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

**Collegiate Science and Technology Entry Program**

**Guidelines for Submission of Proposals**

**For the Period July 1, 2025 – June 30, 2030**

**RFP #GC25-002**

|  |
| --- |
| **Proposals must be submitted by 12/10/2024** |

**Announcement of Funding Opportunity for the**

**Collegiate Science and Technology Entry Program 2025-2030**

**Request for Proposals (RFP) #GC25-002**

**Background:**

The New York State Education Department is pleased to announce competition for Collegiate Science and Technology Entry Program (CSTEP) 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 1986, the New York State Legislature passed an amendment to Education Law Chapter 31, Article 130, § 6455, to authorize the use of funds under the Collegiate Science and Technology Entry Program (CSTEP).

**Purpose/Goal:**

According to § 6455 of the Education Law, CSTEP is “for the purpose of increasing access by minority or disadvantaged students to academic programs that have been registered by the commissioner and that prepare students either for licensure in the professions or for employment in scientific and technical fields.”

**Eligible Applicants:**

According to § 145-6.6(b) 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.”

**Important Dates:**

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

**October 22, 2024**: An informational webinar will be posted at NYSED’s [CSTEP website](https://www.nysed.gov/postsecondary-services/collegiate-science-and-technology-entry-program-cstep)

**November 5, 2024:** Deadline for questions to be submitted to [csteprfp@nysed.gov](mailto:csteprfp@nysed.gov)

**November 19, 2024:** A Question and Answer Summary will be posted at NYSED’s [CSTEP website](https://www.nysed.gov/postsecondary-services/collegiate-science-and-technology-entry-program-cstep)

**November 22, 2024:** Non-Mandatory Notice of Intent due. See *Non-Mandatory Notice of Intent* section below.

**December 10, 2024**: Applications due by 5:00 p.m. Eastern Time

**December 10, 2024**: Nonprofits must be prequalified by 5:00 p.m. Eastern Time

**Funding:**

During the 2023-2024 program year, $16,108,390 was awarded to 63 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 CSTEP project funded during the 2025-2030 cycle will be $600,500 per year. The maximum award for any newly funded individual CSTEP project will be $299,500 per year. The maximum award for a consortium CSTEP project will be $999,500 per year.

**APPLICATION SUBMISSION**

**New applicants for the CSTEP grant and current grantees must create and test or only test their GoAnywhere accounts respectively by November 27, 2024, in order to be able to submit the grant application. Applicants without access to GoAnywhere should send an email to** [**csteprfp@nysed.gov**](mailto:csteprfp@nysed.gov) **to request access.**

Please submit the complete application on GoAnywhere at [GoAnywhere Website Login](https://sedftm.nysed.gov/webclient/Login.xhtml) by **December 10, 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](https://www.oms.nysed.gov/cafe/forms/). 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 descriptions 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 CSTEP Budget Narrative form located on the [CSTEP website](https://www.nysed.gov/postsecondary-services/collegiate-science-and-technology-entry-program-cstep).
* 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 with GoAnywhere and you cannot submit your application by GoAnywhere, contact [csteprfp@nysed.gov](mailto:csteprfp@nysed.gov) at least three (3) 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.**

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**

Proposals received from nonprofit applicants that are not Prequalified in the Statewide Financial System (SFS) by 5:00 PM on the proposal due date of **December 10, 2024**, cannot be evaluated. Such proposals will be disqualified from further consideration. This includes all currently funded nonprofit institutions that may have previously received an award and are in the middle of the program cycle. Please see the “Prequalification for Individual Applications” section for additional information.

**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, and to allow for the creation and testing of GoAnywhere accounts for new applicants for the CSTEP grant. GoAnywhere instructions can be found on the CSTEP website. 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 intent to submit an application for this grant. Please use the legal name as listed in NYSED’s database of accredited IHEs and include your organization’s NYS Vendor ID. Please send the NOI to [csteprfp@nysed.gov](mailto:csteprfp@nysed.gov) with the words RFP GC#25-002 in the subject line. The due date is **November 27, 2024**.

**THE STATE EDUCATION DEPARTMENT CONTACTS**

|  |  |  |
| --- | --- | --- |
| **Program:**  Dr. Kim Overrocker  [csteprfp@nysed.gov](mailto:csteprfp@nysed.gov) | **M/WBE:**  Brian Hackett  [csteprfp@nysed.gov](mailto:csteprfp@nysed.gov) | **Fiscal:**  Monica Foley  [csteprfp@nysed.gov](mailto:csteprfp@nysed.gov) |

THE UNIVERSITY OF THE STATE OF NEW YORK

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**Table of Contents**

[I. INTRODUCTION 10](#_Toc768645)

[II. PURPOSE 10](#_Toc768646)

[III. INSTITUTIONAL ELIGIBILITY 10](#_Toc768647)

[IV. STUDENT ELIGIBILITY 10](#_Toc768648)

[V. PROGRAM REQUIREMENTS 11](#_Toc768649)

[VI. NYSED CONSORTIUM POLICY FOR STATE AND FEDERAL DISCRETIONARY GRANT PROGRAMS 13](#_Toc768650)

[VII. PUBLIC RELATIONS/ATTRIBUTIONS OF FUNDING 13](#_Toc768651)

[VIII. NYSED’S RESERVATION OF RIGHTS 14](#_Toc768652)

[IX. FUNDING LIMITATIONS 15](#_Toc768653)

[X. BUDGET 21](#_Toc768654)

[XI. PROJECT OPERATIONAL GUIDELINES 25](#_Toc768655)

[XII. VENDOR RESPONSIBILITY, M/WBE, AND ADDITIONAL REQUIREMENTS 26](#_Toc768656)

[XIII. NOT-FOR-PROFIT (NFP) PROMPT CONTRACTING 32](#_Toc768657)

[XIV. APPLICATION FOR FUNDING 33](#_Toc768658)

[XV. PROPOSAL NARRATIVE FORMAT 34](#_Toc768659)

[XVI. APPLICATION REVIEW AND RATING PROCESS 37](#_Toc768660)

[XVII. METHOD OF DETERMINING AWARD 39](#_Toc768661)

[XVIII. NOTIFICATION OF AWARD 41](#_Toc768662)

[XIX. CONTRACT AWARD PROTEST PROCEDURES 41](#_Toc768663)

[CSTEP 2025-2030 Application 43](#_Toc768664)

[COVER PAGE 43](#_Toc768665)

[STATEMENT OF ASSURANCES 45](#_Toc768670)

[Vendor Responsibility Questionnaire 46](#_Toc768671)

[Proposed Budgets and Budget Narrative 47](#_Toc768672)

[2025-2030 Proposal Application Checklist 48](#_Toc768673)

[PROPOSAL REVIEW CRITERIA 49](#_Toc768674)

MWBE Documents package 68

**DEFINITIONS OF FREQUENTLY USED TERMS**

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

**Approved Program:** An undergraduate level program of study and/or graduate level program registered by the State Education Department and offered in New York State which either: has been designated by the Commissioner as licensure qualifying in the particular profession; in the case of the profession of law, meets the requirements contained in section 520.3 of the Rules of the Court of Appeals (22 NYCRR 520.3) pertaining to the study of law; or prepares students for employment in scientific, technical, health and health-related fields.

**Commuting Student**: A student who lives off-campus, in housing not provided by the institution.

**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.

**CSTEP Student**: A matriculated and active member of a participating CSTEP project. Active shall be defined as having applied for and been accepted for CSTEP at the institution and participation in CSTEP activities. Participation in the number of activities per semester will be defined by the CSTEP institution.

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

**Domicile**: For the purposes of NYS residency determination for CSTEP, 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 CSTEP, 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 CSTEP 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:

1. 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;
2. the student is living with foster parents and no monies are provided from the natural parents; or the student is a ward of the State or a county.

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

**Freshman**: For the purpose of CSTEP, a freshman is a college student who is accepted and enrolled at an institution of higher education for the academic year who is in their first year of college study. This includes those high school graduates who are accepted and enrolled at an institution of higher education supporting a CSTEP project who are attending CSTEP summer academic programs.

**Full-Time Equivalent (FTE)**: A way to measure a worker's involvement in a project, or a student's enrollment at an educational institution.

