

New York State Higher Education Services Corporation (HESC)

Request for Proposals

for

**NY Gaining Early Awareness and Readiness for Undergraduate Programs
(NYGEAR UP)
Site-based Services**

Proposal Due Date: December 23, 2014

New York State
Higher Education Services Corporation
99 Washington Avenue
Albany, New York 12255

This Request for Proposals (RFP) explains the guidelines, schedule, requirements, and awards process for the New York Gaining Early Awareness and Readiness for Undergraduate Programs (NYGEAR UP) sub-grants awarded through the New York State Higher Education Services Corporation (HESC). Please note the following important dates and information:

Deadline for submitting inquiries about this RFP: All inquiries must be submitted by 4:00 p.m. Eastern Standard Time on December 12, 2014 to Nancy Sanford at HESC, by e-mail only, to the following e-mail address: Nancy.sanford@hesc.ny.gov.

Responses to bidder's questions will be posted at The New York State Contract Reporter website: www.nyscr.ny.gov.

Deadline for submitting proposals: December 23, 2014, 5:00 p.m. Eastern Standard Time.

Restricted period for all communications pertaining to this RFP.

The NYS Procurement Lobbying Act establishes a restricted period for competitive bidding processes, during which all communications pertaining to the bidding process are limited to the individuals identified by the agency as official contact persons. Responses to this RFP and all other communications, including but not limited to inquiries and requests for further information regarding this RFP, must be addressed to the following official contact persons only:

Nancy Sanford, Purchasing Agent
Higher Education Services Corporation
99 Washington Avenue, Room 1500
Albany, NY 12255
Phone: (518) 473-9383
e-mail: Nancy.Sanford@hesc.ny.gov

or

Warren Wallin, Chief Fiscal Officer
Higher Education Services Corporation
99 Washington, Room 1500
Albany, NY 12255
Phone: (518) 486-7443
e-mail: Warren.Wallin@hesc.ny.gov

Schedule

| Date | Action |
|-------------------|--|
| December 1, 2014 | RFP announced by HESC |
| December 12, 2014 | Due date for written Bidder questions to be e-mailed to Nancy Sanford ONLY at nancy.sanford@hesc.ny.gov |
| December 16, 2014 | Due date for HESC's responses to written Bidder questions |
| December 23, 2014 | Deadline for receipt of proposals |
| January 23, 2015 | Notification to Bidders of HESC's proposal evaluation results. |

Note: The dates in this schedule may be subject to change.

Introduction

The New York State Higher Education Services Corporation (HESC) seeks, through this RFP, to procure nonprofit organizations to provide required services to students and parents through the New York Gaining Early Awareness and Readiness for Undergraduate Program (NYGEAR UP) in relation to its stated goal, objectives and intended outcomes.

In September 2014, New York State was awarded a \$22,420,000, multi-year GEAR UP grant by the U.S. Department of Education to significantly increase the number of low-income New York State secondary school students who are prepared to enter and succeed in postsecondary education or training. NYGEAR UP will utilize strong theory and research-based effective practices offered by higher education industry leaders and qualified service providers.

Under this grant, NYGEAR UP will work with a cohort of students enrolled in middle schools that "feed" into high schools in which 60 percent or fewer students graduate on time, starting in the 7th grade and continuing through 12th grade.

NYGEAR UP is designed to meet the following objectives:

1. Increase the academic performance and preparation for postsecondary education of participating students, with an emphasis on career readiness and college fit;
2. Increase the rate of high school graduation, with an emphasis on college and career readiness;
3. Increase participation in postsecondary education of participating students with an emphasis on college fit and alignment with high-demand fields and sectors of the economy;
4. Increase participation in postsecondary education of participating students without need for remedial coursework;
5. Increase the rate of college persistence and completion of participating students; and
6. Increase student and family knowledge of postsecondary education options, preparation and financing.

Project Funding and Timeline

HESC seeks to award contracts for the provision of required NYGEAR UP services to the highest ranked organizations that submit acceptable proposals based on the best value procurement approach, which includes consideration of not only cost, but quality of service and experience. The budget allocated for the solicitation is up to \$800 in federal funding per student served. This cap excludes non-federal project matching funds and funding for services provided by NYGEAR UP State partners. This RFP requests proposals for six school years, beginning with the 2014-2015 school year. Projects funded in the first award year will be funded for subsequent years contingent upon Congressional allocation of sufficient federal GEAR UP funding and otherwise meeting the program requirements under this RFP.

Services will begin on February 2, 2015 and will be completed by August 31, 2020.

Cost Sharing or Matching

This project requires a dollar for dollar match to participate. Federal funds may not be used to match GEAR UP funds. Matching funds may be in cash, in-kind services or through donation and must directly support the services required by the project. Applicants will be held to the matching commitment proposed in the application for funding.

Eligibility

To be eligible for a NYGEAR UP grant, a bidder must be a non-profit organization.

**CHECKLIST FOR SUB-GRANT APPLICANTS
NYGEAR UP**

Proposals Due December 23, 2014, 5:00 p.m. EST

- Project Abstract (no more than 1 page, double-spaced)**
 - Describe the proposed project activities and intended outcomes

- Project Narrative (no more than 12 pages, double-spaced)**
 - Project Description
 - One-paragraph biographies of key project personnel
 - Description of agencies, schools, and colleges or universities involved
 - Description of resources to be used in this project, including description of in-kind contributions

- Cover Sheet – Form A**
 - Project Lead/Fiscal Agent and project partners, college or university and other partner’s names, addresses, and contact information.
 - School(s) to be served
 - Estimated number of students per grade level to be served yearly
 - Amount requested, per year, and for a six-year total period of sub-grant.

- Memorandum of Agreement – Form B**
 - Signed by Each Participating Organization

- Program Assurance – Form C**

- Project Budget Summary – Form D**
 - Must include Year One narrative detail

- Resumes of Key Project Personnel**

- Charities Registration Information**

I. NYGEAR UP Project Description

The New York State Higher Education Services Corporation (HESC) seeks, through this RFP, eligible nonprofit organizations to provide a multi-service program based on strong theory and research-based effective practices. Successful nonprofit organizations will work in collaboration with HESC, the State University of New York (SUNY), City University of New York (CUNY), The College Board, the New York State Financial Aid Administrators Association (NYSFAAA), the Commission on Independent Colleges and Universities (cIcu), and an independent evaluator to provide services to students, families, and school professionals.

NYGEAR UP services will be provided to a cohort of students statewide enrolled in eligible middle schools, as identified in Addendum B, starting in the 7th grade and continuing through 12th grade. HESC expects multiple projects sites to be awarded.

