advertisements;
- (4) Copies of any solicitations of certified minority- and/or women-owned business enterprises listed in the directory of certified businesses;
- (5) The dates of attendance at any pre-bid, pre-award, or other meetings, if any, scheduled by the State agency awarding the State contract, with certified minority- and women-owned business enterprises which the State agency determined were capable of performing the State contract scope of work for the purpose of fulfilling the contract participation goals;
- (6) Information describing the specific steps undertaken to reasonably structure the contract scope of work for the purpose of subcontracting with, or obtaining supplies from, certified minority- and women-owned business enterprises.
- (7) Describe any other action undertaken by the bidder to document its good faith efforts to retain certified minority - and women-owned business enterprises for this procurement

Submit additional pages as needed.

Authorized Representative Signature

Date

M/WBE CONTRACTOR UNAVAILABLE CERTIFICATION

RFP#/PROJECT NAME _____

I, _____
 (Authorized Representative) (Title) (Bidder/Applicant's Company)

 (Address) (Phone)

certify that the following New York State Certified Minority/Women Business Enterprises were contacted to obtain a quote for work to be performed on the abovementioned project/contract.

List of date, name of M/WBE firm, telephone/e-mail address of M/WBEs contacted, type of work requested, estimated budgeted amount for each quote requested.

<u>DATE</u>	<u>M/WBE NAME</u>	<u>PHONE/EMAIL</u>	<u>TYPE OF WORK</u>	<u>ESTIMATED BUDGET</u>	<u>REASON</u>
1.					
2.					
3.					
4.					
5.					

To the best of my knowledge and belief, said New York State Certified Minority/Women Business Enterprise contractor(s) was/were not selected, unavailable for work on this project, or unable to provide a quote for the following reasons: Please check appropriate reasons given by each MBE/WBE firm contacted above.

- _____ **A.** Did not have the capability to perform the work
- _____ **B.** Contract too small
- _____ **C.** Remote location
- _____ **D.** Received solicitation notices too late
- _____ **E.** Did not want to work with this contractor
- _____ **F.** Other (give reason) _____

Authorized Representative Signature **Date** **Print Name**

REQUEST FOR WAIVER FORM

BIDDER/APPLICANT NAME:

TELEPHONE:

ADDRESS:

EMAIL:

FEDERAL ID NO.:

CITY, STATE, ZIP CODE:

RFP#/PROJECT NO.:

INSTRUCTIONS: By submitting this form and the required information, the bidder/applicant certifies that Good Faith Efforts have been taken to promote M/WBE participation pursuant to the M/WBE goals set forth under this RFP/Contract. Please see Page 2 for additional requirements and document submission instructions.

BIDDER/APPLICANT IS REQUESTING (check all that apply):	
<input type="checkbox"/> MBE Waiver - A waiver of the MBE goal for this procurement is requested. <input type="checkbox"/> Total <input type="checkbox"/> Partial _____%	<input type="checkbox"/> WBE Waiver - A waiver of the WBE goal for this procurement is requested. <input type="checkbox"/> Total <input type="checkbox"/> Partial _____%

PREPARED BY (Signature): _____

DATE: _____

SUBMISSION OF THIS FORM CONSTITUTES THE BIDDER/APPLICANT'S ACKNOWLEDGEMENT AND AGREEMENT TO COMPLY WITH THE M/WBE REQUIREMENTS SET FORTH UNDER NYS EXECUTIVE LAW, ARTICLE 15-A, 5 NYCRR PART 143, AND THE ABOVE REFERENCED SOLICITATION. FAILURE TO SUBMIT COMPLETE AND ACCURATE INFORMATION MAY RESULT IN A FINDING OF NONCOMPLIANCE AND/OR PROPOSAL DISQUALIFICATION.

