



# Request for Proposals

Birth-to-Five Services  
New York City Department of Education (DOE)  
Division of Early Childhood Education (DECE)

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## Request for Proposals (RFP) Basic Information

<b>RFP Release Date</b>	03/05/2019	
<b>Proposal Due Date</b>	06/05/2019 at 2:00PM	
<b>Pre-Proposal Conferences</b>	<b>Brooklyn Conference</b>	<b>Date:</b> TBD <b>Time:</b> TBD <b>Place:</b> TBD
	<b>Bronx Conference</b>	<b>Date:</b> TBD <b>Time:</b> TBD <b>Place:</b> TBD
	<b>Manhattan Conference</b>	<b>Date:</b> TBD <b>Time:</b> TBD <b>Place:</b> TBD
	<b>Queens Conference</b>	<b>Date:</b> TBD <b>Time:</b> TBD <b>Place:</b> TBD
	<b>Staten Island Conference</b>	<b>Date:</b> TBD <b>Time:</b> TBD <b>Place:</b> TBD
<b>Anticipated Contract Term</b>	July 1, 2020 - June 30, 2025, with up to three one-year extensions	
<b>DOE Contact Email</b>	<a href="mailto:PreKRFP@schools.nyc.gov">PreKRFP@schools.nyc.gov</a>	
<b>Questions Regarding this RFP</b>	<ul style="list-style-type: none"> <li>• Questions regarding this RFP must be transmitted in writing to the DOE Contact email, <a href="mailto:PreKRFP@schools.nyc.gov">PreKRFP@schools.nyc.gov</a>.</li> <li>• Questions received prior to the Pre-Proposal Conference will be answered at the conference.</li> <li>• Substantive information/responses to questions addressed at the conference will be released in an addendum to the RFP to all organizations that are prequalified to propose to this RFP through the Health and Human Services (HHS) Accelerator system, unless it is the opinion of the DOE that the question is of a proprietary nature.</li> <li>• The DOE cannot guarantee a timeline for response to written questions regarding this RFP.</li> </ul>	

<p><b>Proposal Submission Overview</b></p>	<ul style="list-style-type: none"> <li>• <b>A separate and complete proposal, including all required documents, must be submitted for <u>EACH PROPOSED SITE LOCATION</u>.</b></li> <li>• Proposals must be submitted through <a href="#">HHS Accelerator</a>.</li> <li>• Detailed instructions about how to complete a proposal in HHS Accelerator can be accessed in the <a href="#">Provider Guide to Submitting Proposals in HHS Accelerator</a>.</li> <li>• Additional resources for using the HHS Accelerator system, such as user guides, videos, and training dates are listed on the HHS Accelerator website at <a href="http://www.nyc.gov/hhsaccelerator">www.nyc.gov/hhsaccelerator</a>.</li> <li>• For more information about submitting a proposal through the HHS Accelerator system, please contact <a href="mailto:help@mocs.nyc.gov">help@mocs.nyc.gov</a>.</li> </ul>
<p><b>Required Proposal Documents</b>  <i>Please see Section 4 - "Proposal Instructions" for more information about submitting required documents.</i></p>	<ol style="list-style-type: none"> <li>1. Structured Proposal Form (SPF)</li> <li>2. Budget Form</li> <li>3. Doing Business Data (DBD) Form</li> </ol>
<p><b>Optional Proposal Documents</b>  <i>Documents listed to the right are <b>only required for certain proposers</b>. See Section 4F - "Detailed Instructions on Completing Required and Optional Documents"</i></p>	<ol style="list-style-type: none"> <li>1. Program Quality Documentation (also see SPF Question 2)</li> <li>2. Instructional Quality Documentation (also see SPF Question 3)</li> <li>3. Safety and Supervision Documentation (also see SPF Question 4)</li> <li>4. Evidence of Site Control</li> <li>5. City Owned or Leased Facilities Questions</li> </ol>

## **Section 1 – RFP Background and Overview**

### **A. RFP Background**

#### **a. Objective**

The purpose of this request for proposals (RFP) is to identify eligible, high-quality early childhood care and education programs who are willing to collaborate with the New York City (NYC) Department of Education's (DOE) Division of Early Childhood Education (DECE) to implement elements of the birth-to-five system outlined below.

All information in this RFP is subject to revision and to approvals by and funding appropriation from City, State, and Federal entities including the New York State Office of Children and Family Services, the New York State Education Department, the New York City Law Department, the New York City Office of Management and Budget, and the U.S. Department of Housing and Urban Development. Nothing contained in this RFP should therefore be construed as creating any rights or entitlements for prospective participants.

#### **b. Overview and Values Statements**

New York City has one of the strongest and largest early care and education systems in the country. A majority of children and their families are served by community-based programs that contract with the City to offer early care and education that reflects the strengths and meets the needs of New York's diverse neighborhoods.

Over the last decade, New York City has invested in initiatives to support and advance this system, including EarlyLearn NYC at the Administration for Children's Services (ACS) and Pre-K for All and 3-K for All at the DOE. New York City is now bringing all contracted birth-to-five early care and education services under the management of the DOE, and procuring services under new service models with the goals of increasing quality, equity, access, and sustainability. The service models described in this RFP combine what are currently DOE-contracted 3-K for All and Pre-K for All programs serving universally-eligible children with what are currently ACS-contracted EarlyLearn programs serving children whose families meet income and other eligibility requirements. There will now be one system, administered by the DOE, serving all children.

This birth-to-five system of early care and education is being redesigned to uphold a set of core values. In order to produce positive outcomes for children, families, and programs, the DOE seeks to:

- Provide children from birth to five years old with access to a high-quality early childhood program that is held accountable and supported to meet high expectations of program quality.

- Ensure a sustainable early care and education system that accurately reflects need across the city and sets up all programs for successful enrollment.
- Value the expertise of program leaders, educators, and staff and work together to meet community needs.
- Promote socioeconomic integration in early childhood classrooms, with the goal of creating socioeconomically and racially diverse classrooms.
- Provide extended day and year services and robust family supports to the families that need them most.
- Ensure leadership and teaching teams have the knowledge and skills they need to provide quality instruction to all children, and help programs continuously improve.

The considerations further outlined in the following sections of this RFP are aligned with and designed to uphold this vision.

### c. Key Features and System Shifts

On November 26, 2018, the DOE released an RFP Preview outlining the values, service options, supports, and standards that are expected to be part of the DOE's early childhood care and education system in 2020 and beyond. The RFP Preview was designed to provide information and solicit feedback in advance of the release of this RFP. Since releasing the RFP Preview, the DOE has held round-table meetings and information sessions with hundreds of early childhood programs, as well as briefings with advisory groups, advocates, elected officials, and other key stakeholders. The DOE also solicited and processed written questions and comments over a 30-day period, and released a response on February 1, 2019. The robust commentary from the early childhood community provided invaluable expertise and raised helpful questions to inform the DOE's RFP planning and design process.

Based on input from the early childhood community and thanks to New York City's ongoing commitment to expanding access to early care and education, the DOE is pleased to announce the following updates:

- The DOE's service models seek to promote and foster greater socioeconomic integration at the classroom level, because we believe that all children benefit from socioeconomically and racially diverse and inclusive schools and classrooms. Sites awarded multiple service models will be supported and encouraged -- and, in some cases, required -- to enroll children from both service models in the same classrooms. For more information, see Section 2B(c) - "Offering Multiple Service Models at the Same Site."
- The RFP provides proposers with the flexibility to propose the service model or models that are most appropriate for the community they serve and that reflect their organization's strengths. This flexibility, in addition to the use of community information in awards, will ensure that the early childhood system values the expertise of service programs and is best able to meet the varied needs of New

York City communities. For more information, see Section 1B(b) - “Options Within This RFP.”

- New York City is continuing to invest in early childhood services to ensure programs have the resources they need to offer high-quality services to children and families. For more information, see Section 3 - “Financing and Budgets.”

Throughout New York City, there are varying levels of need for school day and year and extended day and year services, as well as varying levels of need for infant, toddler, 3-year-old, and 4-year-old services. Through this RFP, the Head Start/Early Head Start RFP, and the Family Child Care Networks RFP, the DOE aims to award slots that align to the needs of each community.

The DOE’s goal is to provide extended day and year services to the families that need them most. The total number of extended day and year slots, and the number of infant and toddler slots awarded through this RFP, the Head Start/Early Head Start RFP, and the Family Child Care Networks RFP combined is based on available Head Start and Child Care Block Grant (CCBG) funding.

Through this RFP, programs may propose school day and year services for 3-year-olds at sites located in any of the 32 community school districts within New York City. The Mayor and Chancellor have announced that it is the City’s goal to provide 3-K for All throughout the City; however, currently funding is only included in the City budget for 14 community school districts at this time (referred to as “Budgeted 3-K for All Districts” - community school districts 4, 5, 6, 7, 8, 9, 12, 16, 19, 23, 27, 29, 31, and 32).

Funding may not become available for school day and year 3-K slots in districts other than the budgeted 3-K for All districts before the time of award through this RFP. The DOE welcomes proposals for school day and year 3-K slots in all districts in case funding for additional districts should become available. Proposers should be aware that the DOE may choose not to award proposed 3-K services in these districts. Additional details and guidance about eligibility can be found in Section 1B(d) - “Continuity of Services” and 1C - “RFP Eligibility Requirements.”

Please note that because extended day and year slots for 3-year-olds are funded by a variety of sources, the DOE anticipates making awards for these slots citywide, pending approval from the New York State Office of Children and Family Services (OCFS).