The overarching goal of NYGEAR UP is to significantly increase the number of participating low-income students who are prepared to enter and succeed in postsecondary education or training.

The intended outcomes of NYGEAR UP are:

- Lower student dropout rates;
- Higher high school graduation rates;
- Higher rates of students who graduate high school with Advanced Designation diplomas;
- Higher rates of enrollment in college or vocational training programs;
- Increased knowledge of postsecondary education options, preparation and financing among students and their families;
- Reduced need for remedial coursework among students entering college; and
- Greater college success.

Project Requirements

A selected nonprofit organization must work in partnership with one or more eligible school(s) or school district(s) to implement services. See Addendum B for the list of eligible middle and high schools. The services must begin with a cohort of 7th grade students attending at least one district middle school and must follow the majority of the cohort to an eligible high school through the 12th grade.

A nonprofit organization must provide a signed Memorandum of Agreement (Form B) for each organization with which it will partner. The project narrative must clearly describe the role of each partner.

Proposals must detail how the nonprofit organizations will develop and implement the following requirements and mandatory services in coordination with their designated partner(s):

- A. Participation Contract. Obtain parental consent forms for student participation in NYGEAR UP and the release of student academic performance information and school attendance. Parents/guardians and students must sign a NYGEAR UP participation contract annually, allowing them to participate in the program and committing them to a set of clearly defined steps or goals on the path to achieving academic success and preparing for postsecondary education.
- B. Orientation. Provide students and parents with NYGEAR UP participation requirements at an annual orientation that, at a minimum, includes:
 - a. Information about the types of services that will be delivered; and
 - b. Logistical information regarding matters including, but not limited to:
 - i. Transportation
 - ii. After-school and/or weekend activities
 - iii. Off-site activities
- C. Tutoring/Homework Assistance. Provide students with one-on-one or small group tutoring before, during, or after school, or on the weekends. Tutoring should not be a stand-alone activity, but must be tailored to students' needs. Trained tutors must be available to assist students in subjects including, but not limited to:
 - a. Math;
 - b. Reading,
 - c. English Language Arts; and
 - d. Science.
- D. Mentoring. Provide a mentoring program to assist in the development of students' academic, organizational, and life skills utilizing any variation of the following methods:
 - a. Matching one student with one adult;
 - b. Matching one adult with a small group of students;
 - c. Matching several adults with small groups of students (no more than four-to-one ratio); and/or
 - d. Matching older students with younger students.
- E. Counseling. Provide students counseling services with trained professionals that include, but are not limited to the following:
 - a. Academic counseling;
 - b. Mental health counseling;
 - c. Financial aid and awareness counseling; and
 - d. Career counseling.
- F. College Tours. Expose students to different types of colleges through college tours, including:
 - a. Public/Private;
 - b. Two-year/Four-year;
 - c. Large/Medium/Small; and/or
 - d. Urban/Suburban/Rural.

G. Student Aptitude Test (SAT). Nonprofit organizations must facilitate student submissions of SAT fee waivers, or submit such waivers on their behalf, in time to take the test in the 11th grade. Nonprofit organizations must also provide all students the opportunity to retake the SAT in the fall semester of their 12th grade year.

Selected nonprofit organizations must also collaborate with NYGEAR UP State Partners to provide the following services:

- A. ReadiStep™ Assessment. Work in tandem with The College Board and the school(s) and/or school district(s) to administer ReadiStep™ to NYGEAR UP students in the 8th and 9th grade.
- B. PSAT/NMSQT. Work in tandem with The College Board and the school(s) and/or school district(s) to provide the PSAT/NMSQT to NYGEAR UP students when they reach the 10th grade.
- C. Non-cognitive Skills Curriculum. Work in tandem with SUNY to provide all non-cognitive skills curriculum activities to NYGEAR UP students from 7th through 12th grade.
- D. Parental Engagement Workshops and Communication Plan. Work in tandem with CUNY for the provision of the parental engagement workshops and communication plan.
- E. Professional Development. Work in tandem with the school(s) and/or school district(s), The College Board, cIcu, CUNY, and SUNY for the provision of professional development for teachers, counselors and administrators.

Table 1 details the student services, providers of each student service, and timeline for providing each NYGEAR UP service.

Table 1. NYGEAR UP Services

| Student Services | Provider | Timeline |
|---|--------------------------|------------------|
| Tutoring / Homework Assistance | Non-Profit Organizations | 7th - 12th Grade |
| Mentoring | Non-Profit Organizations | 7th - 12th Grade |
| Counseling – small group / 1 on 1 | Non-Profit Organizations | 7th - 12th Grade |
| Community Service | Non-Profit Organizations | 7th - 12th Grade |
| College Tours | Non-Profit Organizations | 8th - 12th Grade |
| Early Assessment/ PSAT 8/9™ | College Board | 8th & 9th Grade |
| PSAT/NMSQT Assessment | College Board | 10th Grade |
| SAT Coaching | Non-Profit Organizations | 11th Grade |
| <u>Non-cognitive Skills Curriculum</u> : Academic Identity, Career Exploration, Study Skills, Time Management, College and Career Awareness, Goal Development, Personal Identity and Persistence, College Fit | SUNY | 7th - 12th Grade |

| Student Services | Provider | Timeline |
|---|---|------------------|
| College Awareness Curriculum | cIcu | 7th - 12th Grade |
| Financial Aid Counseling, College Counseling and Planning | Non-Profit Organizations/HESC / NYSFAAA | 7th - 12th Grade |
| College Fair | cIcu | 9th - 12th Grade |
| Pathways in Technology Early College High School (P-TECH) | NYS Education Dept./ SUNY/CUNY/ Business Council of NYS | 9th - 12th Grade |
| Parent Services | Provider | Timeline |
| Parental Engagement Workshops | CUNY | 7th - 12th Grade |
| Communication / Outreach Plan with targeted, timely messages to parents | CUNY | 7th - 12th Grade |
| Financial Aid Counseling, College Counseling and Planning | Non-Profit Organizations/HESC / NYSFAAA | 7th - 12th Grade |
| Professional Development/School Staff Services | Provider | Timeline |
| Utilizing test outcomes to direct student-centered academic plans | College Board | 7th - 11th Grade |
| Re-engaging At-Risk Youth Workshops | CUNY & SUNY | 7th - 11th Grade |

Selected nonprofit organizations **must** attend the following events each year:

- A. State Technical Workshop. The annual technical workshop will provide training and updates on the requirements, policies and procedures of NYGEAR UP; an opportunity to pose questions to State project staff, State partners and the independent evaluator; receive training on the use of the NYS Grants Gateway, Mid-Year Expenditure Report and Final Expenditure Report, payroll, program and budget documentation; and receive information on files maintenance and evaluation requirements, and, the requirements and timeline for collaboration activities.
- B. State Conference. Selected nonprofit organizations must attend the annual State conference and participate in workshops on effective grant management, program improvement, parental engagement, and college preparation and readiness.
- C. National Conferences. Selected nonprofit organizations must attend the Annual National Council for Community and Education Partnerships (NCCEP) federal GEAR UP Conference and annual Capacity-Building Conference. **Please note that the first Capacity-Building Conference will convene in Philadelphia, PA on February 8-11, 2015.**

Optional Services

Selected nonprofit organizations may provide additional research-based services including, but not limited to the following:

1. Family Engagement Services;
2. Educational field trips; and
3. Summer programs.

Data Collection Requirements

Nonprofit organizations must work in tandem with NYGEAR UP's independent program evaluator in the collection and reporting of data. This data is mandatory and required to be entered into the NYGEAR UP database on an on-going basis and will include but not limited to the following:

1. Student Demographic Information
 - a. Age
 - b. Race/ethnicity
 - c. Gender
 - d. Free/reduced lunch eligibility
 - e. English language proficiency
 - f. Parent/guardian highest level of education
 - g. Parent/guardian marital status
 - h. Household composition
2. Student Academic Information
 - a. Grade point average
 - b. Current and previous coursework and grades received
 - c. State assessment and Regent Exam results
 - d. Readiness™ Assessment, PSAT/NMSQT, and SAT results
3. Student Participatory Information
 - a. Daily school attendance
 - b. Daily attendance in NYGEAR UP services

Personnel

- A. Site Coordinator. The nonprofit organization must designate at least one, full-time, site coordinator to administer project services with the specific responsibilities to include:
 - a. Coordinate all NYGEAR UP mandatory activities and services;
 - b. Provide school(s) and/or school district(s) project oversight and technical assistance;
 - c. Collect required data elements in the format prescribed by NYGEAR UP's independent evaluator;
 - d. Serve as project liaison to NYGEAR UP State Partners for coordination of collaborative services;

- e. Participate in the annual NYGEAR UP technical workshop and state conference;
 - f. Coordinate the site-based advisory committee.
- B. Site-based Advisory Committee. Nonprofit organizations must develop an active advisory committee to meet quarterly, for the purpose of making data-driven decisions on the need of students serviced by the site. Advisory committees must be comprised of but not limited to the following:
- 1. one site coordinator;
 - 2. one principal, per school (if applicable);
 - 3. one teacher, per school (if applicable);
 - 4. one parent/guardian;
 - 5. one executive from the nonprofit organization; and
 - 6. one local business leader.

II. Project Evaluation Criteria

| Scoring | Weight |
|---------------------------------------|---------------|
| 1.0 Initial Screening | Not Scored |
| 2.0 Suitability of the Proposal | 10% |
| 3.0 Depth and Breadth of Services | 35% |
| 4.0 Experience/Capabilities | 20% |
| 5.0 Project Resources, Costs, & Value | 30% |
| 6.0 MWBE Plan | 5% |

Criterion 1.0 – Initial Screening

HESC, in its sole discretion, will determine whether the nonprofit organization:

- Meets all requirements to do business with New York State; and
- Has submitted all required narratives, forms and addendums, as specified in the RFP.

Proposals will be disqualified in the event the nonprofit organization fails to meet the Initial Screening criteria.

Criterion 2.0 – Suitability of the Proposal

In determining the suitability of the proposal, HESC will consider the following factors:

- The extent to which the proposal demonstrates an understanding of and effectiveness towards the intended outcomes of NYGEAR UP.
- The extent to which the proposal offers proven or research-based solutions, interventions and/or activities.
- The extent to which the proposal addresses the needs and requirements set forth in the RFP.

Criterion 3.0 – Depth and Breadth of Service

In determining the depth and breadth of service, HESC will consider the following factors:

- The extent to which the nonprofit organization proposes to maximize the number of eligible students and/or families to be served or benefit from the services.
- The adequacy of the implementation strategy to achieve the NYGEAR UP objectives on time and on budget over the six-year grant period, including clearly defined responsibilities, timelines and milestones for accomplishing project tasks.
- The extent to which the nonprofit organization demonstrates that it has effective methods for the delivery of services and/or materials.
- The extent to which the proposal would employ or build on proven and effective strategies to support NYGEAR UP and improve student outcomes.

Criterion 4.0 – Experience/Capabilities

In determining the nonprofit organization’s experience and/or capabilities, HESC will consider the following factors:

- The extent to which the nonprofit organization and/or its partner(s) have successfully offered similar services or demonstrate that it is capable of providing services in an effective manner.
- The extent to which the nonprofit organization and/or its partner(s) have appropriate and experienced staff to develop and/or render services to accomplish the project goals.
- The extent to which the nonprofit organization and/or its project staff have prior working relationships with the target population or proposed partners.
- The extent to which the proposed site-based Advisory Committee will ensure a diverse perspective in the operation of the project.
- The extent to which the time commitment of the site coordinator and other key project personnel are appropriate to meet the objectives of the proposed project.

Criterion 5.0 – Project Resources, Costs, and Value

- The extent to which the identified resources and materials, including facilities, equipment, or supplies, are necessary and effective to implementing the project.

- The extent to which the interventions are cost effective and maximize the number of participating students to be served or benefit from the services.
- The extent to which the budget includes the costs of all required services, including SAT costs for grant year six, and travel to participate in required events, including the annual Technical Workshop and State Conference.
- The extent to which the price is commensurate with the value offered by the services to be rendered and the anticipated results and benefits.

Criterion 6.0 – MWBE Plan

In determining the suitability of the MWBE plan included in the proposal, HESC will consider the following factor:

- The extent to which the proposal outlines a plan to meet the specified goal set for overall MWBE participation (as indicated on page 14 of this RFP).

III. Budgetary Guidelines and Requirements

Each nonprofit organization must complete the Project Budget Summary Form (Form D) for the entire project period included in this RFP. Additionally, each nonprofit organization must attach to Form D a brief narrative, which shall be no longer than four pages, describing the proposed expenditures for Year One in detail, including the total number of students and/or families projected to be served.

Allowable Expenses

Nonprofit organizations should refer to OMB Circular A-21 Cost Principles for Educational Institutions or OMB Circular A-122 Cost Principles for Non-Profit Organizations, as applicable, for guidance on what expenses are allowable. Federal OMB Circulars can be found at: http://www.whitehouse.gov/omb/circulars_index-education/. No reimbursement will be made for costs not allowed pursuant to the OMB Circular.

The following items may be charged to the budget of a project funded by a sub-grant awarded under this RFP.