* Staff: 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.
* Student: Full-time equivalent academic status for a CSTEP participant is defined by the standards set forth at each institution to determine or calculate full-time enrollment on that campus.

**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 § 145-6.6(b) 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, Hispanic, American Indian, or Alaskan native.

**Independent Student:** For purposes of economic eligibility for CSTEP, an independent student means a student who:

1. is 24 years of age or older by December 31st of the program year; or
2. is an orphan or ward of the court or was a ward of the court until the individual reached the age of 18; or
3. is a veteran of the Armed Forces of the United States who has engaged in the active duty in the United States Army, Navy, Air Force, Marines, or Coast Guard and was released under a condition other than dishonorable; or
4. is a married individual; or
5. has legal dependents other than a spouse; or
6. is a student for whom an opportunity program and financial aid administrator has made a satisfactory documented determination of independence by reason of other extraordinary circumstances.

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

**Licensed Profession**: For the purposes of participation in CSTEP, academic programs leading to licensed professions would be deemed acceptable for participation in CSTEP. 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](https://www.op.nysed.gov/professions-index).

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

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

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

**Pre-freshman**: For purposes of this RFP, a pre-freshman is a high school student or a high school-graduate who is not accepted and/or enrolled as a freshman at an institution of higher education supporting a CSTEP project. *CSTEP project services cannot be provided to Pre-freshmen.*

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

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

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

**Scientific Field:** For the purposes of CSTEP participation under § 6455 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.

**Service-Learning:** A teaching and learning methodology which fosters civic responsibility and applies classroom learning through meaningful service to the community.

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

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

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

**Technical Field:** For the purposes of participation in CSTEP under § 6455 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 in which the academic program at the baccalaureate level 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. Not all majors with the word “technology” in the name will qualify as a technical field.

**Transfer Student:** For the purpose of CSTEP, a transfer student is a college student who is accepted and enrolled for the academic year at an institution of higher education supporting a CSTEP project, who was previously a college student at another institution. The designation of a student as a transfer student is an academic designation and independent from a determination of NYS residency for the purposes of enrollment in CSTEP.

**GUIDELINES FOR CSTEP PROGRAMS**

# INTRODUCTION

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

# PURPOSE

According to § 6455 of the Education Law, CSTEP is “for the purpose of increasing access by minority or disadvantaged students to academic programs that have been registered by the commissioner and that prepare students either for licensure in the professions or for employment in scientific and technical fields”.

# INSTITUTIONAL ELIGIBILITY

According to § 145-6.6(b) 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.” Each institution may submit more than one proposal only if the institution has two or more geographically separate campuses and serves 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. 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. Both non-profit and for-profit institutions are eligible to apply.

Although SUNY and CUNY colleges may use their respective “Research Foundation” as their fiscal agent if they receive a CSTEP award, the Research Foundation is not a degree-granting institution and therefore cannot be the applicant.

# STUDENT ELIGIBILITY

To be eligible for Collegiate Science and Technology Entry Program support, a student must be a resident of New York who is **either:**

Economically Disadvantaged

**or** from a minority group Historically Underrepresented (Black, Hispanic, American Indian, or Alaskan native) in the scientific, technical, or licensed professions,

**and** who demonstrates interest in and a potential for a professional career if provided special services.

Eligible students must be in good academic standing and enrolled full time in an approved program of study, as defined by the Regents.

Documentation

1. Institutions approved for funding are required to develop an application for CSTEP participants. Students must complete this application prior to participation in the project. Funds may not be expended on behalf of students for whom an application and required documentation are not available. The institution is responsible for having each student’s previous and current transcripts on file for the duration of their participation in the project.
2. Documentation confirming economically disadvantaged status is required only for students who are not Black, Hispanic, American Indian or Alaskan native. Said economic disadvantage documentation would be a copy of the student’s FAFSA and/or a signed copy of all applicable and most recent tax returns (IRS form 1040, 1040A, 1040EZ or 4506). The economic eligibility standards set forth apply only at the time of admission as a first-time student to a CSTEP program.
3. Documentation of Black, Hispanic, American Indian, or Alaskan native identity may be in the form of a completed CSTEP application signed by the student, and/or the official college application indicating race/ethnicity.
4. The application and all required documentation must be kept on file for each student at the CSTEP institution and must be readily available for review by NYSED staff. In the case of consortia, a copy of the CSTEP application for each student must be available at the home campus as well as at the lead institution.

# PROGRAM REQUIREMENTS

Institutions that receive a CSTEP award will be required to:

1. Ensure that CSTEP is an academic opportunity program that is closely coordinated with academic/student affairs at the institution and provides suitable institutional support.

CSTEP Suggested Minimum Staffing:

1. Per the chart below, institutions should have appropriate staff, with a background in working with underrepresented students, associated with the requested contracted headcount.

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

1. The project lead for the proposed CSTEP project should report directly to a senior level administrator of the institution. A senior level administrator is one who reports directly to the institution’s President, Chief Academic/Student Affairs Officer and/or governing board.
2. Plan and implement a program evaluation with quantitative and qualitative measures outlining the impact of academic services and interventions. This information must be shared with NYSED on the annual final report due September 15 of each program year.
3. Contribute at least 25 percent matching funds from institutional, governmental (other than New York State) and other in-kind sources.
4. Ensure audit accountability, as each institution must adhere to the Generally Accepted Accounting Principles and reflect CSTEP and institutional monies by line item, separate from all other institutional accounts. State, institutional, Federal, and other grant funds must be clearly delineated.
5. Provide instructional support in “gateway courses” (i.e., small group tutorials or supplemental instruction in biology, chemistry, physics, calculus, and pre-professional pre-requisite courses) at the freshman and sophomore levels and tutoring for higher level courses at the junior and senior levels.
6. Provide services to enhance and increase students’ involvement in research and/or internship opportunities, including, but not limited to, a CSTEP coordinated research/internship experience for each student prior to graduation (coursework that includes a clinical experience may satisfy this requirement) culminating in either a research project or written summary of internship.
7. Provide **student** professional development opportunities: workshops, poster presentations, representation of or in professional/research publications that promote access to careers in math, science, technology, health-related fields, and the licensed professions.
8. Provide program services and activities that include: tutoring, academic advisement, remedial and special summer courses, supplemental financial assistance, recruitment, academic enrichment, career planning, and review for licensing examinations for students pursuing careers in scientific and technical fields and the licensed professions.
9. 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.
10. Develop and implement a CSTEP Advisory Committee with membership representatives from various stakeholder groups, such as appropriate faculty, department chairs or deans, students, and other relevant stakeholders. The purpose of the CSTEP Advisory Committee is to meet, to discuss the planning, implementation, and evaluation of the CSTEP project.
11. Promote and encourage collaborations with Statewide and Regional partners by participating in Statewide and Regional networking and committees.

**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.**

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# NYSED CONSORTIUM POLICY FOR STATE AND FEDERAL DISCRETIONARY GRANT PROGRAMS

The consortium for the purposes of the CSTEP application must meet the following requirements:

1. The consortium must designate one of the members to serve as the applicant and fiscal agent for the grant. The applicant agency must be an eligible grant recipient. All other consortium members must be eligible grant participants, as defined by the program statute or regulation.
2. In the event a grant is awarded to a consortium, the grant or grant contract will be prepared in the name of the applicant agency/fiscal agent, not the consortium, since the group is not a legal entity.
3. The applicant agency/fiscal agent must meet the following requirements:
4. Must be an eligible grant recipient as defined by statute;
5. Must receive and administer the grant funds and submit the required reports to account for the use of grant funds;
6. Must require consortium partners 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 NYSED 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.
7. Must be an active member of the partnership/consortium.
8. 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;
9. Is PROHIBITED from sub-granting funds to other recipients. The fiscal agent is permitted to contract for services with other consortium partners or consultants to provide services that the fiscal agent cannot provide itself;
10. 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.

# PUBLIC RELATIONS/ATTRIBUTIONS OF FUNDING

In order to ensure the continued support and the commitment of resources to State-funded Collegiate 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 Collegiate 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 director should submit copies of all local, statewide, or national media stories about the project and/or the project participants and staff to the State Education Department at the following address:

*Attn: CSTEP*

*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*](mailto: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.