NAME OF PREPARER:	FOR AUTHORIZED USE ONLY
TITLE OF PREPARER: TELEPHONE: EMAIL:	REVIEWED BY: _____ DATE: _____ WAIVER GRANTED <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> TOTAL WAIVER <input type="checkbox"/> PARTIAL WAIVER <input type="checkbox"/> NOTICE OF DEFICIENCY <input type="checkbox"/> CONDITIONAL WAIVER COMMENTS:

M/WBE 101

REQUIREMENTS AND DOCUMENT SUBMISSION INSTRUCTIONS

When completing the Request for Waiver Form, please check all boxes that apply. To be considered, the Request for Waiver Form must be accompanied by documentation for items 1-10, as listed below. Copies of the following information and all relevant supporting documentation must be submitted along with the request.

1. A statement setting forth your basis for requesting a partial or total waiver.
2. The names of general circulation, trade association, and M/WBE-oriented publications in which you solicited certified M/WBEs for the purposes of complying with your participation goals.
3. A list identifying the date(s) that all solicitations for certified M/WBE participation were published in any of the above publications.
4. A list of all certified M/WBEs appearing in the NYS Directory of Certified Firms that were solicited for purposes of complying with your certified M/WBE participation levels.
5. Copies of notices, dates of contact, letters, and other correspondence as proof that solicitations were made in writing and copies of such solicitations, or a sample copy of the solicitation if an identical solicitation was made to all certified M/WBEs.
6. Provide copies of responses made by certified M/WBEs to your solicitations.
7. Provide a description of any contract documents, plans, or specifications made available to certified M/WBEs for purposes of soliciting their bids and the date and manner in which these documents were made available.
8. Provide documentation of any negotiations between you, the Bidder/Applicant and the M/WBEs undertaken for purposes of complying with the certified M/WBE participations goals.
9. Provide any other information you deem relevant that may help us in evaluating your request for a waiver.
10. Provide the name, title, address, telephone number and email address of the Bidder/Applicant's representative authorized to discuss and negotiate this waiver request.

NOTE: Unless a Total Waiver has been granted, Bidder/Applicant will be required to submit all reports and documents pursuant to the provisions set forth in the procurement and/or contract, as deemed appropriate by NYSED, to determine M/WBE compliance.

EQUAL EMPLOYMENT OPPORTUNITY - STAFFING PLAN (Instructions on Page 2)

Applicant Name: _____

Telephone: _____

Address: _____

Federal ID No.: _____

City, State, ZIP: _____

Project No: _____

Report includes:

Work force to be utilized on this contract OR

Applicant's total work force

Enter the total number of employees in each classification in each of the EEO-Job Categories identified.

EEO - Job Categories	Total Work Force	Race/Ethnicity - report employees in only one category																	
		Hispanic or Latino		Not-Hispanic or Latino															
		Male										Female							
		Male	Female	White	African-American or Black	Native Hawaiian or Other Pacific Islander	Asian	American Indian or Alaska Native	Two or More Races	Disabled	Veteran	White	African-American	Native Hawaiian or Other Pacific Islander	Asian	American Indian or Alaska Native	Two or More Races	Disabled	Veteran
Executive/Senior Level Officials and Managers																			
First/Mid-Level Officials and Managers																			
Professionals																			
Technicians																			
Sales Workers																			
Administrative Support Workers																			
Craft Workers																			
Operatives																			
Laborers and Helpers																			
Service Workers																			
TOTAL																			

PREPARED BY (Signature): _____
 NAME AND TITLE OF PREPARER: _____

DATE: _____
 TELEPHONE/EMAIL: _____

STAFFING PLAN INSTRUCTIONS

General Instructions: All Bidders/Applicants in the proposal/application must complete an EEO Staffing Plan (EEO 100) and submit it as part of the package. Where the work force to be utilized in the performance of the State contract/project can be separated out, the Bidder/Applicant shall complete this form only for the anticipated work force to be utilized on the State contract/project. Where the work force to be utilized in the performance of the State contract/project cannot be separated out, the Bidder/Applicant shall complete this form for Bidder/Applicant's total work force.