- Instructional and other academic support services for students and parents/guardians.
- Activities that encourage and support active parental involvement in the educational process.
- Academic year, summer and weekend activities for students and parents/guardians of students.
- Program administration, planning and evaluation.

- Receipted travel expenditures for students and program staff.

All expenses must supplement and not supplant other programs and funding sources in effect during the project timeline.

Minority and Women-Owned Business Enterprises

Pursuant to Article 15-A of the New York State Executive Law, HESC must ensure that certified Minority/Women-Owned Business Enterprises (M/WBE's) are provided the opportunity for meaningful participation in the performance of contracts awarded by HESC. While personal services, rent and utilities are exempt from M/WBE goals, all other expenses (including non-personal services) in excess of \$25,000 are subject to M/WBE goals.

HESC has established a goal of thirty percent (30%) for business participation by certified Minority-Owned Business Enterprises and/or Women-Owned Business Enterprises on this particular contract with specific goals of fifteen percent (15%) for participation by certified Minority-owned business enterprises and fifteen percent (15%) for certified Women-owned business enterprises. The selected bidder must agree, as a condition of the State contract, to be bound by the provisions of Section 316 of Articles 15-A of the Executive Law. Additional information and resources can be found at the following link: <http://esd.ny.gov/MWBE.html>. A listing of certified minority and/or women owned business enterprises is available through the NYS M/WBE Directory at: <https://ny.newnycontracts.com/>

Personal Services and Indirect Costs

Personnel

The successful nonprofit organization will appoint a project director to manage the funded project. The project director must have NYGEAR UP as his/her primary responsibility, which means more than 50 percent of his/her duties if he/she is a full-time employee or all of his/her duties if he/she is a half-time employee.

Holiday and Vacation Leave

Project staff whose salaries are paid in whole or in part by this sub-grant may receive holiday benefits and vacation leave not to exceed that given to staff of equal rank in the organization. The scheduling of holidays and vacations must ensure continuity of project activities.

Fringe Benefits

The rate for fringe benefits charged under this sub-grant may not exceed the actual rate paid by the organization.

Indirect Costs

The indirect cost rate is limited to a maximum of 8 percent of the total direct costs or the actual indirect cost rate used by the organization, whichever is less.

IV. Payment

Nonprofit organizations should refer to Addendum C for the payment schedule.

New York State Vendor Requirements

Entities doing business with the State of New York must have a Vendor Identification Number in order to receive payment for goods and/or services. For more information on the vendor registration process please visit: http://www.osc.state.ny.us/vendor_management/.

V. Reporting

In addition to data collection and reporting as outlined in the data collection requirements, each nonprofit organization awarded a grant under this RFP must provide the following reports in formats prescribed by HESC:

Annual Site Report (ASR)

The ASR must include a narrative assessment of progress toward achieving the NYGEAR UP goal and objectives. Information will be used for the federal annual performance report (APR) for the federal reporting period, April 1st through March 31st, due by March 31st each year. Updated expenditures may be required, as needed, to complete the federal APR. For the first year of the grant, the reporting period includes the time period from the beginning of the project through March 31, 2015.

Mid-Year Expenditure Report

A Mid-Year Expenditure Report will contain actual expenditures funds for the period September 1st through February 28th, due March 31st each year. For the first year of the grant, the reporting period includes the time period from the beginning of the project through March 31, 2015.

Final Expenditure Report

A Final Expenditure Report will contain actual expenditures funds for the period September 1st through August 31st; updates on activities for the period and progress toward achieving the project's goals and objectives throughout the reporting period, due October 1st each year. For the

first year of the grant, the reporting period includes the time period from the beginning of the project through August 31, 2015.

VI. Renewal

Each Nonprofit organization awarded a grant under this RFP must provide a renewal application in the format prescribed by HESC. The renewal application will include a detailed work plan and budget for the upcoming project period, September 1st through August 31st. The renewal application will be due by June 1st each year for the upcoming project period.

VII. Evaluation Methodology

Proposals will be evaluated by a panel of reviewers determined by HESC.

No proposal will be evaluated until the nonprofit organization completes and submits all required documents and information.

Evaluation Approach

HESC will perform an Initial Screening of proposals received to determine whether or not proposals meet the Pass/Fail requirement. Proposals that receive a failing evaluation on the Initial Screening will not be evaluated further.

The evaluation of all other criteria will be scored on a scale of one (1) through and including twenty (20) by each evaluator. A score of one (1) through six (6) will be considered limited; a score of seven (7) through thirteen (13) will be considered good; and a score of fourteen (14) through twenty (20) will be considered exceptional. This score (1 through 20) is a Raw Score. Each evaluator's Raw Score will be added to all other evaluators' Raw Scores. The sum of evaluators' Raw Scores will be divided by the number of evaluators, resulting in an Average Raw Score. The Average Raw Score will be multiplied by the corresponding Weight for each Criterion as set by HESC. This will result in a Weighted Score for each criterion. Weighted Scores for each criterion will be added together and will result in a Total Weighted Score for each proposal.

Selection of Winning Nonprofit organizations

HESC will make awards to the highest ranked nonprofit organizations based on the nonprofit organizations' Total Weighted Scores. In the event of a tie, the award will be made first to the nonprofit organization that has the highest score for Criterion 4 (Experience/Capabilities). In the event multiple tied nonprofit organizations have received the same score for Criterion 4, the

award will be made to the tied nonprofit organization who received the highest score for Criterion 3 (Depth and Breadth of Service).

VIII. Application Format

To be considered, proposals must be received by 5:00 p.m. Eastern Standard Time, December 23, 2014. Applications must be submitted to the New York State Grants Gateway at:

grantsgateway.ny.gov

Proposals received after the due date and/or time will not be accepted and will not be reviewed. **No faxes or e-mails will be accepted.**

IX. State Reserved Rights

The State of New York reserves the right to:

- Reject any or all proposals received in response to the RFP.
- Withdraw the RFP at any time, at the agency's sole discretion.
- Make an award under the RFP in whole or in part.
- Disqualify any bidder whose conduct and/or proposal fails to conform to the requirements of the RFP.
- Seek clarifications and revisions of proposals.
- 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.
- Prior to the bid opening, amend the RFP specifications to correct errors or oversights, or to supply additional information, as it becomes available.
- Prior to the bid opening, direct bidders to submit proposal modifications addressing subsequent RFP amendments.
- Change any of the scheduled dates.
- Eliminate any mandatory, non-material specifications that cannot be complied with by all of the prospective bidders.
- Waive any requirements that are not material.
- Negotiate with the successful bidder within the scope of the RFP in the best interests of the State.
- Conduct contract negotiations with the next responsible bidder, should the agency be unsuccessful in negotiating with the selected bidder.
- Utilize any and all ideas submitted in the proposals received.
- Unless otherwise specified in the solicitation, every offer is firm and not revocable for a period of 60 days from the bid opening.