# NYSED’S RESERVATION OF RIGHTS

NYSED reserves the right to:

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

# 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 this RFP calls for an application that will cover a five-year grant period, funding in years two through five is dependent on satisfactory grantee 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 CSTEP 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 CSTEP 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 award of $299,500 per year (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 a consortium CSTEP 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 (headcount) 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 (headcount) in the summer plus all other academic year student participants who did not attend in the summer. The project may propose a budget that reflects a lower funding amount if the project deems it suitable for the scope of their services or their ability to meet the required 25% match. **The minimum number of students (headcount) that must be served annually in a CSTEP project is 50 participants.**

Projects that serve between 50 and 99 students per year may request a maximum of $2,500 for each student contracted to serve. For example, 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.

Projects that serve between 100 and 199 students per year may be awarded a maximum of $2,000 for each student they serve above 99. For example, the annual budget for a project contracted to serve 100 students per year may not exceed $249,500 (i.e., $247,500 + $2,000); the annual budget for a project contracted to serve 199 students per year may not exceed $447,500 (i.e., $247,500 + $200,000).

**Previously funded Individual Projects** that serve 200 or more students per year may 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. 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). The maximum request for any CSTEP project will be $600,500 per year. (See the Funding Levels for Individual and Consortia CSTEP 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 serve 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 CSTEP funds, they will be eliminated from the budget.

**For an increase in available funding**:

1. 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 to serve enrolled students. NYSED will offer to all awarded programs that have not fallen below 95% of their enrollment goal, according to the most recently submitted interim reports (see the Shortfalls in Enrollment Goals section below). Maximum request amounts will be established by distributing funding proportionally (based on total annual budget).
2. 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 this 50% to approve awards, in rank order, for eligible applicants that received passing scores, but 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 goal, according to the most recently submitted interim reports, to serve enrolled students (see the Shortfalls in Enrollment Goals section below). Maximum request amounts will be established by distributing funding proportionally (based on total annual budget).

1. In the event there are remaining funds after making awards described in the preceding paragraphs 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 CSTEP award recipient institutions must furnish NYSED with a roster 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 2025-2026 Composite Budget. If the current roster is less than 95% of the number set forth in the Composite Budget, the grantee’s budget will be proportionally diminished by the amount of the percentage deficiency from the Composite Budget. For example, if the actual roster is 94% of the projected number in the Composite Budget, the grantee’s budget will be reduced by 6% in the year of the deficiency.

**Probation for CSTEP Institutions**

Circumstances in which the CSTEP award recipient institutions will be put on probation:

1. Not meeting 90% threshold for contracted headcount for two (2) consecutive years.

2. Non-compliance with RFP requirements (e.g., consistently submitting delinquent reports and budgets).

The IHEs not meeting contracted headcount and those on probation will be required to submit a performance improvement plan and will be subject to receiving 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 CSTEP 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 CSTEP project is **50** participants. The annual budget for a project contracted to serve **50** students per year may not exceed **$125,000.**

\*\* New projects will be capped at a maximum award of **$299,500 per year** (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 CSTEP project that was previously funded in the **20-25** cycle (“previously funded Individual Projects”) will be **$600,500** per year.

# FUNDING LEVELS CONTINUED - FOR CONSORTIA CSTEP PROJECTS ONLY

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **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.”

# BUDGET

Applicants should refer to the [Fiscal Guidelines for Federal and State Aided Grants](https://www.oms.nysed.gov/cafe/guidance/guidelines.html) while preparing their program budgets.

1. **Use of Funds**
2. Activities funded by a CSTEP grant contract will be administered pursuant to a written agreement between the New York State Education Department and the participating institution.
3. CSTEP 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 year that involve changes in the manner in which CSTEP funds are expended must have prior written approval from NYSED. See section E. **Transfer of Funds** below for additional information.
4. Students enrolled in the State-funded opportunity programs (HEOP, EOP, SEEK, or College Discovery) are eligible to participate in CSTEP; however, institutions must ensure that no more than 20 percent of all CSTEP participants are concurrently enrolled in an opportunity program and that services are not duplicated between programs. Institutions must be able to demonstrate non-duplication of services in the activity section of the annual report. "Double counting" of students to generate funds from more than one outside source will not be permitted.
5. Program changes (**especially leadership, organizational structure, and space**) must have prior written approval from CSTEP-NYSED.
6. **Allowable Expenses**

Under §6455 of the NYS Education Law, Collegiate Science and Technology Entry Program monies as part of a program may be used for tutoring, academic advising, remedial and special summer courses, supplemental financial assistance, recruitment, academic enrichment, career planning, review for licensing examinations, 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

1. Stipends for students participating in CSTEP coordinated/approved research opportunities, internships and CSTEP student conference-related expenses (the maximum stipend must be consistent with the average for similar activities at the institution or in the region).
2. Supplemental Financial Assistance which may include stipends, nominal travel assistance, and/or books/supplies.
3. Program activities and services directly related to pre-professional or professional education programs of study that lead to professional licensure and to careers in scientific and technical fields and the licensed professions, such as: tutoring, academic advising, remedial and special summer courses, standardized test instruction fees, recruitment of students, academic enrichment, career planning, and review for licensing examinations.
4. Student classroom supplies, including student laboratory supplies.
5. Administrative and instructional supplies, materials, and equipment (including instructional or administrative computer software and computers, lab equipment, etc.). When equipment/technology is purchased with CSTEP 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 CSTEP program closes, any equipment purchased with CSTEP-State funds must be released for transfer to another CSTEP program so that the equipment continues to support CSTEP students. NYSED staff will assist institution staff in arranging the transfer of such equipment.
6. Evaluation materials and activities.
7. CSTEP staff development/training (\*ALL out-of-state travel requires prior approval by NYSED).
8. Program brochures/materials and promotional activities.
9. Subcontracts for program services.
10. Indirect costs at no more than 8%.
11. **Non-Allowable Costs**
12. Funds for indirect expenses provided by the state CSTEP award may not exceed eight percent (8%) of total CSTEP grant expenditures. Indirect costs cannot be charged on certain expenses, including:
    1. Equipment purchases
    2. Stipends/Honoraria
    3. Tuition
13. 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.
14. Funds are not available for rental of office or meeting space, storage facilities, fixtures, or the purchase of office furnishings.Rent cannot be charged if the institution occupies the space or owns the item involved.
15. State CSTEP funds cannot be used for organizational dues or items not specifically allowed under the categories identified above.
16. Funds cannot be used to pay for the salary or stipend of the CSTEP project lead’s Supervisor or someone designated as a Principal Investigator for the grant contract (in their role as supervisor or PI).
17. Funds may not be used for purposes other than those described in the approved grant contract.
18. ***Funds may not be used for cultural enrichment or other social activities*.**
19. Funds must supplement, not supplant, existing funding sources.
20. **Fringe Benefits**

The rate for fringe benefits cannot exceed the actual rate paid by the institution for benefits actually received by the covered employee. As only administrative costs directly attributable to the program are allowed by law, it is not permissible to allow 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 Office of the State Comptroller (OSC).