Instructions for Completing:

1. Enter the Project number that this report applies to, along with the name, address, and federal ID number of the Bidder.
2. Check the appropriate box to indicate if the work force being reported is just for the contract/project or the Bidder/Applicant's total work force.
3. Check off the appropriate box to indicate if the Bidder completing the report is the contractor or subcontractor.
4. Enter the total work force by EEO job category.
5. Break down the total work force by gender and race/ethnic background and enter under the heading Race/Ethnicity. Contact the M/WBE Coordinator, mwbegrants@nysed.gov, if you have any questions.
6. Enter the name, title, phone number and email address for the person completing the form. Sign and date the form in designated areas.

RACE/ETHNIC IDENTIFICATION

For purposes of this form NYSED will accept the definitions of race/ethnic designations used by the federal Equal Employment Opportunity Commission (EEOC), as those definitions are described below or amended hereafter. (Be advised these terms may be defined differently for other purposes under NYS statutory, regulatory, or case law). Race/ethnic designations as used by the EEOC do not denote scientific definitions of anthropological origins. For the purposes of this report, an employee may be included in the group to which he or she appears to belong, identifies with, or is regarded in the community as belonging. The race/ethnic categories for this survey are:

- **Hispanic or Latino** - A person of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture or origin regardless of race.
- **White (Not Hispanic or Latino)** - A person having origins in any of the original peoples of Europe, the Middle East, or North Africa.
- **Black or African American (Not Hispanic or Latino)** - A person having origins in any of the black racial groups of Africa.
- **Native Hawaiian or Other Pacific Islander (Not Hispanic or Latino)** - A person having origins in any of the peoples of Hawaii, Guam, Samoa, or other Pacific Islands.
- **Asian (Not Hispanic or Latino)** - A person having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian Subcontinent, including, for example, Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam.
- **American Indian or Alaska Native (Not Hispanic or Latino)** - A person having origins in any of the original peoples of North and South America (including Central America), and who maintain tribal affiliation or community attachment.
- **Two or More Races (Not Hispanic or Latino)** - All persons who identify with more than one of the above five races.
- **Disabled** - Any person who has a physical or mental impairment that substantially limits one or more major life activity; has a record of such an impairment; or is regarded as having such an impairment
- **Vietnam Era Veteran** - a veteran who served at any time between and including January 1, 1963 and May 7, 1975.

Appendix R
NEW YORK STATE EDUCATION DEPARTMENT'S
DATA PRIVACY APPENDIX FOR GRANT CONTRACTS

ARTICLE I: DEFINITIONS

As used in this Data Privacy Appendix ("DPA"), the following terms shall have the following meanings:

1. **Access:** The ability to view or otherwise obtain, but not copy or save, data arising from the on-site use of an information system or from a personal meeting.
2. **Breach:** The unauthorized Access, acquisition, use, or Disclosure of Personal Information that is (a) accomplished in a manner not permitted by New York State and federal laws, rules, and regulations, or in a manner that compromises its security or privacy, (b) executed by or provided to a person not authorized to acquire, access, use, or receive it, or (c) a Breach of Contractor's or Subcontractor's security that leads to the accidental or unlawful destruction, loss, alteration, Access to or Disclosure of, Personal Information.
3. **Disclose or Disclosure:** The intentional or unintentional release, transfer, or communication of Personal Information by any means, including oral, written, or electronic.
4. **Personal Information:** Information concerning a natural person which, because of name, number, personal mark, or other identifier, can be used to identify such natural person.
5. **Services:** Services provided by Contractor pursuant to this Contract with the New York State Education Department ("NYSED") to which this DPA is attached and incorporated.
6. **Subcontractor:** Contractor's non-employee agents, consultants, volunteers, including student interns, who is engaged in the provision of Services pursuant to an agreement with or at the direction of the Contractor.