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

X. HESC's Reserved Rights and Prerogatives

The following HESC requirements, prerogatives and limitations (in addition to such others that may otherwise be set forth in this RFP) apply to the proposals and/or the contract to be entered into with the successful bidder, as applicable.

- HESC is not obligated for any costs incurred by the bidder in preparing or evaluating its proposal or in the negotiation of a contract.
- The hourly rates and prices quoted by a bidder shall be the same as or lower than those quoted to other corporations, institutions, or governmental agencies for the provision of similar goods and/or services supplied in like quality.
- Any bidder submitting a proposal in response to this request for proposal shall accept the following contract conditions, that relate to consideration of the proposal:
 - o HESC reserves the sole rights of judgment and acceptance of a bidder's written proposal;
 - o The bidder's proposal shall remain in effect for 180 days from the final due date for submission of a proposal. However, a non-successful bidder may withdraw his/her proposal upon notice any time after the selection of the successful bidder, upon written notice to HESC. Bidders whose proposals have been rejected by HESC will be notified of such rejection; and
 - o Payments will be based on invoices containing an itemization of charges. Payments by the State of New York must be made to the prime contractor, in accordance with the prompt-payment legislation of the State of New York.
- All proposals and accompanying documentation become the property of HESC and will not be returned.
- A contract will be negotiated. Such contract will not be effective unless and until it is approved by the NYS Attorney General's Office and the Office of the State Comptroller.
- So far as concerns the obligations of HESC, the award and the contract entered into shall be deemed executable only to the extent of monies available to HESC, and no liability shall be incurred by HESC or the State of New York beyond the monies available for the purposes of the contract.
- If a bidder's proposal includes another provider's product(s) and/or services, the bidder shall be required to assume responsibility for those products and/or services as the prime contractor to HESC.
- The successful bidder shall not assign, transfer, or convey the award, nor shall it assign, transfer, or convey the agreement entered into, any part thereof, or any interest therein without the prior written consent of HESC.

- Any subcontracting shall require the prior express written approval of HESC.
- Purchases made by HESC are not subject to state or local sales taxes, federal excise taxes, or transportation taxes. To satisfy the requirements of the New York sales tax, either the purchase order issued by an agency or institution of New York State for goods and/or services, or the voucher forwarded to authorize payment for such goods and/or services, will be sufficient evidence that the sale by a contractor or vendor was made to HESC, an exempt organization under Section 1116 (a) (1) of the Tax Law. New York State's Federal Excise Tax Exemption Certificate Number is 14740026K.

XI. Ethics Compliance

All bidders/contractors and their employees must comply with the requirements of §§73 and 74 of the Public Officers Law, other state codes, rules, regulations, and executive orders establishing ethical standards for the conduct of business with New York State. In signing any contract resulting from this RFP, the contractor certifies full compliance with those provisions for any present or future dealings, transactions, sales, contracts, services, offers, relations, etc., involving New York State and/or its employees. Failure to comply with those provisions may result in disqualification from the bidding process, termination of contract, and/or other civil or criminal proceedings as required by law.

XII. Debriefing Request

An unsuccessful applicant's written request for a debriefing shall be submitted electronically to Nancy Sanford at the address of Nancy.Sanford@hesc.ny.gov.

The debriefing shall be scheduled within 30 business days of receipt of written request by the NYS Higher Education Services Corporation.

Addendum A

Policy Statement for NYGEAR UP Sub-grant Funded Projects

DOCUMENTS WHICH FUNDED PROJECTS ARE REQUIRED TO KEEP ON FILE

Each component of the project must maintain data and records that are specific to its needs and operations; for example, the counseling component must maintain student files which contain records of each contact, session, recommendation, referral, and follow-up. The tutoring component must maintain student files which contain relevant information about the student's needs, tutoring schedule, plans and activities, and progress reports. The site director must monitor these files on a regular basis to ensure compliance with the NYGEAR UP guidelines. The site director must maintain the following information:

1. Project Administration Records

Project proposal, renewal applications, award notifications, Memoranda of Agreement, approved modifications of the project format, reports, and evaluations.

2. Project Finance Records

Approved and amended budgets, expenditure reports, contracts, vouchers, receipts, travel records, time sheets, and payroll records.

3. Personnel Records (for all paid and volunteer staff and faculty)

Staff rosters, resumes, job descriptions, search procedures and announcements, recommendations, performance evaluation plans, staff schedules, and correspondence regarding all personnel actions.

4. Program Operations Records

- a. Academic year and summer program calendars for each year of operation;
- b. Schedule and location of all project activities;
- c. Attendance records for students, parents/guardians, and staff for all project-sponsored activities;
- d. Cumulative records of tutoring, counseling and any other services provided by the project including, but not limited to, brief descriptions of each service, number of hours for each type of service provided, number of students, and parents/guardians who received each type of service;
- e. Minutes from staff and advisory board meetings; and
- f. Records of all staff development activities.

5. Individual Student Files:

- a. Admission Information – A signed parental consent form which permits the release of the student’s school records and gives permission for the student to participate in NYGEAR UP grant activities. Copy of 21st Century Scholarship certificate presented to student to mark enrollment in the NYGEAR UP Program, HESC will prescribe the format and timing of the certificate.
- b. Academic Information – Needs assessment, academic transcripts, and attendance records, report cards and interim progress reports, class schedules, evaluations from teachers, results and interpretations of performance on standardized diagnostic and prescriptive tests, State-mandated tests, Regents examinations; and
- c. Services and Activities – Student contract (if required), signed parental permission slips for field trips, student schedule (including date, time, location, and provider of assigned project activities and services), record of student attendance and participation, record of referrals, and student progress reports that document any changes in academic performance, attendance or other factors that place the student at risk.

The project has the responsibility to ensure that student applications for admissions to the NYGEAR UP grant project and all other data and documents required by HESC are readily available for review. Projects must be able to provide information to HESC about student participation in specific programs and services. Projects must also provide evidence that the services provided have improved or are improving students’ potential to complete high school, gain entry into and successfully complete post-secondary education.

PROJECT PROBATION POLICY

A project, for failure to comply with NYGEAR UP guidelines, failure to provide adequate services to students, or for other reasons negatively affecting the project’s participants, may be placed on probation at the recommendation of HESC’S NYGEAR UP staff after deliberations with the NYGEAR UP sub-grant project director and after consultation with and approval by the HESC NYGEAR UP Program Director.