1. **Transfer of Funds**

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

1. Consistent with the Fiscal Guidelines for Federal and State Grants, budget transfers must be requested using [Form FS-10-A](https://www.oms.nysed.gov/cafe/forms/): 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.
5. **Institutional Funds**
6. Matching Funds
   1. A minimum 25 percent match of the CSTEP 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 CSTEP project, and institutional accounts must be structured to reflect this contribution by appropriate line item.
   2. 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.
7. Program Support
8. 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.
9. 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.
10. Projects must meet 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.
11. Institutional Obligation
    1. 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.
    2. The budget indicating matching funds may be amended only upon the written agreement of both parties.
12. **CSTEP Payment Schedule and Financial Reporting**
13. Activities funded under a CSTEP award will be administered pursuant to a written contract between NYSED and the funded applicant institution or applicant lead institution of a consortium.
14. Budgets (FS-10)
    1. The application must include a separate FS-10 budget form for each of the five years of the program.
    2. General descriptions of expenditures, applicable cost principles and administrative regulations are available in the [Fiscal Guidelines for Federal and State Grants](https://www.oms.nysed.gov/cafe/guidance/guidelines.html).
    3. Fiscal forms such as the FS-10 can be found on the [Grants Finance website](https://www.oms.nysed.gov/cafe/forms/) and the most recent copy of the CSTEP Budget Narrative (with Composite budget) can be located at NYSED’S [CSTEP website](https://www.nysed.gov/postsecondary-services/collegiate-science-and-technology-entry-program-cstep).
15. Not-for-Profit Applicants
    * + - 1. The initial payment of 25% of the Year 1 budget will be made upon execution of the contract.
          2. Subsequent payments will be made following the project submission of an **FS-25** form.
          3. 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.
          4. Fiscal forms such as the FS-25 and FS-10F can be located on the [Grants Finance website](https://www.oms.nysed.gov/cafe/forms/).
16. For-Profit Applicants
17. 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**.**
18. 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.*

1. **Records Retention**
2. All CSTEP-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.
3. Fiscal records, including those identifying an expense of CSTEP funds, must be maintained for seven full years, or longer if required by institutional policy or practice.
4. Student records must be maintained for six years after the student graduates.
5. If a student withdraws from the institution prior to graduation, the student CSTEP 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.
6. Audit or litigation will "freeze the clock" for records retention purposes. Supporting documentation related to an issue under audit or litigation must be retained until resolved or the above general rule for record retention, whichever is longer.

# PROJECT OPERATIONAL GUIDELINES

1. **Operation Dates:**

For the initial program funding year, projects may begin as early as July 1, 2025, but must be completed by June 30, 2026. The operational dates for subsequent years covered by this proposal will be July 1 through June 30.

1. **Required Program Reports**
2. Late or inaccurate submissions of any budgetary forms and/or Programmatic reports may result in a program being placed on probation and/or the suspension of funds.
3. 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 or Provost of the institution, or appropriate supervisor, and indicate the reason the institution is unable to submit its report on time.
4. Each institution receiving a CSTEP award will be required to submit two program reports annually to NYSED: a mid-year report and a final report.
   1. The mid-year report is to be received by NYSED no later than March 15 every year. The CSTEP student headcount reported in the mid-year report will be used to ensure that the institution has met their budgeted CSTEP student headcount. The mid-year report shall cover the period from July 1 through December 31.
   2. 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 CSTEP for the program year and provides:
5. An analysis of program operation in terms of the stated requirements and the extent to which the requirements were achieved.
6. An itemization of the institution's support of such program during the contract period including the use of outside (Federal, State, and local) funds.
7. Plans for program change, expansion, and development.
8. 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.
9. **Grant Recipient Responsibilities**
   * + 1. Projects must operate under the jurisdiction of the appropriate governing body (e.g., Board of Trustees) and are subject to at least the same degree of accountability as all other departmental expenditures of the institution.
       2. The appropriate governing body is responsible for the proper disbursement of, and accounting for, project funds.
       3. Written institution policy concerning wages, mileage and travel allowances, overtime compensation, or fringe benefits, as well as State rules pertaining to competitive bidding, safety regulations, and inventory control must be followed.
       4. Original supporting or source documents are required for all Grant Contract-related transactions entered into the institution's recordkeeping system.
       5. Source documents that authorize the disbursement of grant contract funds consist of purchase orders, contracts, time and effort records, delivery receipts, vendor invoices, travel documentation and payment documents. Supporting documentation for grants and 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 records 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 grants and grant contracts, please refer to the [Fiscal Guidelines for Federal and State Aided Grants](https://oms32.nysed.gov/cafe/guidance/guidelines.html).

1. **Institutional Obligation**

Applicants receiving a CSTEP grant contract have an obligation to honor the amount to which they have committed in the various budget categories. This obligation is reflected in the final budget agreed to by the State Education Department, the Office of the Attorney General, the Division of Budget, the Office of the State Comptroller, the Director of State Operations, and the institution/agency. Written approval of the Commissioner of Education and the Office of the State Comptroller may amend the budget.

# VENDOR RESPONSIBILITY, M/WBE, AND ADDITIONAL REQUIREMENTS

1. **VENDOR RESPONSIBILITIES**

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](http://www.osc.state.ny.us/vendrep/resources_docreq_agency.htm).

NYSEDrecommends that vendorsfile 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](https://www.osc.state.ny.us/vendrep/info_vrsystem.htm) or go directly to the [VendRep System online](https://onlineservices.osc.state.ny.us/).

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](https://www.osc.ny.gov/online-services/get-help-businesses-and-governments?redirect=legacy) at 866-370-4672 or 518-408-4672 or by email at [ITServiceDesk@osc.ny.gov](mailto:ITServiceDesk@osc.ny.gov).

Vendors opting to complete and submit a paper questionnaire can obtain the appropriate questionnaire from the [VendRep website](http://www.osc.state.ny.us/vendrep) or may contact NYSED or the Office of the State Comptroller’s Help Desk for a copy of the paper form.

**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.

1. **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](https://ny.newnycontracts.com/FrontEnd/searchcertifieddirectory.asp).

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 thirty days from the date of notice of award 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

1. **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

1. **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](https://ny.newnycontracts.com/FrontEnd/searchcertifieddirectory.asp) 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](mailto: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](mailto: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.

1. **PREQUALIFICATION FOR INDIVIDUAL APPLICATIONS**

Pursuant to the New York State Division of Budget Bulletin H-1032 (revised January 9, 2024), nonprofit organizations must Prequalify to do business with New York State agencies before they can complete 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](https://grantsmanagement.ny.gov/register-your-organization-sfs) with SFS and [become prequalified](https://grantsmanagement.ny.gov/get-prequalified) is available on the [Grants Management](https://grantsmanagement.ny.gov/resources-grant-applicants) 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 December 10, 2024, will not be evaluated. Such proposals will be disqualified from further consideration.**

**Vendors are strongly encouraged to begin the process as soon as possible** **in order to participate in this opportunity.**

1. **WORKERS’ COMPENSATION COVERAGE AND DEBARMENT**
2. New York State Workers’ Compensation Law (WCL) has specific coverage requirements for businesses contracting with New York State and additional requirements that 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.

1. Workers’ compensation requirements are covered by WCL Section 57, while disability benefits are covered by WCL Section 220(8). The Workers’ Compensation Benefits clause in Appendix A – STANDARD CLAUSES FOR NEW YORK STATE CONTRACTS states that in accordance with Section 142 of the State Finance Law, a contract shall be void and of no force and effect unless the contractor provides and maintains coverage during the life of the contract for the benefit of such employees as are required to be covered by the provisions of the WCL. Under provisions of the 2007 Workers’ Compensation Reform Legislation (WCL Section 141-b), any person, or entity substantially owned by that person: subject to a final assessment of civil fines or penalties, subject to a stop-work order, or convicted of a misdemeanor for violation of Workers’ Compensation laws Section 52 or 131, is barred from bidding on, or being awarded, any public work contract or subcontract with the State, any municipal corporation or public body for one year for each violation. The ban is five years for each felony conviction.
2. 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.***

**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.

**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](https://www.wcb.ny.gov/content/main/Employers/Employers.jsp). Alternatively, questions relating to either workers’ compensation or disability benefits coverage should be directed to the NYS Workers’ Compensation Board, Bureau of Compliance at (518) 486-6307.

### **REQUIREMENTS OF EDUCATION LAW SECTION 2-D**

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.

### **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.

# 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)

# APPLICATION FOR FUNDING

**New applicants for the CSTEP grant and current grantees must create and test or only test their GoAnywhere accounts respectively by November 27, 2024, in order to be able to submit the grant application. Applicants without access to GoAnywhere should send an email to** [**csteprfp@nysed.gov**](mailto:csteprfp@nysed.gov) **to request access.**

Please submit the complete application on GoAnywhere at [GoAnywhere Website Login](https://sedftm.nysed.gov/webclient/Login.xhtml) **by December 10, 2024,** as follows:

* Proposal Narrative 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](https://www.oms.nysed.gov/cafe/forms/). 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 descriptions 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 CSTEP Budget Narrative form located on the [CSTEP website](https://www.nysed.gov/postsecondary-services/collegiate-science-and-technology-entry-program-cstep).
* 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 with GoAnywhere and you cannot submit your application by GoAnywhere, contact [csteprfp@nysed.gov](mailto:csteprfp@nysed.gov) at least three (3) 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.”