ARTICLE II: PRIVACY AND SECURITY OF PERSONAL INFORMATION

1. **Compliance with Law.**

When providing Services pursuant to this Contract, Contractor may receive and/or have Access to Personal Information regulated by one or more New York and/or federal laws and regulations, including, but not limited to, the Family Educational Rights and Privacy Act at 12 U.S.C. § 1232g (34 CFR Part 99); Children's Online Privacy Protection Act at 15 U.S.C. §§ 6501-6502 (16 CFR Part 312); Protection of Pupil Rights Amendment at 20 U.S.C. § 1232h (34 CFR Part 98); the Individuals with Disabilities Education Act at 20 U.S.C. § 1400 et seq. (34 CFR Part 300); the New York Education Law at § 2-d (8 NYCRR Part 121); the New York General Business Law at article 39-F; and the New York Personal Privacy Protection Law at Public Officers Law article 6-A. Contractor agrees to maintain the confidentiality and security of Personal Information in accordance with applicable New York, federal and local laws, rules and regulations.

2. Data Privacy and Security.

- (a) Contractor agrees and understands that Contractor has no property, licensing, or ownership rights or claims to Personal Information Accessed by or Disclosed to Contractor for the purpose of providing Services, and Contractor shall not use Personal Information for any purpose other than to provide Services. Contractor will ensure that its Subcontractors agree and understand that neither the Subcontractor nor Contractor has any property, licensing or ownership rights or claims to Personal Information received or Accessed by or Disclosed to Subcontractor for the purpose of assisting Contractor in providing Services.
- (b) Contractor shall adopt and maintain reasonable safeguards to protect the security, confidentiality, and integrity of Personal Information in a manner that complies with General Business Law section 899-bb and other applicable New York State, federal and local laws, rules, and regulations.
- (c) Upon NYSED's request, Contractor may be required to undergo an audit of its privacy and security safeguards, measures, and controls, or in lieu of performing an audit, provide NYSED with an industry standard independent audit report on Contractor's privacy and security practices that is no more than twelve months old.

3. Contractor's Employees and Subcontractors.

- (a) Access to or Disclosure of Personal Information shall only be provided to Contractor's employees and Subcontractors who need to know the Personal Information to provide the Services and such Access and/or Disclosure of Personal Information shall be limited to the extent necessary to provide such Services. Contractor shall ensure that all such employees and Subcontractors comply with the terms of this DPA.
- (b) Contractor must ensure that each Subcontractor performing Services where the Subcontractor will have Access to and/or receive Disclosed Personal Information is contractually bound by a written agreement that includes confidentiality and data security obligations equivalent to, consistent with, and no less protective than, those found in this DPA.
- (c) Contractor shall examine the data privacy and security measures of its Subcontractors. If at any point a Subcontractor fails to materially comply with the requirements of this DPA, Contractor shall (i) notify NYSED, (ii) as applicable, remove such Subcontractor's Access to Personal Information; and (iii) as applicable, retrieve all Personal Information received or stored by such Subcontractor and/or ensure that such Personal Information has been securely deleted or securely destroyed in accordance with this DPA. In the event there is an incident in which Personal Information held, possessed, or stored by the Subcontractor is compromised, unlawfully Accessed, or unlawfully Disclosed, Contractor shall follow the Data Breach reporting requirements set forth in Section 5 of this DPA.
- (d) Contractor shall take full responsibility for the acts and omissions of its employees and Subcontractors.
- (e) Other than Contractor's employees and Subcontractors who have a need to know the Personal Information, Contractor must not provide Access to or Disclose Personal Information to any other party unless such Disclosure is required by

statute, court order or subpoena, and Contractor notifies NYSED of the court order or subpoena no later than the time the Personal Information is Disclosed, unless such Disclosure to NYSED is expressly prohibited by the statute, court order or subpoena. Notification shall be made in accordance with the Notice provisions of this r Contract and shall also be provided to the Office of the Chief Privacy Officer, NYS Education Department, 89 Washington Avenue, Albany, New York 12234.

- (f) Contractor shall ensure that its Subcontractors know that they cannot provide Access to or Disclose Personal Information to any other party unless such Disclosure is required by statute, court order or subpoena. If a Subcontractor is required to provide Access to or Disclose Personal Information pursuant to a court order or subpoena, the Subcontractor shall, unless prohibited by statute, court order or subpoena, notify Contractor no later than two (2) days before any Personal Information is Disclosed. Upon receipt of notice from a Subcontractor, Contractor shall provide notice to NYSED no later than the time that the Subcontractor is scheduled to provide Access to or Disclose the Personal Information.
- (g) Contactor shall ensure that all its employees and Subcontractors who will receive Personal Information will be trained on the federal and state laws governing confidentiality of such data prior to receipt.