## **B. Overview of Solicited Services**

### **a. RFP Service Models**

To fulfill its vision for a birth-to-five system of early care and education, the DOE seeks

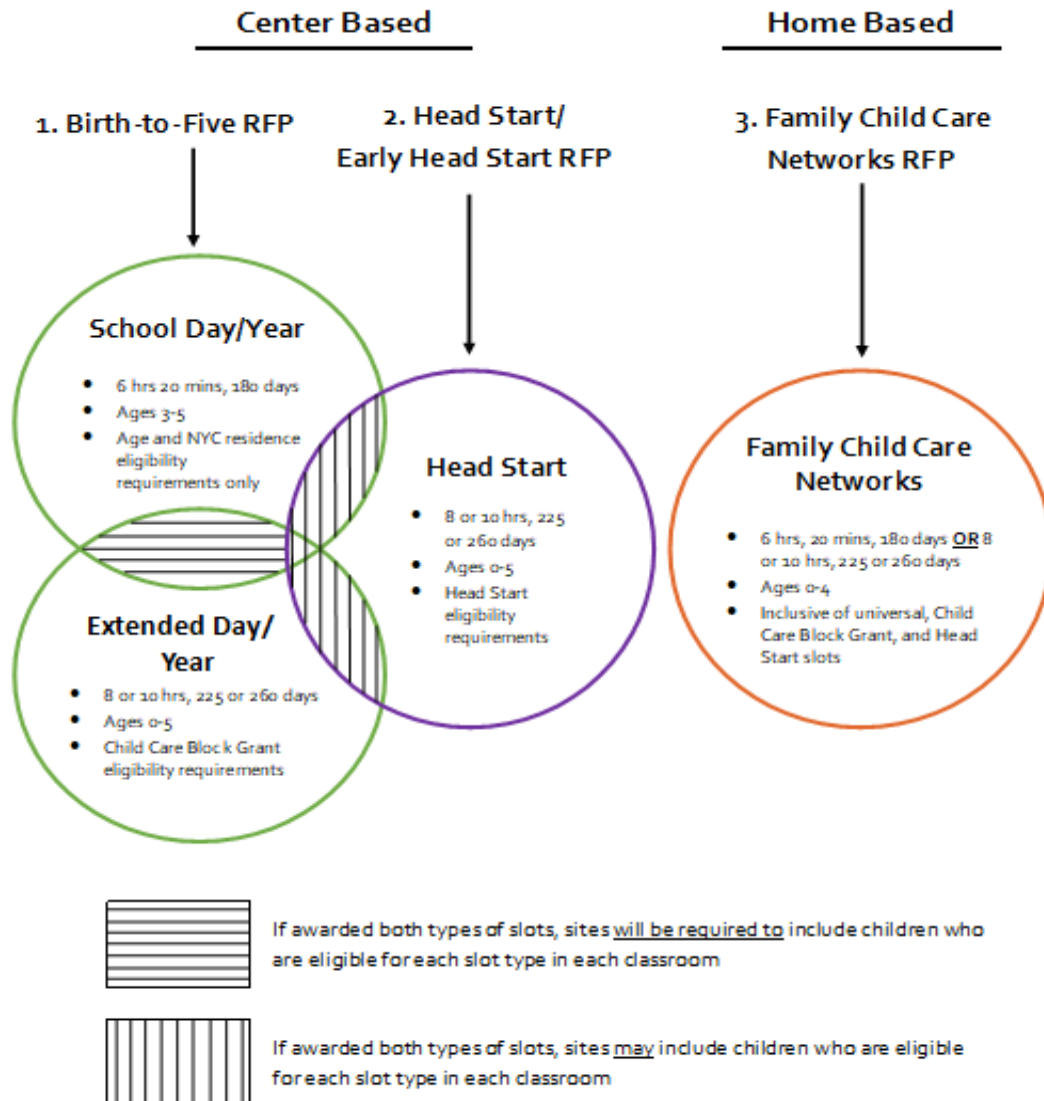


vendors to serve children from birth to five years old beginning in July 2020. These services are being procured through three RFPs, shown in the chart below.

**(1) Birth-to-Five (School Day and Year and Extended Day and Year) (this RFP)**

**(2) Head Start/Early Head Start (separate RFP)**

**(3) Family Child Care Networks (separate RFP, to be released later in 2019)**



Through the three RFPs listed above, programs may propose to continue to offer services that are the same or similar to services offered at their program now. Or, programs may wish to change or expand the range of services offered.

The table below outlines which service(s) proposers may wish to consider if they are interested in continuing to provide services similar to those they currently offer. This

table is intended to provide clarity on the different service models available through each RFP and how they align to existing service models, but **all programs are also welcome to propose services that are different from those that they currently offer**. New providers may propose to offer any of the below service models. No provider is limited to the RFPs or services referenced in the table below, as this table is only intended to be used as a helpful reference point.

If you are...	RFP(s) and Model(s) Most Aligned to Current Services:
Current EarlyLearn Program	Birth-to-Five RFP (Extended Day and Year Services) and/or Head Start/Early Head Start RFP
Current DOE Pre-K or 3-K for All Program	Birth-to-Five RFP (School Day and Year Services)
Current FCC Network Program	FCC Network RFP (more information forthcoming)

## b. Options Within This RFP

Within this Birth-to-Five RFP, proposers may choose among several options related to the age range of children served, the length of the service day, and the number of operational days within each year. Providers will indicate their proposed services as well as number of slots for each service in Tab 1- "Service Model Proposal" of their *Attachment B - Budget Form*. More information on completing this section in the Budget Form will be provided in Section 3 - "Financing and Budgets."

The two types of service models available through this RFP are outlined below:

- **School Day and Year Services:** Available to all pre-K aged children and 3-K aged children.
- **Extended Day and Year Services:** Available to children ages birth to five whose families meet income and other eligibility requirements based on Federal and State Child Care Block Grant (CCBG) guidelines (see Section 2 - "Service Expectations and Requirements" for more information on CCBG guidelines).

Providers may propose to offer: (1) school day and year services only, (2) extended day and year services only, or (3) both school day and year services AND extended day and year services. Proposers are encouraged to propose both school day and year slots as well as extended day and year slots to allow children from all economic backgrounds to be served in the same classroom. Providers may also propose Head Start services, but

must propose through the separate Head Start/Early Head Start RFP in order to offer Head Start services through a contract with the DOE.

The following table summarizes the service models that providers may propose through this RFP. Please note that providers may only propose one of the four extended day and year options listed below at a site, operating either eight (8) or ten (10) hours per day, and either 225 or 260 days per year. Providers may not propose to offer two or more of the extended day and year options at the same site. Additional details and requirements for all service models are in Section 2 - “Service Expectations and Requirements” of this document.

<b>Service Models</b>	<b>Possible Hours per Day</b>	<b>Possible Days</b>	<b>Ages Served</b>	<b>Other Requirements</b>
<b>School Day and Year</b>	6 hrs 20 min	180 days	3-4	
<b>Extended Day and Year</b>	8 hrs	225 days	All ages, 0-5	CCBG eligibility requirements for children in these slots (see Section 2B(b)ii - “Child Eligibility” for more information)
	10 hrs	225 days	All ages, 0-5	CCBG eligibility requirements for children in these slots
	8 hrs	260 days	All ages, 0-5	CCBG eligibility requirements for children in these slots
	10 hrs	260 days	All ages, 0-5	CCBG eligibility requirements for children in these slots

### c. Age Definitions

Please note the age definitions below in relation to solicited services:

Age Group	Definition
Infants	Children between the age of 6 weeks and 12 months
Toddlers*	Children over the age of 12 months who are not yet age-eligible to participate in 3-K for All
3-K for All	Children who turn 3 by December 31 of the school year
Pre-K for All	Children who turn 4 by December 31 of the school year

**\*Note about toddlers:** To align with Article 47 of the New York City Health Code adult/child ratio requirements and to provide the most developmentally appropriate groupings, the DOE suggests the following classroom breakdowns within this age group:

- Toddlers between the ages of 12 months and 24 months should be grouped together (younger toddlers)
- Toddlers over the age of 24 months should be grouped together (older toddlers)

Providers that wish to offer the entire age range of toddlers must have both an Infant/Toddler permit and Pre-School permit under Article 47 to offer these services. Providers with only pre-school permits may propose to serve only older toddlers.

### d. Continuity of Services

The DOE aims to maximize opportunities for children to be served at the same site for more than one year. In deciding which services to propose, providers are asked to consider the following:

- Providers proposing to offer services to infants should strongly consider proposing to serve toddlers, and propose at least the same number of slots for toddlers as infants.
- Providers proposing to offer 3-K for All should strongly consider proposing to offer both 3-K for All and Pre-K for All, and propose at least the same number of slots for Pre-K for All as 3-K for All.
- Programs with the capacity and expertise should strongly consider proposing to offer services for a range of ages, from 6 weeks to five years old, at the same site, with enough slots in each age group to allow for continuity of services.
- Programs are **not encouraged to propose for mixed-age classrooms** for 3-K for All and Pre-K for All. Programs are allowed to propose for mixed-age classrooms for toddlers (younger toddlers and older toddlers, as described above) only if the proposed age ranges are permissible according to their

relevant permit(s). Programs who propose for mixed-age classrooms must provide clear, compelling evidence of the program's demonstrated effectiveness with and ongoing need for mixed-age classroom in their response to Question 1 on the Structured Proposal Form (SPF).

- **Programs proposing only one classroom or services in a Group Family Day Care (GFDC) setting** should only propose to serve one age group within that room. Single-room programs are encouraged to consider serving older age groups (4-year-olds instead of 3-year-olds, for example) in order to minimize transitions for children and families.

Proposers must indicate the age groups they propose to serve in Tab 1 - "Service Model Proposal" of their *Attachment B - Budget Form*. More information on completing this section in the Budget Form is provided in Section 4F(b)iii - "Tab 1: Service Model Proposal."

Please note that for proposals with more than one classroom, the DOE may prioritize providers who propose to serve more than one contiguous age group when determining which proposers will be recommended for award.

**Additionally, the DOE may award different combinations of pre-K and 3-K slots than a program proposes, or different combinations of infant and toddler slots. For example, if a program proposes to serve four pre-K classes and no 3-K classes, the DOE may award two pre-K classes and two 3-K classes. Or, if a program proposes to serve two 3-K classes, the DOE may award two pre-K classes instead. However, the DOE will not award infant and toddler slots if a program has not proposed to serve either of those age groups, and will not award 3-K nor pre-K slots if a program has not proposed to serve either of those age groups.**

## C. RFP Eligibility Requirements

### a. Who May Propose?

The following providers are eligible to submit a proposal through this RFP:

- Current full-day DOE-contracted Pre-K for All and 3-K for All providers who wish to continue services in the 2020-21 school year and beyond, at existing sites.
  - Pre-K for All and 3-K for All providers with full-day contracts set to expire in June 2020 will not be extended, and receiving an award through this RFP or the Head Start/Early Head Start RFP will be the only way for providers to continue City-contracted early care and education services into the 2020-21 school year.
  - Pre-K for All and 3-K for All providers with full-day contracts expiring in June 2021 or later are strongly encouraged to submit a proposal to this RFP or the Head Start/Early Head Start RFP if they wish to continue

services beyond the end date in their current contract. Current contract end dates will be honored; however, the DOE does not intend to renew these contracts. If providers wish to continue their current services only through the end of their current contract, they do not need to propose to this RFP.