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

* + 1. Cover Page
    2. Proposal Application Checklist
    3. Proposal Narrative (include A, B, D, E, and F from section XV *Proposal Narrative Format* below)
    4. Narrative Attachments - including MOU(s), letters of support, resumes, organizational chart(s)
    5. Program Work Plan (use template posted with the RFP) for each year of the program
    6. [FS-10 Budget](https://www.oms.nysed.gov/cafe/forms/) forms (Complete and submit a separate FS-10 for each year of the program)
    7. M/WBE Package (Applicants must complete one set of MWBE documents to cover all five years of the program
    8. New Payee Information Form (if applicable)
    9. Attachment I – including Statement of Assurances with the original signature of the CEO or designee

# PROPOSAL NARRATIVE FORMAT

The proposal narrative should describe all 2025-2030 proposed activities in detail that meet the priorities and requirements as stated in this RFP. The completed proposal narrative document should reflect a cohesive program. 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 .5” margin. The name of the institution should appear in the top left 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).

1. **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.

1. **Cooperative Relationships** (total 10 points)

Briefly describe the roles and responsibilities of each academic department, professional association, and others who will participate in the proposed project. Specify how each participating party will contribute to the project. Documents that support collaborations should be attached (e.g., MOUs).

1. Describe the level and extent of the involvement of faculty, department chairs, or deans in the planning, implementation, and evaluation of the project. Be specific. For departments that house programs leading to CSTEP-targeted fields, include letters of support from the appropriate academic officer. (2 pts.)
2. Describe how government agencies (e.g., NYSTAR, NYDOH, NSF, NIH), business/industry, and at least one of the [professions](https://www.op.nysed.gov/professions-index) will participate in the planning, implementation, and evaluation of the project. (2 pts.)
3. Describe the planned collaboration with other institutional programs that have similar objectives and goals as CSTEP (e.g., McNair, Alliance for Minority Participation (AMP), Bridges to the Baccalaureate, etc.) Include a letter of support/MOU from participating program(s). (2 pts.)
4. Describe the project’s planned involvement in the Statewide and Regional collaborations related to education in the licensed professions, scientific, and technical fields, including the determination and remediation of regional and statewide shortages. (4 pts.)
5. **Program Work Plan** (total 42 points)

Complete the CSTEP 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 Proposal Narrative limit, but it is part of the Proposal 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 and describe the activities, timeline, staff responsible, and evaluation tools associated with the following program requirements:

1. Provide instructional support in “gateway courses” (i.e., small group tutorials or supplemental instruction in biology, chemistry, physics, calculus, and pre-professional pre-requisite courses) at the freshman and sophomore levels and tutoring for higher level courses at the junior and senior levels. (6 pts.)
2. Provide services to enhance and increase students’ involvement in research and/or internship opportunities, including, but not limited to, a CSTEP coordinated research/internship experience for each student prior to graduation culminating in either a research project or written summary of internship. (6 pts.)
3. Provide **student** professional development opportunities: workshops, poster presentations, representation of or in publications in professional/research that promote access to careers in math, science, technology, health-related fields, and the licensed professions. (6 pts.)
4. Provide program services and activities that include: tutoring, academic counseling, remedial and special summer courses, supplemental financial assistance, recruitment, academic enrichment, career planning, and review for licensing examinations for students pursuing careers in scientific and technical fields and the licensed professions. (6 pts.)
5. Plan and implement Service-Learning activities. 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. (6 pts.)
6. Develop and implement a CSTEP Advisory Committee with membership representatives from various stakeholder groups, such as appropriate faculty, department chairs or deans, students, and other relevant stakeholders. The purpose of the CSTEP Advisory Committee is to meet to discuss the planning, implementation, and evaluation of the CSTEP project. (6 pts.)
7. Promote and encourage collaborations with Statewide and Regional partners by participating in Statewide and Regional networking and committees. (6pts.)
8. **Recruitment** (total 6 points)
9. Describe the recruitment process for CSTEP and list the criteria that must be met by each participant in order to be selected for participation in the program (for example, selected majors, GPA, class year, etc.) These criteria must be in addition to the basic CSTEP ethnic/racial or economic criteria. (2 pts.)
10. Describe the process and list the criteria for all special program components, such as internships, research, etc. List all criteria that will be used to select participants for any component of the program, such as requirements for research, internships, and other field experiences. (2 pts.)
11. Describe how your recruitment initiatives specifically deal with increasing the target populations’ enrollment in the STEM and/or Licensed professions by providing programming and services as identified in the Requirements. (2 pts.)
12. **Retention** (total 6 points)
13. Describe how your program plans to retain students. (2 pts.)
14. Discuss how the retention plan fits as part of the institution’s overall retention efforts. (2 pts.)
15. Describe how the retention plan differs from class level to class level. (2 pts.)
16. **Project Staffing and Management** (total 6 points)
17. 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.)
18. List the names in the Proposal 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.)
19. Describe a management plan that will assure the effective completion of CSTEP project activities, given the fiscal and other resources available, including where the program will be located and how it will be associated within Academic/Student Affairs (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; funding for project and work cannot commence prior to submission of MOUs for each member institution.) (2 pts.)
20. Provide an organization chart that indicates the management structure of the CSTEP program within the institution, including where the program will be located and how it will be associated within Academic/Student Affairs. (Consortium applicants only:Provide an organization chart of the consortium arrangement. Please note that the consortium management plan for the project should include the organizational relationships between headquarters or the lead institution and each member institution.) (2 pts.)
21. **Budget/Budget Narrative** (25 points)

Applications shall include the [FS-10](https://www.oms.nysed.gov/cafe/forms/) and CSTEP Budget Narrative, both in **MS Excel format**.

* [FS-10 budget form](https://www.oms.nysed.gov/cafe/forms/). Applicants should complete and submit a separate FS-10 for each year of the program. The FS-10 budgets must provide all proposed expenses requested from CSTEP funds.
* Budget Narrative, which provides descriptions 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 calculation for each cost. The CSTEP Budget Narrative form must provide complete information and indicate all proposed expenditures from CSTEP, institutional, and other sources for the operation of the project. All projects must provide at least a 25% match in institutional and/or other non-NYS fund sources. Please utilize the CSTEP Budget Narrative form located on the [CSTEP website](https://www.nysed.gov/postsecondary-services/collegiate-science-and-technology-entry-program-cstep).

# 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 for current CSTEP projects (up to 6 points):**

1. Enrollment (2 points)

If the institution’s 2020-23 CSTEP program met the required 95% enrollment as described in the 2020-2025 RFP for:

4 years (2020, 21, 22 and 23) - 2 pts

3 years - 1.5 pts

2 years - 1 pt

1 year - .5 pt

1. On-time submission of budget documents and 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

1. 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** |
| 1. **Institutional Expertise** 2. Institutional expertise/efforts | **5**  (5) |
| 1. **Cooperative Relationships** 2. Internal college/university partnerships 3. Participation of government agencies, business/industry and at least one profession 4. Other institutional programs 5. Statewide and regional activities | **10**  (2)  (2)  (2)  (4) |
| 1. **Program Work Plan (use template posted with the RFP)** 2. Provide instructional support in “gateway courses” (i.e., small group tutorials or supplemental instruction in biology, chemistry, physics, calculus, and pre-professional pre-requisite courses) at the freshman and sophomore levels and tutoring for higher level courses at the junior and senior levels. 3. Provide services to enhance and increase students’ involvement in research and/or internship opportunities, including, but not limited to, a CSTEP coordinated research/internship experience for each student prior to graduation culminating in either a research project or written summary of internship. 4. Provide **student** professional development opportunities: workshops, poster presentations, representation of or in professional/research publications that promote access to careers in math, science, technology, health-related fields, and the licensed professions. 5. Provide program services and activities that include: tutoring, academic counseling, remedial and special summer courses, supplemental financial assistance, recruitment, academic enrichment, career planning, and review for licensing examinations for students pursuing careers in scientific and technical fields and the licensed professions. 6. Plan and implement Service-Learning activities. 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. 7. Develop and implement a CSTEP Advisory Committee with membership representatives from various stakeholder groups, such as appropriate faculty, department chairs or deans, students, and other relevant stakeholders. The purpose of the CSTEP Advisory Committee is to meet to discuss the planning, implementation, and evaluation of the CSTEP project. 8. Promote and encourage collaborations with Statewide and Regional partners by participating in Statewide and Regional networking/committees. | **42**  (6)  (6)  (6)  (6)  (6)  (6)  (6) |
| 1. **Recruitment** 2. Recruitment process for CSTEP 3. Process for all special program components 4. Describe initiatives specifically dealing with increasing the target population’s enrollment in STEM and/or Licensed profession | **6**  (2)  (2)  (2) |
| 1. **Retention**   1. Describe how your program plans to retain students.  2. Discuss how the retention plan fits as part of the institution’s overall retention efforts.  3. Describe how the retention plan differs from class level to class level. | **6**  (2)  (2)  (2) |
| 1. **Project Staffing and Management** 2. Position descriptions 3. Resumes of Project Staff 4. Management plan 5. Organizational charts | **6**  (1)  (1)  (2)  (2) |
| 1. **Budget**   **Not-for-Profit applicants –** Budget Narrative and five FS-10 budgets  **For-Profit applicants – e**valuated by Contract Administration Unit | **25** |
| **TOTAL** | **100** |
| **Priority Points**   1. Enrollment 2. Timely submission of budgets and reports 3. Expenditure | **6**  (2)  (2)  (2) |