4. Data Return and Destruction of Data.

- (a) Contractor is prohibited from retaining Disclosed Personal Information or continuing to Access Personal Information, including any copy, summary or extract of Personal Information, on any storage medium (including, without limitation, hard copies, and storage in secure data centers and/or cloud-based facilities) beyond the term of the this Contract unless such retention is expressly authorized by the this Contract, necessary for purpose of facilitating the transfer of Personal Information to NYSED, or expressly required by law. As applicable, upon expiration or termination of this Contract, Contractor shall transfer Personal Information to NYSED in a format agreed to by the Parties.
- (b) When the purpose that necessitated Contractor's Access to and/or Disclosure of Personal Information has been completed or Contractor's authority to have Access to Personal Information and/or retain Disclosed Personal Information has expired, Contractor shall ensure that, as applicable, (1) all privileges providing Access to Personal Information are revoked, and (2) all Personal Information (including without limitation, all hard copies, archived copies, electronic versions, electronic imaging of hard copies) retained by Contractor and/or its Subcontractors, including all Personal Information maintained on behalf of Contractor or its Subcontractors in a secure data center and/or cloud-based facilities is securely deleted and/or destroyed in a manner that does not allow it to be retrieved or retrievable, read, or reconstructed. Hard copy media must be shredded or destroyed such that Personal Information cannot be read, or otherwise reconstructed, and electronic media must be securely cleared, purged, or destroyed such that the Personal Information cannot be retrieved, read, or reconstructed. When Personal Information is held in

paper form, destruction of such Personal Information, and not redaction, will satisfy the requirements for data destruction. Redaction is specifically excluded as a means of data destruction.

- (c) Upon request by NYSED, Contractor may be required to provide NYSED with a written certification of (1) revocation of Access to Personal Information granted by Contractor and/or its Subcontractors, and (2) the secure deletion and/or secure destruction of Personal Information held by the Contractor or Subcontractors, at the address for notifications set forth in this Contract.
- (d) To the extent that Contractor and/or its Subcontractors continue to be in possession of any de-identified data (i.e., data that has had all direct and indirect identifiers removed), Contractor agrees that it will not attempt to re-identify de-identified data and/or transfer de-identified data to any person or entity, except as provided in subsection (a) of this section and that it will prohibit its Subcontractors from the same.

5. Breach.

- (a) Contractor shall promptly notify NYSED of any Breach of Personal Information, regardless of whether the Contractor or a Subcontractor suffered the Breach, without delay and in the most expedient way possible, but in no circumstance later than seven (7) calendar days after discovery of the Breach. Notifications shall be made in accordance with the notice provisions of this contract and shall also be provide to the office of the Chief Privacy Officer, NYS Education Department, 89 Washington Avenue, Albany, New York 12234 and must include a description of the Breach that identifies the date of the incident, the date of discovery, the types of Personal Information affected and the number of records affected; a description of Contractor's investigation; and the name of a point of contact.
- (b) Contractor and its Subcontractors will cooperate with NYSED, and law enforcement where necessary, in any investigations into a Breach. Any costs incidental to the required cooperation or participation of the Contractor or its Subcontractors will be the sole responsibility of the Contractor if such Breach is attributable to Contractor or its Subcontractors.
- (c) Contractor shall promptly notify the affected individuals of any Breach, regardless of whether Contractor or a Subcontractor suffered the Breach. Such notice shall be made using one of the methods prescribed by § 899-aa (5) of the New York General Business Law. If Contractor requires information from NYSED to perform such notifications, Contractor shall reimburse NYSED for the cost of assembling and providing such information to Contractor.

6. Termination.

The confidentiality and data security obligations of Contractor under this DPA shall survive any termination of this Contract to which this DPA is attached and shall continue for as long as Contractor or its Subcontractors retain Access to Personal Information.