- Current half-day Pre-K for All providers who wish only to continue their DOE-contracted half-day services should not propose to this or any current RFP. The DOE does not have plans to issue a new half-day RFP or add new half-day services at this time. However, the DOE may choose to extend half-day contracts with providers currently offering half-day services, should these programs remain in good standing. Current half-day providers who wish to convert their slots to full-day within the proposed service models should propose to this RFP.
- Current EarlyLearn providers wishing to continue services into the 2020-21 school year and beyond, at existing sites.
  - Current EarlyLearn contracts will be extended only through June 2020.
  - EarlyLearn providers wishing to continue services beyond June 2020 should propose through this RFP or the Head Start/Early Head Start RFP. Receiving an award through this RFP or the Head Start/Early Head Start RFP will be the only way to continue City-contracted services into the 2020-21 school year.
  - Current EarlyLearn providers may propose to provide school day and year services and/or extended day and year services.
- Current Pre-K for All, 3-K for All or EarlyLearn providers wishing to open new sites or add full-day services at a current half-day site.
- Direct Head Start grantees (providers operating under a contract directly with the Federal Office of Head Start to serve 3- and 4-year-olds), or providers who have applied to be a direct Head Start grantee, if they wish to offer 3-K for All, Pre-K for All, or extended day and year services to additional children.
  - This RFP is not intended to fund services for children already served through an organization's direct Head Start grant.
  - The DOE plans to release a separate RFP for Direct Head Start grantees to propose funding to supplement the grants they receive from the Federal Office of Head Start.
  - Providers who wish to offer additional Head Start slots should submit a proposal to the separate Head Start/Early Head Start RFP.
- 4410 center-based providers wishing to provide general education programs, including the general education slots in Preschool Special Classes in an Integrated Setting (SCIS).
  - This RFP is not intended to fund full-day services to preschool children with special needs in special classes that are already receiving 4410 funding.

- All early childhood providers without a current ACS or DOE contract, who would like to partner with the DOE to provide any of the services listed above beginning in the 2020-21 school year.

For all of the eligible providers, the below table summarizes the funding available for each service model that providers may choose to propose through this RFP. Providers may propose any of the service types listed in this table, regardless of community school district of the proposed site location. However, the DOE may choose not to award or to award services other than those proposed in cases where funding is not available at the time of award. Additionally, the DOE may award different combinations of pre-K and 3-K slots than a program proposes, or different combinations of infant and toddler slots.

<b>Service Models</b>	<b>Budgeted 3-K for All Districts</b> (Community School Districts 4, 5, 6, 7, 8, 9, 12, 16, 19, 23, 27, 29, 31, and 32)	<b>All Other Community School Districts</b> (Community School Districts 1, 2, 3, 10, 11, 13, 14, 15, 17, 18, 20, 21, 22, 24, 25, 26, 28, 30)
Pre-K for All, school day and year	Funding included in City budget	Funding included in City budget
3-K for All, school day and year	Funding included in City budget	Funding may not be available; DOE may choose not to award or to award other service types
Pre-K for All, extended day and year  3-K for All, extended day and year  Infants and Toddlers, extended day and year	Funding included in City budget for a limited number of seats. Awards will be made pending approval from OCFS.	Funding included in City budget for a limited number of seats. Awards will be made pending approval from OCFS.

The DOE strives to give all businesses, including Minority and Women-Owned Business Enterprises (MWBs), an equal opportunity to compete for DOE

procurements. Accordingly, the DOE encourages the participation of MWBEs in this engagement. To learn more information about how to become certified as an MWBE by New York City, visit the [New York City Small Business Services website](#). To learn more information about how to become certified as an MWBE by New York State, visit the [New York State Contract System website](#).

## b. Licenses and Permits

The following table summarizes the appropriate operating permits/licenses that programs must possess to offer the service models described in this RFP. Please note that programs do not need to be permitted or licensed at the time of proposal, but **must be permitted/licensed by:**

- **April 1, 2020 for programs beginning services in July 2020; or**
- **June 1, 2020 for programs beginning services in September 2020.**

See 4F(d) - "Evidence of Site Control for Non-Permitted Sites, City Owned or Leased Facilities Questions, and General Permitting Considerations for All Providers" for more information on licensing and facilities requirements.

Program Type	Licensing Agency	License Requirement	Service Models that may be offered with this Permit
Child Care Centers (Article 47 programs)	NYC DOHMH	Article 47 Child Care Services Permit: <ul style="list-style-type: none"> <li>• Infant/Toddler permit (if applicable)</li> <li>• Pre-School permit (for ages 2-5)</li> </ul>	<ul style="list-style-type: none"> <li>• <b>School Day and Year Services</b> for 3- and 4-year-olds</li> <li>• <b>Extended Day and Year Services</b> for infants, toddlers, 3- and 4-year-olds</li> </ul> <p><i>Providers that wish to offer the entire age range of toddlers, as defined by Section 1B(c) - "Age Definitions," must have both an Infant/Toddler permit and preschool permit to offer these services.</i></p>
School-Based Providers (Article 43 programs)	NYC DOHMH	Article 43 School-Based Filing Certificate for Children Ages 3 through 5	<ul style="list-style-type: none"> <li>• <b>School Day and Year Services</b> for 3- and 4-year-olds</li> </ul>
Group Family	NYS	Group Family Day	<ul style="list-style-type: none"> <li>• <b>School Day and Year</b></li> </ul>



Day Cares (GFDCs)	Office of Children and Family Services (OCFS)	Care License	<b>Services</b> for 3- and 4-year-olds <ul style="list-style-type: none"> <li>• <b>Extended Day and Year Services</b> for 3- and 4-year-olds</li> </ul>
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**Charter Schools:** Charter schools are not eligible to submit a proposal to the Birth-to-Five or Head Start/Early Head Start RFPs. However, a RFP was made available in 2019 for charter schools who wish to offer Pre-K for All services starting in the 2019-20 school year. For this opportunity, proposals were due February 25, 2019 at 2:00 P.M. EST. DOE will continue to share information about upcoming charter procurement opportunities.

**Family Child Care Networks:** Organizations with the capacity to support high-quality family child care networks will be eligible to propose through the Family Child Care Networks RFP, planned for release later in 2019. Organizations proposing through the Family Child Care Networks RFP will be able to propose that their affiliated Family Child Care homes provide school day and year services for 3-year-olds and extended day and year services for infants, toddlers, and 3-year-olds. The Family Child Care Networks RFP will include opportunities to propose Head Start and Early Head Start services in Family Child Care homes.

### c. Location and Facilities

To be eligible to submit a proposal to this RFP to offer early care and education services outlined above, proposers must identify a **proposed program site that is physically located in New York City**.

Proposers to this RFP may **submit a proposal with a proposed privately owned or leased facility** (including New York City Housing Authority (NYCHA) based facilities). It is essential that the identified address is correct, complete, and consistent throughout the proposal. The zip code of the proposed site must correctly reflect the site's New York City location and match the zip code of the selected competition pool (see Section 1C(d) - "Geographic Considerations: Need for Services and Competition Pools" for competition pool details).

Alternatively, a proposer may **submit a proposal to occupy a facility that is owned or leased by the City**. See *Attachment E - City Owned or Leased Facilities List* for a complete list of available City owned or leased sites. Each City owned or leased facility has its own competition pool within this RFP, and all are confirmed to be located within New York City. All programs currently providing services in a City owned or leased facility and wishing to continue providing services in that facility must submit a proposal to occupy that facility.

## d. Geographic Considerations: Need for Services and Competition Pools

### i. Overall Need for Services

Throughout New York City, there are varying levels of need for school day and year and extended day and year services, as well as varying levels of need for infant, toddler, 3-year-old, and 4-year-old services. Through this RFP, the Head Start/Early Head Start RFP, and the Family Child Care Networks RFP, the DOE aims to award slots that align to the needs of each community.

The DOE's goal is to provide extended day and year services to the families that need them most. The total number of extended day and year slots, and the number of infant and toddler slots awarded through this RFP, the Head Start/Early Head Start RFP, and the Family Child Care Networks RFP combined is based on available Head Start and CCBG funding.

Through this RFP, programs may propose school day and year services for 3-year-olds at sites located in any of the 32 community school districts within New York City. The Mayor and Chancellor have announced that it is the City's goal to provide 3-K for All throughout the City; however, funding is only included in the City budget for 14 community school districts at this time (referred to as "Budgeted 3-K for All Districts" - community school districts 4, 5, 6, 7, 8, 9, 12, 16, 19, 23, 27, 29, 31, and 32).

Funding may not become available for school day and year 3-K slots in districts other than the Budgeted 3-K for All Districts before the time of award through this RFP. The DOE welcomes proposals for school day and year 3-K slots in all districts in case funding for additional districts should become available. Proposers should be aware that the DOE may choose not to award proposed 3-K services in these districts.

### ii. Determining Need in a Geographic Area

Because **the DOE considers service need by geographic area when determining which proposers will be recommended for award**, providers are encouraged to consider their community's need for services when determining which services and how many slots they are proposing. In order to help proposers better understand the current need for specific services in their proposed site, the DOE has created the following two resources:

1. The [Map of Estimated Service Need](#); and
2. *Attachment G - Estimated Service Need by Zip Code and School District*

Using these resources, proposers can identify the zip code and community school district of their proposed sites and see:

- Estimates of service need across 3-year-old, 4-year-old, and extended day and year slots by community school district (inclusive of both 3-year-old and 4-year-old slots); and
- Rankings of ‘some need,’ ‘more need,’ and ‘most need,’ indicating the quantity of estimated need for extended day and year services in each zip code.
  - These indicators are intended to reflect the estimated quantity of slots needed and are not meant to indicate relative poverty levels in each community.
  - For example, areas with large populations may be labeled as ‘most need’ because a large number of children overall may qualify for extended day and year services, even if the area has a range of income levels.
- An additional indication is also given to zip codes estimated to have a large share of need for Head Start services. This is not meant to indicate that Head Start services are only needed in these zip codes, but rather to demonstrate relative need of those qualifying for Head Start specifically.
  - This flag is based on both quantity of slots needed and percentage of those slots that could be filled by those qualifying for Head Start.
  - Head Start indicators are intended to provide proposers with complete information about overall community need. Both Birth-to-Five services and Head Start/Early Head Start services may be awarded in areas labeled with the Head Start indicator.
  - Proposers should review the Head Start/Early Head Start RFP for more information on Head Start services.

This information is meant to support programs as they develop their proposal; the specific number of slots ultimately awarded in each community school district may differ. To further assist proposers in understanding how the need for service types varies across the City, the DOE has also included *Attachment G - Estimated Service Need by Zip Code and School District*.