# METHOD OF DETERMINING AWARD

**Method of Award:**

* + 1. **Awarding of Funds to Not-for-Profit Institutions**
* The Proposal Narrative will be reviewed and scored by two reviewers. The Proposal Narrative section is worth a total of 75 points.
* The five FS-10 Budgets and the Budget Narrative of each application will also be reviewed and scored by both reviewers. The budget section is worth a total of 25 points.
* Up to 6 priority points will be awarded to the applicants with current CSTEP projects, in accordance with compliance in each area as specified in the Application Review and Rating Process section above. Priority points will not be applied unless the application has scored at least 60 points on the 100-point scale of the proposal.
* The final score used for rank ordering the applications will be the average of the two reviewers’ scores for the total of the Proposal Narrative, Budget/Budget Narrative, and priority points.
* If, however, the two reviewers’ scores show 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.
* Applicants whose final average score is below 60 points on the 100-point scale of the proposal (for both Proposal Narrative and Budget/Budget Narrative score combined) will not be eligible to receive a CSTEP award.
* In the event of a tie score, the tie breaker will be the highest score on the Proposal Narrative.
* If the scores remain tied after this step, a second tiebreaker will be the highest score in the Program Work Plan section.
* Applicants with a passing score of 60 points or higher will be funded in rank order until the funds are exhausted. In the event there are insufficient funds to fund the next ranked applicant in full, the next ranked applicant will be given the opportunity to operate a smaller program using the remaining funds. If an eligible applicant chooses not to accept the partial award, then next eligible applicant will be contacted.
  + 1. **Awarding of Funds to For-Profit Institutions**
* A maximum of $600,500 will be set aside for the highest-ranking for-profit applicants statewide.
* 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 CSTEP 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 CSTEP 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 Limitations 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 CSTEP 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)
* In the event of a tie score, the tie breaker will be the highest score on the Proposal Narrative.
* If the scores remain tied after this step, a second tiebreaker will be the highest score in the Program Work Plan section.
* Applicants with a passing score of 60 points or higher will be funded in rank order until the funds are exhausted. In the event there are insufficient funds to fund the next ranked applicant in full, the next ranked applicant will be given the opportunity to operate a smaller program using the remaining funds.
* If funds remain after awarding the for-profit applicants, those funds revert to the not-for-profit award method.

# 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 tentative 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 the Fiscal Contact person at [csteprfp@nysed.gov](mailto:csteprfp@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.

# 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. Applicants who received a notice of non-award, but not a disqualification, must request a debriefing prior to initiating a Contract Award protest.
3. 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 the NYSED Contract Administration Unit by emailing [csteprfp@nysed.gov](mailto:csteprfp@nysed.gov) to the attention of the Fiscal Contact Person.
4. The NYSED Contract Administration Unit (CAU) will convene a review team that will include at least one staff member from each of NYSED’s Office of Counsel, CAU, and the Program Office. The review team will review and consider the merits of the protest and will decide whether the protest is approved or denied. Counsel’s Office will provide the applicant with written notification of the review team’s decision within 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.
5. The NYSED Contract Administration Unit 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

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| CSTEP 2025-2030 Application |

**COLLEGIATE SCIENCE AND TECHNOLOGY ENTRY PROGRAM (CSTEP)**

# COVER PAGE

**Instructions:**

**New applicants for the CSTEP grant and current grantees must create and test or only test their GoAnywhere accounts respectively by November 27, 2024, in order to be able to submit the grant application. Applicants without access to GoAnywhere should send an email to** [**csteprfp@nysed.gov**](mailto:csteprfp@nysed.gov) **to request access.** Please submit the complete application on GoAnywhere at [GoAnywhere Website Login](https://sedftm.nysed.gov/webclient/Login.xhtml) **by December 10, 2024,** as follows:

* Proposal 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](http://www.oms.nysed.gov/cafe/forms/) – 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 descriptions 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 CSTEP Budget Narrative form located on the CSTEP website.
* M/WBE Package. Utilize the packet included in the RFP.
* Signed and scanned Application Cover Page

If there are technical issues with GoAnywhere and you cannot submit your application by GoAnywhere, contact [csteprfp@nysed.gov](mailto:csteprfp@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 December 10, 2024.**

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| Name of Institution: |  |

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| Institutional Contact: |  | Title: |  |

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| Address: |  |

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| Phone: |  | Fax: |  |

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

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| Email Address: |  |  |
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| Judicial and Regents Districts  Annual Projected Number of Program Participants: |  |  |  |  |  |

**Academic Year Summer \*Unduplicated Count**

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

|  |  |
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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.”

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| Name of Person completing this form: | | | |  | | | Date: |  |  |
| Title: |  | | | | Phone: |  | | |
| (Area Code) (Number) (Extension) | | | | | | | | |
| President’s Name: | |  | | | | | | |
| President’s Signature: | | |  | | | | Date: |  |
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| STATEMENT OF ASSURANCES |

1. The recipient will, if funded, operate a **Collegiate Science and Technology Entry Program (CSTEP)** as described by this Request for Proposals and within the letter and spirit of all pertinent legislation (Article 130, Section 6455 of the NYS Education Law).
2. Funds from the State CSTEP award will supplement, not supplant, local expenditures and will not duplicate expenditures from other sources.
3. All activities supported by State CSTEP 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 CSTEP program.
5. All materials developed in whole or in part with the support of State CSTEP 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 Collegiate Science and Technology Entry Program administered by the New York State Education Department.**

1. **The State CSTEP 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.

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| **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: | |  | | |
|  | |  |  |  |

# 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.** |

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| --- | --- |
|  | **I am including a completed paper copy of the Vendor Responsibility Questionnaire with the bid proposal.** |

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|  | **My entity is exempt based on the OSC listing.** |

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| --- | --- | --- |
|  | **Other, explanation:** |  |

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# Proposed Budgets and Budget Narrative

Complete five separate Proposed FS-10 Budgets, one for each year of the program. The FS-10 can be found in Excel format on the [NYSED website](http://www.oms.nysed.gov/cafe/forms/).

Complete and upload the proposed Budget Narrative form, which includes the Composite budget and may be found in Excel format on the [CSTEP website](https://www.nysed.gov/postsecondary-services/collegiate-science-and-technology-entry-program-cstep).