The NYGEAR UP Program Director will notify the NYGEAR UP sub-grant project director and the sub-grantee’s chief executive/administrative officer in writing of the program’s probationary status.

The term of probation will be for one year. During the probationary period, the project will be directed to comply with recommendations or requirements, make significant improvements, and operate according to the NYGEAR UP Program Guidelines. The NYGEAR UP staff, in consultation with and approval of the NYGEAR UP Program Director, will establish a

Corrective Action – administrative and/or programmatic changes and improvements necessary for the project to be removed from probation.

Probationary programs will be required to report to NYGEAR UP on a quarterly basis of their progress in implementing the required administrative and/or programmatic changes and improvements. Monthly reporting to the NYGEAR UP Program Director may be required at the discretion of NYGEAR UP staff.

Under extraordinary circumstances, a project may be on probation for more than one year, be subject to reduced funding, or have its funding withdrawn if sufficient progress toward improvement has not been made.

GRANT SUSPENSION

Sub-grants may be suspended because of the failure of an institution to carry out the project as approved. In the event the institution does not comply with all requirements of the grant, monies already awarded will be recovered by HESC.

Addendum B

LIST OF ELIGIBLE MIDDLE SCHOOLS

| Middle School Name | School District Name |
|---|----------------------|
| WILLIAM S. HACKETT MIDDLE SCHOOL | ALBANY |
| STEPHEN AND HARRIET MYERS MIDDLE SCHOOL | ALBANY |
| NORTH ALBANY ACADEMY | ALBANY |
| COMMUNITY SCHOOL (#53) | BUFFALO |
| HAMLIN PARK (#74) | BUFFALO |
| NATIVE AMERICAN MAGNET (#19) | BUFFALO |
| GRABIARZ (#79) | BUFFALO |
| LORRAINE ACADEMY (#72) | BUFFALO |
| ACADEMY MIDDLE SCHOOL | BUFFALO |
| ALVERTA B. GRAY SCHULTZ MIDDLE SCHOOL | HEMPSTEAD |
| LONGFELLOW MIDDLE SCHOOL | MT. VERNON |
| AB DAVIS MIDDLE SCHOOL | MT. VERNON |
| PENNINGTON MIDDLE SCHOOL | MT. VERNON |
| J.H.S. 118 WILLIAM W. NILES | NEW YORK CITY |
| I.S. 117 JOSEPH H. WADE | NEW YORK CITY |
| P.S. 095 SHEILA MENCHER | NEW YORK CITY |
| SCHOOL OF DIPLOMACY | NEW YORK CITY |
| P.S./M.S. 280 MOSHOLU PARKWAY | NEW YORK CITY |

| | |
|---|---------------|
| I.S. 061 LEONARDO DA VINCI | NEW YORK CITY |
| J.H.S. 185 EDWARD BLEEKER | NEW YORK CITY |
| J.H.S. 189 DANIEL CARTER BEARD | NEW YORK CITY |
| P.S. 127 AEROSPACE SCIENCE MAGNET | NEW YORK CITY |
| P.S./I.S. 116 WILLIAM C. HUGHLEY | NEW YORK CITY |
| I.S. 141 THE STEINWAY | NEW YORK CITY |
| I.S. 204 OLIVER W. HOLMES | NEW YORK CITY |
| P.S. 111 JACOB BLACKWELL | NEW YORK CITY |
| ALBERT SHANKER SCHOOL FOR VISUAL AND PERFORMING ARTS | NEW YORK CITY |
| POUGHKEEPSIE MIDDLE SCHOOL | POUGHKEEPSIE |
| EAST HIGH SCHOOL (7-12) | ROCHESTER |
| JAMES MONROE HIGH SCHOOL (7-12) | ROCHESTER |
| CLARY MIDDLE SCHOOL | SYRACUSE |
| DANFORTH MIDDLE SCHOOL | SYRACUSE |
| EDWARD SMITH MIDDLE SCHOOL | SYRACUSE |
| EXPEDITIONARY LEARNING MIDDLE SCHOOL | SYRACUSE |
| FRAZER MIDDLE SCHOOL | SYRACUSE |
| GRANT MIDDLE SCHOOL | SYRACUSE |
| HUNTINGTON MIDDLE SCHOOL | SYRACUSE |
| HW SMITH MIDDLE SCHOOL | SYRACUSE |
| LINCOLN MIDDLE SCHOOL | SYRACUSE |
| ROBERTS MIDDLE SCHOOL | SYRACUSE |

| | |
|--|----------|
| WESTSIDE ACADEMY | SYRACUSE |
| CROSS HILL ACADEMY | YONKERS |
| MARTIN LUTHER KING, JR. ACADEMY | YONKERS |
| SCHOOL 23 | YONKERS |
| PALISADE PREPARATORY SCHOOL | YONKERS |
| SCHOOL 13 | YONKERS |
| EUGENIO MARIA DE HOSTOS MICROSOCIETY SCHOOL | YONKERS |

LIST OF ELIGIBLE HIGH SCHOOLS

| High School Name | School District Name |
|--------------------------------------|----------------------|
| ALBANY HIGH SCHOOL | ALBANY |
| BENNETT HIGH SCHOOL | BUFFALO |
| BURGARD VOC HIGH SCHOOL | BUFFALO |
| LAFAYETTE HIGH SCHOOL | BUFFALO |
| RIVERSIDE INSTITUTE OF TECHNOLOGY | BUFFALO |
| SOUTH PARK HIGH SCHOOL | BUFFALO |
| EAST HIGH SCHOOL | BUFFALO |
| POUGHKEEPSIE HIGH SCHOOL | POUGHKEEPSIE |
| CHARLOTTE HIGH SCHOOL | ROCHESTER |
| EAST HIGH SCHOOL | ROCHESTER |
| JAMES MONROE HIGH SCHOOL | ROCHESTER |