**Providers in all zip codes are eligible to submit a proposal to this RFP** and to propose any service model or models outlined above. However, the DOE considers service need by geographic area when determining which proposers will be recommended for award and for how many slots a program should be awarded. The DOE welcomes proposals for school day and year 3-K slots in all districts, however proposers should be aware that the DOE may choose not to award proposed 3-K services in districts other than the Budgeted 3-K for All Districts outlined in Section 1C(a) above. Additionally, the DOE may award different combinations of pre-K and 3-K slots, or different combinations of infant and toddler slots, than a program proposes.

The DOE strongly encourages providers to **use both the [Map of Estimated Service Need](#) and *Attachment G - Estimated Service Need by Zip Code and School***

**District to inform the proposed service types and slot numbers** for their site. These service need estimates were created using publicly available data from the American Community Survey as well as DOE administrative data on historical early childhood enrollment. This information is intended to provide guidance for providers in considering which services to offer; however, in making awards, the DOE relies on the most up-to-date data regarding geographically-based service need **at the time of award recommendations**. Please note that the slot ranges outlined in these tools **do not** represent the exact number of slots the DOE will ultimately award. Awards will be based on the most up-to-date community need projections and are all contingent on the availability of funding.

### iii. Competition Pools

The entire pool of proposers to this RFP will be subdivided into smaller competition pools based on the area of New York City in which the proposed site is located. Competition pools are defined by zip code, or, for City owned or leased facilities, by the address of each facility.

**For privately owned or leased facilities, competition pools for this RFP are defined by zip codes, which are further outlined in *Attachment F - Competition Pools List*.** It is essential that the address of the proposed site submitted in the “Proposal Details” section of HHS Accelerator is correct and complete, and that the zip code of the proposed site matches the zip code of the selected competition pool (please see Section 1C(d) - “Geographic Considerations: Need for Services and Competition Pools” for more information). **Proposers are strongly encouraged to verify the zip code of their proposed site by visiting the [Geographic Online Address Translator \(GOAT\)](#) website and typing in the site address in the space provided (find the zip code at the bottom of the left-hand column of the first information table).** **Providing an incorrect or inconsistent address, or selecting the incorrect zip code competition pool may make a proposal ineligible for award**, as the proposal may be evaluated in the incorrect competition pool.

Each **City owned or leased facility** that is available through this RFP is considered a **separate competition pool**, distinct from the zip code competition pool associated with that facility. To propose to occupy a City owned or leased facility, proposers must submit a proposal to the specific competition pool assigned to that building. Competition pools for City owned or leased facilities are listed in *Attachment F - Competition Pools List*. All proposals submitted for a City owned or leased building will be evaluated within that building’s corresponding competition pool. For example, a proposal for Building B501, located in the Bronx, would be submitted to competition pool ‘Bronx - COL Building B501.’ Please note that **competition for City owned or leased spaces is expected to be significant**, as only one proposal per corresponding competition pool can be awarded.

## Section 2 – Service Expectations and Requirements

### **A. General Expectations and Requirements for All Service Models**

The DOE has expectations and requirements that are applicable across all service models to ensure consistent delivery of high-quality early childhood care and education services. Key expectations and requirements, along with required DOE systems and supports, are outlined below.

#### **a. Quality Expectations**

All providers and service models will be held to a consistent set of quality expectations as set forth in the [DECE Early Childhood Framework for Quality \(EFQ\)](#). The EFQ describes the DOE's vision for high-quality birth-to-five programs and applies to all classroom time, including the school day and year and extended day and year. This framework will replace the DECE Program Quality Standards (PQS) effective September 2019. The EFQ is comprised of six research-based "Elements" of quality, aligned with the DOE's [Framework for Great Schools](#) (FFGS), outlined below. Providers are encouraged to review the full [EFQ](#), which outlines sample leadership and teaching team practices for each Element listed below. The DOE reserves the right to change the content of the EFQ as it deems necessary.

#### **DECE Early Childhood Framework for Quality (EFQ)**

##### **Element 1: High-quality programs respect and value differences.**

- Program leadership teams and teaching teams build trust by creating a community in which all children, families, and staff feel welcome and included, embracing diversity in many forms – including, but not limited to: race, ethnicity, socioeconomic status, home language, country of origin, immigration status, ability, special needs, religion, gender, gender expression, sexual orientation, housing status, and cultural background and experience.  
{FFGS: trust}

##### **Element 2: High-quality programs create safe and positive environments.**

- Program leadership teams and teaching teams create healthy, nurturing, and predictable environments for all children, families, and staff.  
{FFGS: supportive environment}

##### **Element 3: High-quality programs advance play-based learning and responsive instruction.**

- Program leadership teams and teaching teams engage children in a variety of play-based and developmentally appropriate learning experiences, and ensure that instruction is based on children's individual strengths, interests, and needs.  
{FFGS: rigorous instruction}

**Element 4: High-quality programs promote families' roles as primary caregivers, teachers, and advocates.**

- Program leadership teams and teaching teams build relationships with families and communities in order to provide meaningful opportunities and resources that support children's development and the whole family's well-being.  
{FFGS: strong family-community ties}

**Element 5: High-quality programs work collaboratively towards continuous quality improvement.**

- Program leadership teams and teaching teams use data to improve program and classroom quality in partnership with families and communities.  
{FFGS: collaborative teachers}

**Element 6: High-quality programs demonstrate strategic leadership.**

- Program leadership teams and teaching teams build and use organizational culture, structure, and resources to promote and execute a shared vision for quality.  
{FFGS: effective school leadership}

**b. Foundational Programmatic Expectations**

Aligned with the EFQ, all programs will be required to fulfill foundational programmatic expectations including:

- Implement a consistent yet flexible schedule that is appropriate to the age-level and individual needs of children, including a variety of both child- and adult-initiated activities. *See Attachment H - Birth-to-Five Policy Appendix for sample daily schedules.*
- Collect and analyze data using valid and reliable screening and authentic assessment tools approved by the DOE, to individualize each child's learning experience and advance child outcomes as outlined in the [Head Start Early Learning Outcomes Framework \(ELOF\)](#) for infants to 3-year-olds and/or the [New York State Prekindergarten Foundation for the Common Core \(PKFCC\)](#) for 4-year-olds.\*
- Implement DOE-provided curricular resources (examples [here](#)), or an approved alternate curriculum. *More information on approved curricula and the approval process will be available at a later date.*
- Create a safe, nurturing, and predictable learning environment with the appropriate quantity of high-quality materials.
- Support children's growth and development by offering nutritious meals and snacks, providing daily gross motor play, teaching safe and healthy habits, and assisting children in meeting their toileting needs.
- Develop a foundation for children's social-emotional learning, build secure attachment between caregivers and children, and use age-appropriate strategies

to promote positive behavior, as outlined in the [DOE Statement on Positive Behavior Guidance](#) (or successor document). *Please note that children may not be expelled or suspended from programs.*

- Employ culturally responsive strategies to empower families in their role as a child's primary caregiver, teacher, and advocate.
- Use DOE guidance and best practices to support children and families with specialized needs, including children with disabilities, children with medical needs, children who are emergent multilingual learners, and children living in temporary housing.

*\*Updated New York State learning standards for 4-year-olds are expected to be released in 2019.*

### c. Regulatory Requirements

DOHMH and OCFS are the regulatory agencies governing child care in New York City, and as such, all programs are subject to and expected to comply with **all** aspects of the relevant section(s) of the New York City Health Code (for Article 43 and Article 47 programs) or NYS OCFS regulations (for Group Family Day Cares).

### d. Adherence to DOE Policy and Participation in DOE Systems and Supports

#### i. DOE Policy Expectations

All programs will be required to comply with all policies described in their contracts and in the DECE Policy Handbooks. Proposers are encouraged to review the current [3-K and Pre-K for All Policy Handbook](#) as an example of the comprehensive guidance that exists for DOE-contracted programs; however, this guidance is expected to be updated to account for the new service models that will begin in July 2020.

*Attachment J - Statement of Assurances* is a summary of key policies and requirements that apply to programs who contract with the DOE. Programs that are recommended for award through this RFP will be required to abide by the policy expectations outlined in the Statement of Assurances, as well as all other policies outlined in this RFP and any subsequent policy guidance.

To support providers in completing their proposals for this RFP, updated guidelines and requirements related to the policy topics listed below can be found in the *Attachment H - Birth-to-Five Policy Appendix*:

- Staff Qualifications
- Security Clearances
- Meals and Child and Adult Care Food Program (CACFP) Participation
- Daily Schedules

Note that some information in *Attachment H - Birth-to-Five Policy Appendix* may represent changes from current DOE policies.



## **ii. Participation in DOE Systems and Supports**

All programs will be required to participate in a range of systems and supports provided by the DOE to facilitate implementation of high-quality birth-to-five services, as detailed in the section below. Additionally, programs are expected to be responsive to all in-person, phone, and email communications from the DOE and ensure that the DOE has accurate contact information for program leadership on an ongoing basis.

### **1. Site Supports**

All programs will have access to a system of coordinated supports from DOE staff, including supports in the areas of instruction, mental health and wellness, family and community engagement, program operations, policy compliance, contracting, and enrollment. Program-specific supports will be determined based on need and availability. Programs are expected to actively engage with staff from the DOE, other agencies, and community partners to improve program and classroom quality. Representatives from the DOE and New York State Education Department (NYSED) must be allowed to visit, observe, and evaluate the services provided by DOE-contracted programs at any time.

### **2. Program Assessment**

Programs will be required to participate in quality assessments, such as CLASS (Classroom Assessment Scoring System) and ERS (Environmental Rating Scales), administered by the DOE, DOE partners, and other City and State agencies. The DOE will utilize valid and reliable program assessment tools in conjunction with other data and information to measure the extent to which programs are successful at implementing the Early Childhood Framework for Quality (EFQ) and to inform various support efforts.

### **3. Data Systems and Reporting**

Programs will be required to maintain and report accurate and timely data utilizing the appropriate data systems that the DOE has designated for eligibility, enrollment, child screening, authentic assessment, child time and attendance, staff qualifications and clearances, budgeting, and other purposes. Additionally, programs must respond to any programmatic, fiscal, progress, and other reporting requests from the DOE within the number of days requested.

To ensure the safety of children and staff, all staff members and volunteers at DOE-contracted programs who have direct contact with children, or who have



access to confidential information about staff or children, must complete required eligibility clearance procedures prior to starting work. All employees and volunteers in DOE-contracted programs must be fingerprinted by the DOE; their eligibility status must be tracked in the DOE web-based Personnel Eligibility Tracking System (PETS). For additional security clearance requirements for staff and volunteers at programs offering all service models, see *Attachment H - Birth-to-Five Policy Appendix*.