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

Payee Information Form/NYSED Substitute W-9 – The [Payee Information Form](https://www.oms.nysed.gov/cafe/forms/) 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

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| --- | --- |
| **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 –**  **SED** |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| 1. **2025-2030 Cover Page / Application for Funding** |  |  |  |  |
| **(Original Signature Required)** |  |  |  |  |

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| --- | --- | --- | --- | --- |
| 1. **Proposal Application Checklist** |  |  |  |  |

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| --- | --- | --- | --- | --- |
| 1. **Proposal Narrative** |  |  |  |  |
|  |  |  |  |  |
| 1. **Narrative Attachments (MOUs, letters, resumes, org. charts)** |  |  |  |  |

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| 1. **Program Work Plan (for each year of the program)** |  |  |  |  |

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| --- | --- | --- | --- | --- |
| 1. **FS-10 Budget forms (one for each year of the program)** |  |  |  |  |
|  |  |  |  |  |
| 1. **Budget Narrative (including Composite Budget)** |  |  |  |  |
|  |  |  |  |  |
| 1. **MWBE Documents (one set to cover all 5 years of program)** |  |  |  |  |
|  |  |  |  |  |
| 1. **Payee Information Form, if applicable** |  |  |  |  |

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| --- | --- | --- | --- | --- |
| 1. **Attachment I (including Statement of Assurances)** |  |  |  |  |
| **(Original Signature Required)** |  |  |  |  |

**OTHER**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| 1. **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)** |  |  |  |  |

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| 1. **Worker’s Compensation Documentation** |  |  |  |  |
| *(recommended)* |  |  |  |  |

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| --- | --- | --- | --- | --- |
| 1. **Disability Benefits Documentation** |  |  |  |  |
| *(recommended)* |  |  |  |  |

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

**FOR USE BY NYSED APPLICATION REVIEW COMMITTEE**

|  |  |
| --- | --- |
| Name of Institution: |  |

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| Proposal Number: |  |

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| Reviewer Name: |  | Date sent to Reviewer: |  |

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| --- | --- | --- | --- |
| Signature: |  | Date Completed: |  |

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| --- | --- | --- | --- |
| Funding Requested: |  | Number of Students to be Served: |  |

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| --- | --- | --- | --- | --- | --- |
| **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.

| 1. **Institutional Expertise**   *Provide a brief description of your institution’s expertise in providing to similar populations as well as experience in conducting collaborative education programs.* **[5 Points]** | **Very Good** | **Good** | **Fair** | **Poor** | **Not Found** |
| --- | --- | --- | --- | --- | --- |
| 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. | 5 | 3.75 | 2.5 | 1.25 | 0 |

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| --- | --- | --- | --- | --- |
|  |  |  |  |  |
|  | **Institutional Expertise / Comments:** | **Score:** |  | **Out of 5** |
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| 1. **Cooperative Relationships**   *Describe the roles and responsibilities of each academic department, professional association, and others who will participate in the proposed project. Specify how each participating party will contribute to the project. Documents that support collaborations should be attached (e.g., MOUs).* **[10 Points]** | **Very Good** | **Good** | **Fair** | **Poor** | **Not Found** |
| --- | --- | --- | --- | --- | --- |
| 1. Describe the level and extent of the involvement of faculty, department chairs, or deans in the planning, implementation, and evaluation of the project. Be specific. For departments that house programs leading to CSTEP-targeted fields, include letters of support from the appropriate academic officer. | 2 | 1.5 | 1 | .5 | 0 |
| 1. Describe how government agencies (e.g., NYSTAR, NYDOH, NSF, NIH), business/industry, and at least one of the professions will participate in the planning, implementation, and evaluation of the project. | 2 | 1.5 | 1 | .5 | 0 |
| 1. Describe the planned collaboration with other institutional programs that have similar objectives and goals as CSTEP (e.g., McNair, Alliance for Minority Participation (AMP), Bridges to the Baccalaureate, etc.) Include a letter of support/MOU from participating program(s). | 2 | 1.5 | 1 | .5 | 0 |
| 1. Describe the project’s planned involvement in the Statewide and Regional collaborations related to education in the licensed professions, scientific, and technical fields, including the determination and remediation of regional and statewide shortages. | 4 | 3 | 2 | 1 | 0 |

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|  | **Cooperative Relationships / Comments:** | **Score:** |  | **Out of 10** |
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| 1. **Program Work Plan #1:**   *Provide instructional support in “gateway courses” (i.e., small group tutorials or supplemental instruction in biology, chemistry, physics, calculus, and pre-professional pre-requisite courses) at the freshman and sophomore levels and tutoring for higher level courses at the junior and senior levels.* **[6 Points]** | **Very Good** | **Good** | **Fair** | **Poor** | **Not Found** |
| --- | --- | --- | --- | --- | --- |
| 1. The applicant identifies and describes activities, timeline, staff responsible, and evaluation tool(s) that support this program requirement. | 6 | 4.5 | 3 | 1.5 | 0 |
|  |  |  |  |  |  |

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|  | **Requirement #1 / Comments:** | **Score:** |  | **Out of 6** |
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| **C. Program Work Plan #2:**  *Provide services to enhance and increase students’ involvement in research and/or internship opportunities, including, but not limited to, a CSTEP coordinated research/internship experience for each student prior to graduation culminating in either a research project or written summary of internship.* **[6 Points]** | **Very Good** | **Good** | **Fair** | **Poor** | **Not Found** |
| --- | --- | --- | --- | --- | --- |
| 1. The applicant identifies and describes activities, timeline, staff responsible, and evaluation tool(s) that support this program requirement. | 6 | 4.5 | 3 | 1.5 | 0 |
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|  | **Requirement #2 / Comments:** | **Score:** |  | **Out of 6** |
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| **C. Program Work Plan #3:**  *Provide* ***student*** *professional development opportunities: workshops, poster presentations, representation of or in publications in professional/research that promote access to careers in math, science, technology, health-related fields, and the licensed professions.* **[6 Points]** | **Very Good** | **Good** | **Fair** | **Poor** | **Not Found** |
| --- | --- | --- | --- | --- | --- |
| 1. The applicant identifies and describes activities, timeline, staff responsible, and evaluation tool(s) that support this program requirement. | 6 | 4.5 | 3 | 1.5 | 0 |
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|  | **Requirement #3 / Comments:** | **Score:** |  | **Out of 6** |
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| **C. Program Work Plan #4:**  *Provide program services and activities that include: tutoring, academic counseling, remedial and special summer courses, supplemental financial assistance, recruitment, academic enrichment, career planning, and review for licensing examinations for students pursuing careers in scientific and technical fields and the licensed professions.* **[6 Points]** | **Very Good** | **Good** | **Fair** | **Poor** | **Not Found** |
| --- | --- | --- | --- | --- | --- |
| 1. The applicant identifies and describes activities, timeline, staff responsible, and evaluation tool(s) that support this program requirement. | 6 | 4.5 | 3 | 1.5 | 0 |
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|  | **Requirement #4 / Comments:** | **Score:** |  | **Out of 6** |
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| **C. Program Work Plan #5:**  *Plan and implement Service-Learning activities. 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.* **[6 Points]** | **Very Good** | **Good** | **Fair** | **Poor** | **Not Found** |
| --- | --- | --- | --- | --- | --- |
| 1. The applicant identifies and describes activities, timeline, staff responsible, and evaluation tool(s) that support this program requirement. | 6 | 4.5 | 3 | 1.5 | 0 |
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|  | **Requirement #5 / Comments:** | **Score:** |  | **Out of 6** |
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| **C. Program Work Plan #6:**  *Develop and implement a CSTEP Advisory Committee with membership representatives from various stakeholder groups, such as appropriate faculty, department chairs or deans, students, and other relevant stakeholders. the purpose of the CSTEP Advisory Committee is to meet to discuss the planning, implementation, and evaluation of the CSTEP project.* **[6 Points]** | **Very Good** | **Good** | **Fair** | **Poor** | **Not Found** |
| 1. The applicant identifies and describes activities, timeline, staff responsible, and evaluation tool(s) that support this program requirement. | 6 | 4.5 | 3 | 1.5 | 0 |
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|  | **Requirement #6 / Comments:** | **Score:** |  | **Out of 6** |
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| **C. Program Work Plan #7:**  *Promote and encourage collaborations with Statewide and Regional partners by participating in Statewide and Regional networking and committees.* **[6 Points]** | **Very Good** | **Good** | **Fair** | **Poor** | **Not Found** |
| 1. The applicant identifies and describes activities, timeline, staff responsible, and evaluation tool(s) that support this program requirement. | 6 | 4.5 | 3 | 1.5 | 0 |
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|  | **Requirement #7 / Comments:** | **Score:** |  | **Out of 6** |
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| 1. **Recruitment**   *Describe all strategies, activities and processes used to recruit and select participants.* **[6 Points]** | **Very Good** | **Good** | **Fair** | **Poor** | **Not Found** |
| --- | --- | --- | --- | --- | --- |
| 1. Describe the recruitment process for CSTEP and list the criteria that must be met by each participant in order to be selected for participation in the program (for example, selected majors, GPA, class year, etc.). These criteria must be in addition to the basic CSTEP ethnic/racial or economic criteria. | 2 | 1.5 | 1 | .5 | 0 |
| 1. Describe the process and list the criteria for all special program components, such as internships, research, etc. List all criteria that will be used to select participants for any component of the program, such as requirements for research, internships, and other field experiences. | 2 | 1.5 | 1 | .5 | 0 |
| 1. Describe how your recruitment initiatives specifically deal with increasing the target populations’ enrollment in the STEM and/or Licensed professions by providing programming and services as identified in the Requirements. | 2 | 1.5 | 1 | .5 | 0 |