| | |
|----------------------------------|-------------------------------|
| DR FREDDIE THOMAS HIGH SCHOOL | ROCHESTER |
| HEMPSTEAD HIGH SCHOOL | HEMPSTEAD |
| NOTTINGHAM HIGH SCHOOL | SYRACUSE |
| HENNINGER HIGH SCHOOL | SYRACUSE |
| FOWLER HIGH SCHOOL | SYRACUSE |
| MT VERNON HIGH SCHOOL | MOUNT VERNON |
| GORTON HIGH SCHOOL | YONKERS |
| FORSYTHE SATELLITE ACADEMY | NYC GEOG DIST # 1 - MANHATTAN |
| LOWER EAST SIDE PREP HIGH SCHOOL | NYC GEOG DIST # 1 - MANHATTAN |
| CASCADES HIGH SCHOOL | NYC GEOG DIST # 1 - MANHATTAN |
| JAMES BALDWIN SCHOOL (THE) | NYC GEOG DIST # 2 - MANHATTAN |
| WASHINGTON IRVING HIGH SCHOOL | NYC GEOG DIST # 2 - MANHATTAN |
| MURRY BERGTRAUM HS FOR BUS CAR | NYC GEOG DIST # 2 - MANHATTAN |
| INDEPENDENCE HIGH SCHOOL | NYC GEOG DIST # 2 - MANHATTAN |
| LIBERTY HIGH SCH ACAD-NEWCOMERS | NYC GEOG DIST # 2 - MANHATTAN |
| HS 560 CITY-AS-SCHOOL | NYC GEOG DIST # 2 - MANHATTAN |
| SATELLITE ACADEMY HIGH SCHOOL | NYC GEOG DIST # 2 - MANHATTAN |
| MANHATTAN COMP NIGHT AND DAY HS | NYC GEOG DIST # 2 - MANHATTAN |
| NORMAN THOMAS HIGH SCHOOL | NYC GEOG DIST # 2 - MANHATTAN |
| HS OF GRAPHIC COMMUNICATION ARTS | NYC GEOG DIST # 2 - MANHATTAN |
| EDWARD A REYNOLDS WEST SIDE HS | NYC GEOG DIST # 3 - MANHATTAN |
| HARLEM RENAISSANCE HIGH SCHOOL | NYC GEOG DIST # 5 - MANHATTAN |

| | |
|---------------------------------------|-------------------------------|
| BREAD & ROSES INTEGRATED ARTS HS | NYC GEOG DIST # 5 - MANHATTAN |
| HIGH SCHOOL-LAW & PUBLIC SERVICE | NYC GEOG DIST # 6 - MANHATTAN |
| HIGH SCHOOL-HEALTH CAREERS & SCIENCES | NYC GEOG DIST # 6 - MANHATTAN |
| INTERNATIONAL COMMUNITY HIGH SCHOOL | NYC GEOG DIST # 7 - BRONX |
| SAMUEL GOMPERS CAREER/TECH ED HS | NYC GEOG DIST # 7 - BRONX |
| GATEWAY SCHOOL-ENVIR AND TECH | NYC GEOG DIST # 8 - BRONX |
| HERBERT H LEHMAN HIGH SCHOOL | NYC GEOG DIST # 8 - BRONX |
| F R DE GAUTIER INST-LAW & POLICY | NYC GEOG DIST # 8 - BRONX |
| BANANA KELLY HIGH SCHOOL | NYC GEOG DIST # 8 - BRONX |
| JANE ADDAMS HS FOR ACADEMIC CAREERS | NYC GEOG DIST # 8 - BRONX |
| BRONX HIGH SCHOOL OF BUSINESS | NYC GEOG DIST # 9 - BRONX |
| J LEVIN HIGH SCHOOL-MEDIA & COMMUN | NYC GEOG DIST # 9 - BRONX |
| BRONX LEADERSHIP ACAD HIGH SCHOOL | NYC GEOG DIST # 9 - BRONX |
| KINGSBRIDGE INTNL HIGH SCHOOL | NYC GEOG DIST #10 - BRONX |
| PULSE HIGH SCHOOL | NYC GEOG DIST #10 - BRONX |
| FORDHAM LEADERSHIP-BUS/TECH | NYC GEOG DIST #10 - BRONX |
| DEWITT CLINTON HIGH SCHOOL | NYC GEOG DIST #10 - BRONX |
| JOHN F KENNEDY HIGH SCHOOL | NYC GEOG DIST #10 - BRONX |
| DISCOVERY HIGH SCHOOL | NYC GEOG DIST #10 - BRONX |
| GRACE H DODGE CAREER AND TECH HS | NYC GEOG DIST #10 - BRONX |
| BRONX HIGH SCH-WRITING & COMM ARTS | NYC GEOG DIST #11 - BRONX |
| CHRISTOPHER COLUMBUS HIGH SCHOOL | NYC GEOG DIST #11 - BRONX |

| | |
|--------------------------------------|------------------------------|
| BRONX HIGH SCHOOL FOR THE VISUAL ART | NYC GEOG DIST #11 - BRONX |
| HARRY S TRUMAN HIGH SCHOOL | NYC GEOG DIST #11 - BRONX |
| GLOBAL ENTERPRISE HIGH SCHOOL | NYC GEOG DIST #11 - BRONX |
| EXPLORATIONS ACADEMY | NYC GEOG DIST #12 - BRONX |
| ARTURO A SCHOMBURG SATTELLITE-BRONX | NYC GEOG DIST #12 - BRONX |
| BRONX REGIONAL HIGH SCHOOL | NYC GEOG DIST #12 - BRONX |
| HIGH SCHOOL OF WORLD CULTURES | NYC GEOG DIST #12 - BRONX |
| MONROE ACAD FOR VISUAL ARTS & DESIGN | NYC GEOG DIST #12 - BRONX |
| JUAN MOREL CAMPOS SECONDARY SCHOOL | NYC GEOG DIST #14 - BROOKLYN |
| PROGRESS HS-PROFESSIONAL CAREERS | NYC GEOG DIST #14 - BROOKLYN |
| SCHOOL FOR LEGAL STUDIES | NYC GEOG DIST #14 - BROOKLYN |
| AUTOMOTIVE HIGH SCHOOL | NYC GEOG DIST #14 - BROOKLYN |
| WEST BROOKLYN COMMUNITY HIGH SCHOOL | NYC GEOG DIST #15 - BROOKLYN |
| BOYS AND GIRLS HIGH SCHOOL | NYC GEOG DIST #16 - BROOKLYN |
| BROOKLYN BRIDGE ACADEMY | NYC GEOG DIST #18 - BROOKLYN |
| HIGH SCHOOL FOR CIVIL RIGHTS | NYC GEOG DIST #19 - BROOKLYN |
| MULTICULTURAL HIGH SCHOOL | NYC GEOG DIST #19 - BROOKLYN |
| ACADEMY OF INNOVATIVE TECHNOLOGY | NYC GEOG DIST #19 - BROOKLYN |
| CYPRESS HILLS COLLEGIATE PREP SCHOOL | NYC GEOG DIST #19 - BROOKLYN |
| FRANKLIN D ROOSEVELT HIGH SCHOOL | NYC GEOG DIST #20 - BROOKLYN |
| SHEEPSHEAD BAY HIGH SCHOOL | NYC GEOG DIST #22 - BROOKLYN |
| ASPIRATIONS DIPLOMA PLUS HIGH SCHOOL | NYC GEOG DIST #23 - BROOKLYN |