Programs must assist the DOE in obtaining Medicaid compliance documents for their children who receive related services per an Individualized Education Program (IEP). Those documents include, but are not limited to, a parental consent form and prescription(s) for the provision of service.

#### **4. Streamlined Enrollment**

Programs will be required to participate in an enrollment system run and managed by the DOE. Participation in the DOE's streamlined enrollment systems requires programs to use DOE systems to track and administer enrollment and waitlists, adhere to all deadlines, and comply with all DOE enrollment policies.

The DOE finds that streamlined enrollment is favored by families, fosters equity and access, and results in the vast majority of families receiving a top choice program, while also allowing the DOE to work with programs to maximize enrollment for all programs. The DOE expects to update the existing enrollment system to better meet the needs of programs offering the extended day and year service model by:

- Ensuring that only children who meet the eligibility requirements for extended day and year will be matched to those slots; and
- Creating simpler ways for children to enroll on a rolling basis at any point during the year.

Through the streamlined enrollment system, children are matched to programs based on slot availability, family preference, and a set of priority group criteria. Programs may not select which children are matched to their programs. Currently, priority for admission is given to the following student applicant groups in the following order (this structure is subject to change):

- Currently-enrolled children (those enrolled in programming for younger children who wish to enroll in a DOE-contracted program)
- Siblings of currently-enrolled children
- Current recipients of other free or subsidized services provided by the organization
- Native speakers of languages that the program specializes in serving (applicable to designated Dual Language programs)

- All other children

The DOE's streamlined enrollment system is centered on family preference. Families may apply to up to 12 programs through the enrollment system, ranked in order of preference. They are matched to their highest ranked program that can take children from their priority group. It is up to each family to decide whether or not to apply to a program where their child is currently or was previously enrolled, and to decide how to rank the programs on their application. For that reason, the DOE cannot guarantee that children will receive offers to the program they currently attend or previously attended.

Providers may not discourage families from applying to other programs, implement any outreach or enrollment practices that discriminate against any child or family, or offer financial incentives to encourage families to apply for a slot.

## B. Service Model Expectations and Requirements

While some expectations and requirements are consistent across all service models, others differ. These differences are based on the purposes of the service models, funding streams, and other factors.

### a. School Day and Year Service Model Option

This service model provides free 3-K for All and Pre-K for All to 3- and 4-year-old children, aligned to the DOE school day and year. This service model is most similar to the current 3-K for All and Pre-K for All service model.

The school day and year service model is subject to revision and to approvals by and funding appropriation from City, State, and Federal entities including the New York State Education Department.

Providers will indicate their proposed services as well as proposed number of slots for each service in Tab 1- "Service Model Proposal" of their *Attachment B - Budget Form*. More information on completing this section in the Budget Form will be provided in Section 4F(b) - "Budget Form."

### i. Program Eligibility

Programs with the following permit/license are eligible to offer the school day and year service model:

- Child Care Centers (Article 47 Providers)
- School-Based Providers (Article 43 Providers)
- Group Family Day Cares (GFDCs)

See Section 1C(b) - “Licenses and Permits,” for more information on licensing and facilities requirements.

## ii. Child Eligibility

Children must meet all of the below requirements to participate in the school day and year service model.

1. **Age:**
  - *3-K for All:* Children must turn 3 by December 31 of the school year.
  - *Pre-K for All:* Children must turn 4 by December 31 of the school year.
2. **Residency:** Children must be residents of New York City to participate in 3-K for All and Pre-K for All. Children participating in this service model do not need to have documented proof of citizenship or legal immigration status.
3. **Income:** There are no family income requirements for children to be eligible to participate in this model. All children meeting the age and residency requirements listed above are eligible to participate.
4. **Family Share:** There are no family fees to participate in this model. Programs are permitted to offer fee-based services outside of DOE-funded hours; however, participation in these fee-based services is completely voluntary for families attending 3-K for All and Pre-K for All. Programs may not require families to participate in any fee-based service as a condition of their child’s enrollment in 3-K for All or Pre-K for All.

## iii. Days and Hours of Service

Under the school day and year service model, programs must provide the following:

1. **Days of Service:** Programs must provide a minimum of 180 total service days per year, as detailed below. It is expected that most programs will align their start and end dates with the DOE school year (August/September to June). If a program prefers to have different start and end dates than the DOE school year, they must receive prior approval from the DOE.
2. **Hours of Service:** Programs must provide a minimum of 6 hours and 20 minutes of care and instruction to children each day.
3. **Flexible Scheduling:** Programs may request flexibility in meeting the requirements for hours and days of service. This process occurs on an annual basis and takes place after RFP award decisions are made; additional information will be made available to providers found eligible for an award.

All programs’ selected days and hours of service must be communicated in advance to the DOE and to all prospective and enrolled families.

The following table summarizes the types and number of service days required under the school day and year service model.

Types of Service Days	School Day and Year Model
<b>Program Days</b> <i>On program days, the program is open for children to receive care and instruction.</i>	A minimum of 176 program days are required under this option.
<b>Professional Learning Days</b> <i>On professional learning days, teaching staff may participate in professional learning activities offered by the DOE, another City agency (e.g. DOHMH), or planned by the program leader. DOE staff will work with programs to determine the program's professional learning plan each year. Programs are not required to provide care and instruction to children on professional learning days, but may choose to offer care and instruction by providing qualified substitute teachers.</i>  <u>Note:</u> Programs may offer teaching staff an hourly equivalent of the 4 professional learning days if it is not feasible for the program to offer a full day of professional learning activities. For programs who select this option, a minimum of 25 hours of professional learning activities must be offered to teaching staff annually. The program will still be responsible for offering the total number of required service days (180).	A minimum of 4 professional learning days (or a total of 25 hours of professional learning activities) are required under this option.
<b>TOTAL SERVICE DAYS</b>	Minimum of 180

#### iv. Group Size/Ratio

The following table summarizes the maximum group size and the staffing requirements for each age group in the school day and year service model as defined by the New York City Health Code (Article 47), New York State Universal Pre-Kindergarten (UPK) requirements, and OCFS regulations (for GFDCs only). For the purposes of this RFP, “lead teacher” refers to the qualified individual who holds primary responsibility for children’s care and education in a classroom; “assistant teacher” refers to an individual who is part of the classroom teaching staff and works under the supervision of a lead teacher (inclusive of “assistant teachers” and “teacher’s aides”).

Age Group	Maximum Group Size	Staffing Requirements
<b>3-K for All</b>	15*	One lead teacher and one assistant teacher are required.
<b>Pre-K for All</b>	18  Up to 20 with DOE permission	In classrooms of 18 children or less, one lead teacher and one assistant teacher are required.  In classrooms of 19 or 20 (with DOE permission), one lead teacher and two assistant teachers are required.
<b>3-K for All and Pre-K for All (GFDCs)</b>	12	One lead teacher and one assistant teacher are required.

*\*Note that this represents a change in policy for some existing programs; beginning in July 2020, no more than 15 3-year-olds will be allowed in 3-K for All classrooms.*

The DOE will fund programs to meet the minimum classroom staffing requirements outlined above. See *Section 3D(a) - "Classroom Costs: Personnel Services (PS)"* for more information on the funding methodology for program staff.

Programs may not exceed the overall capacity or classroom capacities for their program as determined by the appropriate licensing agency, even if these capacities are lower than the ratios outlined above.

#### **v. Staff Qualifications**

The following table summarizes the staff qualification requirements for each age group in the school day and year service model. For more detailed information on staff qualification requirements for programs offering the school day and year service model, see *Attachment H - Birth-to-Five Policy Appendix*.

Age Group	Staff Qualification Requirements
<b>3-K for All</b>	Education Directors overseeing 3-K for All services must have*: <ul style="list-style-type: none"> <li>• Bachelor's degree in Early Childhood Education or a related field of study; and</li> </ul>

	<ul style="list-style-type: none"> <li>Teaching license or certificate valid for services in the early childhood or childhood grades as pursuant to New York State Universal Pre-Kindergarten (UPK) regulations.</li> </ul> <p><i>*Additionally, Child Care Centers (Article 47 Providers) must have Education Directors with at least two years of lead teacher experience in a program serving children less than six years of age.</i></p> <p>Programs must follow the staff qualification requirements for Lead Teachers set by the NYC Health Code Article 47 for this age group, regardless of permit/license type (including Article 43 Providers and Group Family Day Cares).</p>
<b>Pre-K for All</b>	<p>Programs must follow the staff qualification requirements set by the New York State Education Department (NYSED) for UPK programs, regardless of permit/license type (including Article 43 Providers and Group Family Day Cares).</p> <ul style="list-style-type: none"> <li>For Education Directors overseeing Pre-K For All services, NYSED requires: <ul style="list-style-type: none"> <li>Bachelor's degree in Early Childhood Education or a related field of study; and</li> <li>Teaching license or certificate valid for services in the early childhood or childhood grades.</li> </ul> <p><i>Additionally, Child Care Centers (Article 47 providers) must have Education Directors with at least two years of lead teacher experience in a program serving children less than six years of age.</i></p> </li> <li>For Pre-K for All Lead Teachers, NYSED requires <u>one</u> of the following: <ul style="list-style-type: none"> <li>Teaching license or certificate valid for service in the early childhood grades;</li> <li>Teaching license or certificate for Students with Disabilities (Birth – Grade 2); or</li> <li>Bachelor's degree in Early Childhood Education or a related field and a written study plan approved by an accredited college or university for obtaining Early Childhood certification by three years from their date of hire.</li> </ul> </li> </ul>

## b. Extended Day and Year Service Model

These slots provide 8 or 10 hours of programming for 225 or 260 days per year to infants, toddlers, 3-year-olds, and 4-year-olds who are eligible under Child Care Block

Grant (CCBG) requirements. This service model is most similar to current EarlyLearn programs funded through CCBG (also known as EarlyLearn Child Care programs). Unlike EarlyLearn Child Care programs, however, programs operating this service model will not be expected to meet all of the Head Start Program Performance Standards.

The extended day and year service model is subject to revision and to approvals by and funding appropriation from City, State, and Federal entities including the New York State Office of Children and Family Services.

Providers will indicate their proposed services as well as proposed number of slots for each service in Tab 1 - "Service Model Proposal" of their *Attachment B - Budget Form*. More information on completing this section in the Budget Form will be provided in Section 4F(b)iii - "Tab 1: Service Model Proposal."