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|  | **Recruitment / Comments:** | **Score:** |  | **Out of 6** |
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| 1. **Retention**   *Describe all strategies, activities and processes used to retain participants.* **[6 Points]** | **Very Good** | **Good** | **Fair** | **Poor** | **Not Found** |
| --- | --- | --- | --- | --- | --- |
| 1. Describe how your program plans to retain CSTEP students. | 2 | 1.5 | 1 | .5 | 0 |
| 1. Discuss how the retention plan fits as part of the institution’s overall retention efforts. | 2 | 1.5 | 1 | .5 | 0 |
| 1. Describe how the retention plan differs from class level to class level. | 2 | 1.5 | 1 | .5 | 0 |
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|  | **Retention / Comments:** | **Score:** |  | **Out of 6** |
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| 1. **Project Staffing and Management**   *Describe how the project will be staffed, including a management plan and organizational chart.* **[6 Points]** | **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 | .75 | .5 | .25 | 0 |
| 1. Applicant lists the names and provides an attachment containing the current resumes for all full-time and part-time professionals, including instructional staff, to be assigned to the project. | 1 | .75 | .5 | .25 | 0 |
| 1. Applicant describes a management plan that will assure the effective completion of CSTEP project activities, given the fiscal and other resources available, including where the program will be located and how it will be associated within Academic/Student Affairs.   **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. | 2 | 1.5 | 1 | .5 | 0 |
| 1. Provide an organization chart that indicates the management structure of the CSTEP program within the institution, including where the program will be located and how it will be associated within Academic/Student Affairs   **Consortium applicants only:** Provide an organization chart of the consortium arrangement. | 2 | 1.5 | 1 | .5 | 0 |

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|  | **Project Staffing and Management / Comments:** | **Score:** |  | **Out of 6** |
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| **Technical Proposal Rating Scores by Section** |

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| --- | --- | --- |
| 1. **Institutional Expertise** |  | **Out of 5 points** |
|  |  |  |
| 1. **Cooperative Relationships** |  | **Out of 10 points** |
|  |  |  |
| 1. **Program Work Plan** |  | **Out of 42 points** |
|  |  |  |
| 1. **Recruitment** |  | **Out of 6 points** |
|  |  |  |
| 1. **Retention** |  | **Out of 6 points** |
|  |  |  |
| 1. **Project Staffing and Management** |  | **Out of 6 points** |

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| --- | --- | --- |
| **Total Score:** |  | **Out of 75 Points** |

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| **FISCAL VIABILITY**  **Applies to NOT-FOR-PROFIT INSTITUTIONS Only**  **From the Composite Budget, FS-10 Forms 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 supported as essential to the operation of CSTEP). | 5 | 3.75 | 2.5 | 1.25 | 0 |
| 1. **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 CSTEP). | 5 | 3.75 | 2.5 | 1.25 | 0 |
| 1. **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 CSTEP). | 5 | 3.75 | 2.5 | 1.25 | 0 |
| 1. **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 CSTEP). | 5 | 3.75 | 2.5 | 1.25 | 0 |
| 1. **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 |

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|  | **Budgetary & Fiscal Viability / Comments:** | **Score:** |  | **Out of 25** |
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**Priority points for current CSTEP projects (up to 6 points):**

1. **Enrollment (2 points)**

If the institution’s 2020-23 CSTEP program met the required 95% enrollment as described in the 2020-2025 RFP for:

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

3 years - 1.5 pts

2 years - 1 pt

1 year - .5 pt

**Score: \_\_\_\_\_\_**

1. **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: \_\_\_\_\_\_**

1. **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: \_\_\_\_\_\_**

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| --- |
| **FISCAL VIABILITY**  **Applies to FOR-PROFIT INSTITUTION Only** |

**Contract Administration Unit**

|  |  |  |  |  |  |
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|  | **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** |  |  |  |
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| **PROPOSAL REVIEW CRITERIA**  **GRAND TOTAL** |

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| --- | --- | --- |
| **Proposal Narrative** |  | **Out of 75 points** |
|  |  |  |
| **Budget** |  | **Out of 25 points** |
|  |  |  |
| **TOTAL SCORE** |  | **Out of 100 points** |

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| --- | --- | --- |
| **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** |
|  | **Total Budget** |  |  |
|  | **Professional Salaries** |  |  |
|  | **Support Staff Salaries** |  |  |
|  | **Fringe Benefits** |  |  |
|  | **Portion of Purchased Services used for Stipends** |  |  |
|  | **Indirect Costs** |  |  |
|  | **Rent / Lease / Utilities\*/ Conference Registration Fees** |  |  |
|  | **Sum of lines 2, 3 ,4 ,5, 6 and 7** |  |  |
|  | **Line 1 minus Line 8** |  |  |
|  | **M/WBE Goal percentage (30%)** |  | **0.30** |
|  | **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.: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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| --- | --- | --- | --- |
| **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.**

|  |
| --- |
| REVIEWED BY \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ DATE \_\_\_\_\_\_\_\_\_\_  UTILIZATION PLAN APPROVED YES/NO DATE \_\_\_\_\_\_\_\_\_\_  NOTICE OF DEFICIENCY ISSUED YES/NO DATE \_\_\_\_\_\_\_\_\_\_  NOTICE OF ACCEPTANCE ISSUED YES/NO DATE \_\_\_\_\_\_\_\_\_\_ |

NAME AND TITLE OF PREPARER: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

(*print or type)*

TELEPHONE/E-MAIL \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

DATE \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**M/WBE 100**

**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 102**

**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 105**

**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.

**ESTIMATED**

**DATE** **M/WBE NAME PHONE/EMAIL TYPE OF WORK BUDGET REASON**

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**

**M/WBE 105A**

**REQUEST FOR WAIVER FORM**

|  |  |
| --- | --- |
| **BIDDER/APPLICANT NAME:** | **TELEPHONE:**  **EMAIL:** |
| **ADDRESS:** | **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):** | |
| * **MBE Waiver** - A waiver of the MBE goal for this procurement is requested. * **Total** **🞎 Partial \_\_\_\_\_\_\_%** | * **WBE Waiver** - A waiver of the WBE goal for this procurement is requested. * **Total** **🞎 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 🞎 YES 🞎 NO**  🞎 TOTAL WAIVER 🞎 PARTIAL WAIVER  🞎 NOTICE OF DEFICIENCY  🞎 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*): | | | |  | | | | | | | |  | | | DATE: | |  | |  | |  | | | | | | | | | | |
| NAME AND TITLE OF PREPARER: | | | | |  | | | | | | |  | | | TELEPHONE/EMAIL: | | | | | | |  | | | | | | | | | |

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **EEO 100**  **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](mailto: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. | | | | | | | | | | | | | | | | | | | | | |

**EEO 100**

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.

1. **Data Privacy and Security**.
   1. 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.
   2. 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.
   3. 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.
2. **Contractor’s Employees and Subcontractors**.
   1. 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.
   2. 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.
   3. 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.
   4. Contractor shall take full responsibility for the acts and omissions of its employees and Subcontractors.
   5. 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.
   6. 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.
   7. 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.
3. **Data Return and Destruction of Data**.
   1. 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.
   2. 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.
   3. 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.
   4. 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.
4. **Breach**.
   1. 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.
   2. 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.
   3. 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.
5. **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.