| | |
|------------------------------------|-----------------------------------|
| BUSHWICK COMM HIGH SCHOOL | NYC GEOG DIST #32 - BROOKLYN |
| BUSHWICK SCHOOL FOR SOCIAL JUSTICE | NYC GEOG DIST #32 - BROOKLYN |
| ACADEMY OF URBAN PLANNING | NYC GEOG DIST #32 - BROOKLYN |
| GROVER CLEVELAND HIGH SCHOOL | NYC GEOG DIST #24 - QUEENS |
| VOYAGES PREPARATORY | NYC GEOG DIST #24 - QUEENS |
| FLUSHING HIGH SCHOOL | NYC GEOG DIST #25 - QUEENS |
| QUEENS ACADEMY HIGH SCHOOL | NYC GEOG DIST #25 - QUEENS |
| MARTIN VAN BUREN HIGH SCHOOL | NYC GEOG DIST #26 - QUEENS |
| FREDERICK DOUGLASS ACAD VI HS | NYC GEOG DIST #27 - QUEENS |
| AUGUST MARTIN HIGH SCHOOL | NYC GEOG DIST #27 - QUEENS |
| BEACH CHANNEL HIGH SCHOOL | NYC GEOG DIST #27 - QUEENS |
| RICHMOND HILL HIGH SCHOOL | NYC GEOG DIST #27 - QUEENS |
| JOHN ADAMS HIGH SCHOOL | NYC GEOG DIST #27 - QUEENS |
| QUEENS SATELLITE HIGH SCHOOL | NYC GEOG DIST #28 - QUEENS |
| JAMAICA HIGH SCHOOL | NYC GEOG DIST #28 - QUEENS |
| LONG ISLAND CITY HIGH SCHOOL | NYC GEOG DIST #30 - QUEENS |
| RALPH R MCKEE CAREER-TECH HIGH SCH | NYC GEOG DIST #31 – STATEN ISLAND |

Addendum C

PAYMENT SCHEDULE

Payments of grant funds shall be made based on the following schedule:

1. Payment 1: 25% of total, annual project budget. For the first year, upon contract execution and approval. For years 2 – 6, 25% of total, annual project budget will be paid on September 25th each year, provided the renewal application is approved.
2. Payment 2: 25% of total, annual project budget following HESC approval of the Annual Site Report and Mid-Year Expenditure Report, due March 31st.
3. Payment 3: 25% of total project budget following HESC's approval of the renewal application, due June 1st.
4. Final Payment: 25 % or the remaining balance of the approved project budget based on final, actual expenditures upon HESC's approval of the Final Expenditure Report due October 1st.

HESC shall promptly initiate the payment process upon approval of the required Reports, and shall monitor the payment process to ensure payment is received as soon as practicable. Payment may be delayed due to factors beyond HESC's control. HESC shall inform recipients of any delay.

Addendum D

CHARITIES REGISTRATION INFORMATION

Article 7-a of the Executive Law requires, with certain exemptions¹, that charitable organizations must register with the Office of the Attorney General (OAG). In addition, the Estates, Powers and Trusts Law (EPTL) § 8-1.4(s) requires that a charitable organization "shall not be qualified to make application for funds or grants or to receive such funds from any department or agency of the state without certifying compliance with" all applicable registration and filing requirements.

Accordingly, organizations must provide charities registration information for the applicable charitable organization.

Organizations must submit one of the following:

1. The organization's charitable registration number and written documentation from OAG that the charitable organization is currently up-to-date with its Charities Registration; or
2. A statement from the charitable organization that the organization is exempt pursuant to one of the categories indicated on OAG's Request for Registration Exemption (Schedule E). The statement must identify the specific category under which the charitable organization is exempt.

To obtain written documentation of your organization's charities registration status, or if you have questions regarding the statutory requirements for registration, contact:

Office of the Attorney General
Bureau of Charities Registration
120 Broadway
New York, NY 10271-0332
(212) 416-8401

Email: charities.bureau@ag.ny.gov

Web address: <http://www.charitiesnys.com/home.jsp>

¹Section 172-a of the Executive Law and Section 8-1.4 of the EPTL enumerate certain entities which are exempt from the registration requirements. These entities are listed on OAG's Request for Registration Exemption (Schedule E).

Addendum E

PREQUALIFICATION REQUIREMENT

Pursuant to the New York State Division of Budget Bulletin H-1032, dated June 7, 2013, New York State has instituted key reform initiatives to the grant contract process which require not-for-profits to register in the Grants Gateway and complete the Vendor Prequalification process in order for proposals to be evaluated. Information on these initiatives can be found on the [Grants Reform Website](#).

Proposals received from not-for-profit applicants that have not Registered and are not Prequalified in the Grants Gateway on the proposal due date of 5:00 PM on 11/19/14 cannot be evaluated. Such proposals will be disqualified from further consideration.

Below is a summary of the steps that must be completed to meet registration and prequalification requirements. The [Vendor Prequalification Manual](#) on the Grants Reform Website details the requirements and an [online tutorial](#) are available to walk users through the process.

1) Register for the Grants Gateway.

- On the Grants Reform Website, download a copy of the [Registration Form for Administrator](#). A signed, notarized original form must be sent to the Division of Budget at the address provided in the instructions. You will be provided with a Username and Password allowing you to access the Grants Gateway.

If you have previously registered and do not know your Username please email grantsreform@budget.ny.gov . If you do not know your Password please click the [Forgot Password](#) link from the main log in page and follow the prompts.

2) Complete your Prequalification Application.

- Log in to the [Grants Gateway](#). **If this is your first time logging in**, you will be prompted to change your password at the bottom of your Profile page. Enter a new password and click SAVE.
- Click the *Organization(s)* link at the top of the page and complete the required fields including selecting the State agency you have the most grants with. This page should be completed in its entirety before you SAVE. A *Document Vault* link will become available near the top of the page. Click this link to access the main Document Vault page.

- Answer the questions in the *Required Forms* and upload *Required Documents*. This constitutes your Prequalification Application. Optional Documents are not required unless specified in this Request for Proposal.
- Specific questions about the prequalification process should be referred to your agency representative or to the Grants Reform Team at grantsreform@budget.ny.gov.

3) Submit Your Prequalification Application

- After completing your Prequalification Application, click the *Submit Document Vault Link* located below the Required Documents section to submit your Prequalification Application for State agency review. Once submitted the status of the Document Vault will change to *In Review*.
- If your Prequalification reviewer has questions or requests changes you will receive email notification from the Gateway system.
- Once your Prequalification Application has been approved, you will receive a Gateway notification that you are now prequalified to do business with New York State.

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