## i. Program Eligibility

Programs with the following permit/license are eligible to offer this service model:

- Child Care Centers (Article 47 Providers)
- Group Family Day Cares (GFDCs), for 3- and 4-year-olds only

*See Section 1C - "RFP Eligibility Requirements" for more information on licensing and facilities requirements.*

## ii. Child Eligibility

Children must meet all applicable Federal and State eligibility requirements, including New York State CCBG and OCFS guidelines, to participate in the extended day and year service model. Through a streamlined eligibility and enrollment system, the DOE will work to ensure that only children who meet CCBG eligibility requirements are matched to CCBG-funded extended day and year slots. As needed, programs will be responsible for helping families utilize the DOE's streamlined enrollment system and submit eligibility documentation. Programs must follow all processes and policies related to eligibility established by the DOE and other City agencies.

### 1. Age:

- *Infants*: Children must be between the age of 6 weeks and 12 months.
- *Toddlers*: Children must be over the age of 12 months, but not yet age-eligible to participate in 3-K for All.
- *3-K for All*: Children must turn 3 by December 31 of the school year.
- *Pre-K for All*: Children must turn 4 by December 31 of the school year.

### 2. Residency: Children must be residents of New York City to participate in this service model. Children participating in this service model must have documented proof of citizenship or legal immigration status.

### 3. Family Income and Work Requirements: Families seeking extended day and year services will provide documentation through a central enrollment system to determine whether they meet the following income and work requirements:



- Children and families receiving extended day and year services are required to meet an income limit of 200% of the State Income Standard (SIS). This standard is established according to CCBG funding guidelines.
  - Families of participating children must document an approved reason for care. For two-parent households, each parent must have a reason for care. Examples of possible reasons for care include:
    - Employment (minimum of 20 hours per week)
    - Vocational training/educational activities
    - 4-year college student working at least 17.5 hours per week
    - Looking for work (for a period of up to 6 months)
    - Receiving services in response to domestic violence
    - Experiencing homelessness as defined by the McKinney-Vento Act; for more information about determining whether a child is classified as homeless, see the National Center for Homeless Education's "[Determining Eligibility for Rights and Services under the McKinney-Vento Act.](#)"
  - Families who use employment or vocational/educational activities as a reason for care must be approved for a number of authorized child care service hours based on their work or vocational/educational schedule.
  - Families receiving cash assistance (CA), Temporary Assistance for Needy Families (TANF), or income maintenance, foster parents, and families receiving protective or preventive services may also be eligible for extended day and year services funded through CCBG.
4. **Family Share:** Families of children participating in this service model must pay a fee to programs, which will be based on family size, family income, and priority code (a code assigned to a family based on reason for care and used to calculate family share). Programs are responsible for collecting fees from families on a weekly basis. Programs must use the fee schedule provided by the DOE, in accordance with Federal and State CCBG regulations, which will utilize a sliding scale of the family's gross income after subtracting the applicable State Income Standard (SIS) level. Fees will also vary depending on the type of care received, as outlined below:
- Families of participating infants and toddlers will pay a full-time fee to cover all hours of service provided.
  - Families of participating 3- and 4-year-old children will pay a part-time fee to cover the additional hours of care they receive through the extended day and year model (beyond the 180 days per year and 6 hours and 20 minutes per day of the school day and year service model). Note that this represents a change from existing policy.
- Note: The following families do not pay a fee:
- Families receiving cash assistance (CA), Temporary Assistance for Needy Families (TANF), or income maintenance
  - Families receiving protective services



- Families experiencing homelessness

### iii. Days and Hours of Service

Under the extended day and year model, programs must select the number of days per year and the number of hours per day the program will offer services (one option for days and one option for hours). Programs' selected days and hours of service must be communicated in advance to the DOE and to all prospective and enrolled families. Programs offering the extended day and year service model must adhere to additional requirements around tracking time and attendance for eligible children to ensure compliance with Federal and State CCBG regulations.

1. **Days of Service:** Through the extended day and year model, programs may choose to offer either 225 or 260 days of service between July 1 and June 30. Programs should propose to offer the days of service that best meet the needs of the communities they serve.
  - *Infants and Toddlers:* Programs offering the extended day and year model for infants and toddlers must meet the same service expectations on all program days.
  - *3-K for All and Pre-K for All:*
    - Core Days: Programs offering the extended day and year model for 3-K for All and Pre-K for All children must designate 180 days of the year that will constitute their "core days" at the beginning of the contract period, within parameters established by DOE. On core days:
      - Teaching staff must be consistent.
      - Programs offering Pre-K for All must meet the group size and staff qualification requirements set by the New York State Education Department (NYSED) for UPK programs.
      - Programs must follow DOE-provided daily scheduling guidelines.
    - Additional Days: "Additional days" refers to days that programs offer to CCBG-eligible 3-K for All and Pre-K for All children outside of the core 180 days. On additional days:
      - Staff members may differ from teaching staff who are staffing the classroom on core days. The DOE strongly recommends that programs offering Pre-K for All continue to meet core day group size and staff qualification requirements on additional days.
      - Programs must continue to follow DOE-provided daily scheduling guidelines.

The following table summarizes the types and number of service days required under the extended day and year service model.

Types of Service Days	225-day option	260-day option
<p><b>Program Days</b>  <i>On program days, the program is open for children to receive care and instruction.</i></p>	<p>A minimum of 217 program days are required under this option.</p>	<p>A minimum of 238 program days are required under this option.</p>
<p><b>Professional Learning Days</b>  <i>On professional learning days, teaching staff may participate in professional learning activities offered by the DOE, another City agency (e.g. DOHMH), or planned by the program leader. DOE staff will work with programs to determine the program's professional learning plan each year. Programs are not required to provide care and instruction to children on professional learning days, but may choose to offer care and instruction by providing qualified substitute teachers.</i></p> <p><u>Note:</u> Programs may offer teaching staff an hourly equivalent of the 4 professional learning days if it is not feasible for the program to offer a full day of professional learning activities. For programs who select this option, a minimum of 25 hours of professional learning activities must be offered to teaching staff annually. The program will still be responsible for offering the total number of required service days.</p>	<p>A minimum of 4 professional learning days (or 25 hours of professional learning activities) and a maximum of 8 professional learning days are required under this option.</p>	<p>A minimum of 4 professional learning days (or 25 hours of professional learning activities) and a maximum of 12 professional learning days are required under this option.</p>
<p><b>Clerical Days</b>  <i>Programs may opt to schedule some service days as clerical days. Appropriate activities on clerical days may include:</i></p> <ul style="list-style-type: none"> <li><i>Family-teacher conferences or other family engagement</i></li> </ul>	<p>No minimum number required; programs may schedule up to 4 clerical days under this</p>	<p>No minimum number required; programs may schedule up to 8 clerical days under this</p>

<p><i>activities</i></p> <ul style="list-style-type: none"> <li>• <i>Data entry for authentic assessment or developmental screening</i></li> <li>• <i>Meetings and/or collaborative planning time for teaching staff</i></li> <li>• <i>Furniture arrangement and classroom displays</i></li> </ul> <p><i>Programs are not required to provide care and instruction to children on clerical days, but may choose to offer care and instruction by providing qualified substitute teachers.</i></p>	option.	option.
<p><b>Holidays</b></p> <p><i>Programs operating the 260-day option may be credited for up to 10 holidays annually. Programs are not required to provide care and instruction to children on holidays, but may choose to offer care and instruction by providing qualified substitute teachers.</i></p>	None (holidays are not credited toward the 225-day minimum)	No minimum number required; programs may be credited for up to 10 holidays under this option.
<b>Total Service Days</b>	<b>225</b>	<b>260</b>

2. **Hours of Service:** Through the extended day and year model, programs may choose to offer either 8 or 10 hours of care and instruction on each program day.

- *Infants and Toddlers:* Programs offering the extended day and year model for infants and toddlers must meet the same service expectations for all hours of the program day (8 or 10 hours).
- *3-K for All and Pre-K for All:*
  - Core Hours: Programs offering the extended day and year model for 3-K for All and Pre-K for All children must designate 6 hours and 20 minutes of each program day that will constitute their “core hours” at the beginning of the contract period, within parameters established by the DOE. During core hours:
    - Teaching staff must be consistent.
    - Programs offering Pre-K for All must meet the group size and staff qualification requirements set by the New York State Education Department (NYSED) for UPK programs.
    - Programs must follow DOE-provided daily scheduling guidelines.

It is expected that program assessment (such as CLASS and ERS) will be conducted during core hours.

- **Additional Hours:** “Additional hours” refers to hours that programs offer to CCBG-eligible 3-K for All and Pre-K for All children outside of the core 6 hours and 20 minutes. During additional hours:
  - Staff members may differ from teaching staff who are staffing the classroom during core hours.
  - Children should have opportunities to engage in additional play-based centers, gross motor activities, outdoor play, and quiet activities in alignment with the [ELOF](#) for 3-year-olds and/or the [PKFCC](#) for 4-year-olds (updated New York State learning standards for 4-year-olds are expected to be released in 2019).
  - A meal or snack must be provided to children.

*See Attachment H - Birth-to-Five Policy Appendix for sample daily schedules for different service models and age groups.*

3. **Flexible Scheduling:** Programs may request flexibility to meet the requirements for hours and days of service. This process occurs on an annual basis and takes place after RFP award decisions are made; additional information will be made available to programs who are found eligible for an award.

#### iv. Group Size/Ratio

The following table summarizes the maximum group size and the staffing requirements for each age group in the extended day and year service model as defined by New York City’s Health Code (Article 47), UPK requirements, and OCFS regulations (for GFDCs only). For the purposes of this RFP, “lead teacher” refers to the qualified individual who holds primary responsibility for children’s care and education in a classroom; “assistant teacher” refers to an individual who is part of the classroom teaching staff and works under the supervision of a lead teacher (inclusive of “assistant teachers” and “teacher’s aides”).

Age	Maximum Group Size	Staffing Requirements
Infants	8 per room/area separated by a physical barrier	One lead teacher and one assistant teacher are required.

<b>Younger Toddlers</b> (12-24 months)	10	One lead teacher and one assistant teacher are required.
<b>Older Toddlers</b> (over 24 months)	12	One lead teacher and one assistant teacher are required.
<b>3-K for All</b>	15*	One lead teacher and one assistant teacher are required.
<b>Pre-K for All</b>	18  Up to 20 with DOE permission	<p><b>During Core Hours and Days:</b></p> <ul style="list-style-type: none"> <li>• In classes of 18 children or less, one lead teacher and one assistant teacher are required.</li> <li>• In classes of 19 or 20 (with DOE permission), one lead teacher and two assistant teachers are required.</li> </ul> <p><b>During Additional Hours and Days:</b></p> <ul style="list-style-type: none"> <li>• One lead teacher and one assistant teacher are required for a maximum group size of 20.</li> </ul> <p><u>Note:</u> The DOE strongly recommends that programs offering Pre-K for All continue to meet core day group size and ratio requirements on additional days.</p>
<b>3-K for All and Pre-K for All (GFDCs)</b>	12	One lead teacher and one assistant teacher are required.

*\*Note that this represents a change in policy for some existing programs; beginning in July 2020, no more than 15 3-year-olds will be allowed in 3-K for All classrooms.*

The DOE will fund programs to meet the minimum classroom staffing requirements outlined above. See *Section 3D(a) - "Classroom Costs: Personnel Services (PS)"* for more information on the funding methodology for program staff.

Programs may not exceed the overall capacity or classroom capacities for their program as determined by the appropriate licensing agency, even if these capacities are lower than the ratios outlined above.

## v. Staff Qualifications

The following table summarizes staff qualification requirements for each age group in the extended day and year service model. For more detailed information on staff qualification requirements for programs offering the extended day and year service model, see *Attachment H - Birth-to-Five Policy Appendix*.

<b>Infants and Younger Toddlers (up to 24 months)</b>	<p>Education Directors overseeing <u>only</u> Infant and/or Younger Toddler services must have:</p> <ul style="list-style-type: none"> <li>• Bachelor's degree in Early Childhood Education or a related field of study; and</li> <li>• At least one year of teaching experience (lead or assistant teacher) in a program for children under 24 months of age, or six college credits in infant/toddler coursework, or a study plan leading to six college credits in infant/toddler coursework.</li> </ul> <p>All programs must follow the staff qualification requirements for Lead Teachers set by the NYC Health Code Article 47 for these age groups.</p>
<b>Older Toddlers (over 24 months) and 3-K for All</b>	<p>Education Directors overseeing extended day and year Older Toddler and 3-K for All services must have:</p> <ul style="list-style-type: none"> <li>• Bachelor's degree in Early Childhood Education or a related field of study; and</li> <li>• Teaching license or certificate valid for services in the early childhood or childhood grades as pursuant to New York State Universal Pre-Kindergarten (UPK) regulations.</li> </ul> <p>Additionally, Child Care Centers (Article 47 Providers) must have Education Directors with at least two years of lead teacher experience in a program serving children less than six years of age.</p> <p>All programs must follow the staff qualification requirements for Lead Teachers set by the NYC Health Code Article 47 for these age groups, regardless of permit/license type (including Group Family Day Cares).</p>
<b>Pre-K for All</b>	<p>Education Directors overseeing extended day and year Pre-K for All services must have:</p> <ul style="list-style-type: none"> <li>• Bachelor's degree in Early Childhood Education or a related field of study; and</li> <li>• Teaching license or certificate valid for services in the early childhood or childhood grades as pursuant to New York State UPK regulations.</li> </ul> <p>Additionally, Child Care Centers (Article 47 Providers) must have</p>

	<p>Education Directors with at least two years of lead teacher experience in a program serving children less than six years of age.</p> <p><b>Lead Teachers during Core Hours and Days:</b>  Programs must follow the staff qualification requirements for Lead Teachers set by the New York State Education Department (NYSED) for UPK programs, regardless of permit/license type (including Group Family Day Cares). For Pre-K for All Lead Teachers, NYSED requires <u>one</u> of the following:</p> <ul style="list-style-type: none"> <li>• Teaching license or certificate valid for service in the early childhood grades;</li> <li>• Teaching license or certificate for Students with Disabilities (Birth – Grade 2); or</li> <li>• Bachelor’s degree in Early Childhood or a related field and a written study plan approved by an accredited college or university for obtaining Early Childhood certification by three years from their date of hire.</li> </ul> <p><b>Lead Teachers during Additional Hours and Days:</b>  Programs must follow the staff qualification requirements for Lead Teachers set by the NYC Health Code Article 47 for 4-year-old children, regardless of permit/license type (including Group Family Day Cares).</p> <p><u>Note:</u> The DOE strongly recommends that programs offering Pre-K for All continue to meet core day staff qualification requirements on additional days.</p>
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### c. Offering Multiple Service Models at the Same Site

#### i. Offering School Day and Year Slots and Extended Day and Year Slots in the Same Classroom (for 3-K for All and Pre-K for All)

Programs offering both school day and year and extended day and year services for 3-K for All and Pre-K for All children will be required to provide a minimum of 6 extended day and year slots. In order to foster socioeconomic integration at the classroom level, these programs will also be required to include same-aged children who are eligible for each service model in each classroom. For example, if a program is offering 36 Pre-K for All slots, of which 18 are school day and year slots and 18 are extended day and year slots, each classroom must contain children from both types of slots. Classrooms may **not** be separated by slot type.

Children in extended day and year slots who are in different classrooms during core hours and days may be combined into a single classroom during additional hours

and days. Programs may also choose to allow children in school day and year slots to stay for additional hours and days (beyond the core 6 hours and 20 minutes and 180 days), and may charge families a fee (via tuition) for those additional services. The DOE is not responsible for the collection of any tuition from families in school day and year slots who choose to pay for additional services, and these families are not subject to any agreement with the DOE for such additional services.

The DOE expects that programs offering both school day and year and extended day and year services will work to ensure all children and families participating in the program have shared and aligned experiences. The DOE will provide resources and support to programs to implement this expectation. *See Attachment H - Birth-to-Five Policy Appendix for sample daily schedules, including guidance on how to create smooth transitions between core and additional hours in 3-K for All and Pre-K for All classrooms.*

While combining these service models offers an exciting opportunity to foster socioeconomic and racial integration at the classroom level, the DOE expects that effectively and seamlessly combining these models may come with additional administrative requirements, including cost allocation. Proposers are advised to consider their organizational and staffing capacity before deciding to pursue this option.

## **ii. Combining Birth-to-Five Slots and Head Start/Early Head Start Slots**

Proposers wishing to provide both Birth-to-Five services (i.e. school day and year or extended day and year) as outlined in this RFP and Head Start/Early Head Start services as outlined in the Head Start/Early Head Start RFP (also available through HHS Accelerator; PIN# 1268) should apply to both RFPs. The DOE reserves the right to recommend awarding proposers for either one or both of these service models at a single program, should the proposer be found eligible for award by the individual requirements of each RFP.

Programs awarded both service models (Birth-to-Five and Head Start/Early Head Start) may request to combine same-aged children who are eligible for each service model in each classroom in order to foster socioeconomic integration at the classroom level.

The DOE expects that effectively and seamlessly combining Birth-to-Five services with Head Start/Early Head Start services may come with significant programmatic complexity, additional costs, administrative and reporting requirements, and complex cost allocation requirements. Proposers are advised to consider their organizational and staffing capacity before deciding to pursue this option. Based on a program's request and demonstrated capacity, the DOE will approve blending Birth-to-Five



services with Head Start/Early Head Start services in classrooms on a case by case basis.

## Section 3 - Financing and Budgets

### A. Process for Determination of Contract Value

Proposers must submit a completed Budget Form (Attachment B) with their proposal. Additional details regarding Budget Form completion can be found in Section 4F(b) - "Budget Form." If found eligible for award, proposers will be required to participate in the DOE budget development process to determine the annual contract value and one-time start-up funding awarded. Proposers must successfully complete the budget development process and have their budget approved by DOE for their contract to be registered.

**Contract finalization is subject to registration by the NYC Comptroller's office.**

During the budget development process, a per-child rate will be determined for each age group and service option awarded. The negotiated per-child rate will be the unit charge for the term of the entire contract. Per-child funding will be aggregated to determine the total annual contract value. Payments will then be calculated based on the methodology outlined in Section 3F - "Payment Model." Payments will be disbursed according to the payment schedule outlined in Section 3G - "Payment Schedule."

### B. Budget Structure

Per-child costs will be calculated across two primary categories: (1) programmatic costs and (2) occupancy costs. Within these primary categories, there are various sub-categories.

While providers will not be able to transfer funds between programmatic and occupancy costs, they will have some flexibility to transfer funding within these categories, as long as they remain in compliance with applicable DOE and funding agency requirements.

Funding Category	Sub-Categories	Funding Calculation Notes
Programmatic	<p>Classroom Costs</p> <ul style="list-style-type: none"><li>• Staffing (e.g. lead teacher)</li><li>• OTPS (e.g. instructional materials)</li></ul> <p>Programmatic and Operational Supports</p> <ul style="list-style-type: none"><li>• Staffing (e.g. education director, cook)</li><li>• OTPS (e.g. insurance, staff security clearances, or parent services)</li></ul>	Funding will be determined by the DOE using a rate setting methodology that takes into account the specific needs of a given service model and age group.

	Additional Funding to Support Low-Income Children and Families	
Occupancy Costs	<ul style="list-style-type: none"> <li>• Rent/Mortgage Payments</li> <li>• Property Taxes</li> <li>• Utilities (Electric, Gas/Fuel, and Water)</li> <li>• Minor Maintenance and Repairs</li> <li>• Licenses/Permits/Facility Inspections</li> </ul>	Funding provided for occupancy costs will be based on a program's documented costs and reasonable projections of market rates.

## C. Funding

All funding is subject to revision and to approvals by and funding appropriation from City, State, and Federal entities including the New York State Office of Children and Family Services (OCFS), the New York State Education Department (NYSED), the New York City Law Department, and the New York City Office of Management and Budget (OMB). Nothing contained in this RFP should therefore be construed as creating any rights or entitlements for prospective participants.

The DOE is committed to funding all programs for the core day and year (6 hours and 20 minutes per day and 180 days per year) at per-child rates that will, on average, meet or exceed the approximate funding amounts offered to DOE-contracted Pre-K for All and 3-K for All programs in the most recent RFP (R1223, services beginning in July 2019). Approximate funding amounts for RFP R1223 were as follows:

Age	Approximate Core Day and Year Per-Child Rate (Inclusive of Programmatic and Occupancy Costs)
3-K for All	\$12,000
Pre-K for All	\$11,000

The DOE is committed to providing additional funding to extended day and year slots to enable programs to offer services beyond the core day and year. In all cases, average per-child funding will meet or exceed the average amounts currently provided to ACS-contracted programs offering similar days and hours of service.

The DOE is committed to funding infant and toddler slots at rates that meet or exceed the average amounts currently provided to ACS-contracted programs offering similar days and hours of service.

Proposers should budget accordingly when completing their Budget Form (Attachment B).

*Note: All programs are subject to any collective bargaining agreements to which they are already committed and which their staff may enter into in the future.*

## D. Budget Guidance

Prior to completing their Budget Form (Attachment B), proposers must review the following guidance.

### a. Classroom Costs: Personnel Services (PS)

#### i. Classroom Ratios

Proposers must budget to meet all required adult-to-student ratio requirements. During the core day and year, the maximum four-year-old class size is 18 children and the maximum three-year-old class size is 15 children. In all cases, programs may not serve more children in a class than allowed for on their DOHMH permit.

#### ii. Lead Teacher Pay

Proposers must budget for a lead teacher to be in the classroom at all times during both the core day and year and during all additional days and hours, as applicable. Lead teacher qualification requirements for classrooms serving four-year-olds differ for the core day and year and the additional days and hours. During the core day and year, lead teachers must meet the requirements set by New York State for UPK programs. For extended day and year programs, during the additional days and hours, lead teachers must meet the requirements set by the NYC DOHMH. More information can be found in *Attachment H - Birth-to-Five Policy Appendix* in Section A - "Staff Qualifications". Staffing of all proposed days and hours must be reflected in the budget form.

*Note: All programs are subject to any collective bargaining agreements to which they are already committed and which their staff may enter into in the future.*

For the core day and year, the DOE recommends that proposers budget to pay non-unionized certified lead teachers in 3-year-old and 4-year-old classrooms an annual salary of:

- \$44,000 for teachers with a BA
- \$50,000 for teachers with an MA

Salaries for unionized lead teachers are governed by the applicable collective bargaining agreements.

### **iii. Assistant Teacher**

Proposers must budget for an assistant teacher to be in the classroom at all times during both the core day and year and during all additional days and hours, as applicable. More information can be found in *Attachment H - Birth-to-Five Policy Appendix* in Section A - "Staff Qualifications". Staffing of all proposed days and hours must be reflected in the budget form.

### **iv. Floating Staff**

Floating staff can provide coverage for lead teacher and assistant teacher lunch, lead teacher planning time, and other supports that require an additional adult to enable programs to meet the staffing and health and safety needs of their program. The DOE recommends that proposers include funding for up to one floating staff member for every three classrooms in their proposed budget.

### **v. Substitute Teachers**

Substitute teachers may be required when lead teachers or assistant teachers take a sick or leave day. The DOE recommends that proposers include funding for up to 15 days of substitute coverage in their proposed budget.

### **vi. Fringe**

Proposers must budget to provide legally required fringe and cover all required payroll taxes. In addition, proposers should consider providing health insurance, retirement plans, and other fringe benefits for staff.

## **b. Classroom Costs: Other than Personnel Services (OTPS)**

The DOE recommends that proposers budget to cover costs such as instructional materials, supplies, field trips, meals (see note below), and other classroom-related OTPS costs.

*Note: Programs will be required to participate in the Child and Adult Care Food Program (CACFP) unless they receive a waiver from the DOE. Participating programs can receive reimbursement for a maximum of two meals and one snack or two snacks and one meal from CACFP per child. Programs with high proportions of income-eligible children may be able to cover all food expenses with CACFP funding. Programs will be required to report on their CACFP reimbursement to the DOE.*

### c. Program and Operational Supports: Staffing and OTPS

The DOE recommends that proposers budget to cover non-instructional personnel costs, including mandatory fringe. Examples of staff for whom this funding may be used include, but are not limited to, education directors, cooks and custodians. More information can be found in *Attachment H - Birth-to-Five Policy Appendix* in Section A - “Staff Qualifications”.

*Note: All programs are subject to any collective bargaining agreements to which they are already committed and which their staff may enter into in the future.*

In addition, the DOE recommends that proposers budget to cover costs related to Program and Operational Supports (OTPS). Examples of costs include parent services and family involvement, office furniture and equipment, training and staff development, consultant services, advertising and recruitment, insurance, telecommunications, alarm systems, security clearances, and office and janitorial supplies.

### d. Occupancy Costs

The DOE will provide funding to programs to cover rent/mortgage payments, utilities, minor maintenance and repairs, licenses, permits, facility inspections, and property taxes (if applicable). Because occupancy costs vary widely from site to site and may increase over time, funding will be determined by the program’s actual documented need and other factors.

Programs will not be allowed to re-purpose funds awarded for occupancy costs. DOE will reimburse based on actual expenses subject to the provision of sufficient proof of cost.

*Note: Pending availability of funds, the DOE may provide custodial and maintenance support and pay for utilities for City owned or leased facilities, as applicable for the facility type and/or lease agreement. If these services are not provided through the DOE, programs will be funded to provide custodial and maintenance support and for utilities accordingly.*

## E. Start-up Funding

Providers may propose limited start-up funding in one or more of the following three areas: (1) renovations, construction, and required facility upgrades; (2) repairs and maintenance; and (3) furniture and equipment. Proposers requesting start-up funding will be required to complete Tab 3 - “Start-up Proposal” of the Budget Form (see Section 4F(b)v - “Tab 3: Start-up Proposal” for more information). Proposers should be prepared to provide details about their planned use of any proposed start-up funds. If awarded, programs will negotiate their start-up costs during the budget development process.

**Note that start-up funds will be issued as a one-time payment and will be provided on a reimbursement basis once a contract has been registered. Therefore, awarded programs will be required to pay for any upfront start-up costs, such as the cost of renovation projects, before receiving reimbursement from the DOE. Awarded programs will not receive reimbursement for any funds spent prior to the date of award.** In the event that a program spends less than initially estimated on start-up, the DOE will only reimburse based on actual expenses subject to the provision of proper documentation.

The amount payable for start-up will be determined at the sole discretion of the DOE. Start-up funding is not guaranteed and start-up funds requested will be carefully scrutinized to ensure they are fair and reasonable, and align with the needs of the program.

Please note that if a program is awarded start-up funds for renovation, new construction, and facilities upgrades, or repairs and maintenance, and chooses to contract for more than \$25,000 in labor using these funds, the program must comply with all laws pertaining to prevailing wage.

## **a. Renovation, New Construction, and Facility Upgrades**

### **i. Parameters**

- Programs may propose start-up funding for facility renovations, new construction, or facility upgrades. Funding in this category must be used to either add to a program's permitted capacity or maintain the same level of permitted capacity (in cases where a program is at risk of a reduction due to health or building code non-compliance). Changes that will not affect permitted capacity or that would decrease permitted capacity are not eligible for this type of funding. **If proposing to increase permitted capacity though construction or building out of additional space, proposals should reflect the increased number of slots planned to be offered. Proposers should include the total proposed slots, including additional slots that would be added using this funding, in their proposed service types and slot numbers on Tab 1 - "Service Model Proposal" of their Budget Form.**
- All construction/renovation work must be completed after award notification and prior to the start of services. In addition, if a program is proposing to add to their permitted capacity, the updated permit must be received prior to the contract start date. Please see Section 4F(d) - "Evidence of Site Control for Non-Permitted Sites, City Owned or Leased Facilities Questions, and General Permitting Considerations for All Providers" of this RFP for more details on the permitting process.
- Programs proposing for funding to make facility upgrades may utilize this funding for fire alarms, sprinklers, and any other upgrades required for DOHMH compliance.

- All construction and renovation work must be approved by the required City agencies.
- Proposers operating in New York City Housing Authority (NYCHA) facilities are eligible to request start-up funding within this category but must coordinate with NYCHA, DOE, and required City agencies on proposed work in order for any start-up funding in this category to be released upon award.
- Programs that are awarded a City owned or leased facility may be eligible to request start-up funding within this category, depending on the facility type and lease agreement, and must coordinate with the DOE Division of School Facilities and/or the School Construction Authority, or the landlord, and required City agencies on proposed work in order for any start-up funding in this category to be released.

## ii. Projected Available Funding

Programs may propose for up to \$200,000 per classroom or facility in start-up funds, depending on needed work within this category.

## b. Repairs and Maintenance

### i. Parameters

- Programs may propose for start-up funding to make necessary repairs and perform required maintenance to renew and update existing facilities prior to the beginning of contracted services. Please note that this start-up funding will be paid on a one-time basis. This funding is separate from annual funding that may be provided for the “minor maintenance/repair fund,” as outlined on Tab 2 - “Program Costs Proposal” of the Budget Form (see Section 4F(b)iv - “Tab 2: Program Costs Proposal” for additional information). Start-up funding is intended to cover repairs and maintenance necessary to begin services in the first year of the contract. The annual minor repairs and maintenance cost category is intended to cover costs associated with facilities use incurred throughout the life of the contract.
- Examples of projects for which this funding may be used include: painting, ceiling repairs, carpet/tile replacement, lighting upgrades, bathroom upgrades, and sink replacements.
- Proposers operating in New York City Housing Authority (NYCHA) facilities are eligible to request start-up funding within this category but must coordinate with NYCHA, DOE, and required City agencies on proposed work in order for any start-up funding in this category to be released.
- Programs that are awarded a City owned or leased facility may be eligible to request start-up funding within this category, depending on the facility type and lease agreement, and must coordinate with the DOE Division of School Facilities and/or the School Construction Authority, or the landlord, and required City agencies on proposed work in order for any start-up funding in



this category to be released.

## **ii. Projected Available Funding**

Programs may propose for up to \$20,000 per classroom.

## **c. Furniture and Equipment**

### **i. Parameters**

- Programs may propose for start-up funding to purchase new, age-appropriate furniture and equipment to ensure that their permitted facility can meet all DOE requirements.
- Examples of furniture and equipment that may be purchased include: tables, chairs, storage, and kitchen equipment (e.g. refrigerators).
- Note: programs with an existing DOE or ACS contract that received start-up funding for furniture and equipment within the past five years should only propose for funds to replace aged, broken, or missing furniture and equipment.

### **ii. Projected Available Funding**

Programs may propose for up to \$10,000 per classroom.

## **F. Payment Model**

Awarded program payments will be calculated every month based on monthly enrollment for each service model and age group. In the event that a program's enrollment (within each service model and age group) is less than its contracted capacity, the DOE is committed to paying an additional portion of the annual maximum contract value. This is a change for current DOE-contracted programs for whom the DOE pays based solely on their enrollment on the Basic Educational Data System (BEDS) date. The details of the payment model are outlined below.

For each service option and age group, awarded programs will report their enrollment on a monthly basis to the DOE (extended day and year programs will also track attendance on an ongoing basis. See Section 2B(a)iii - "Extended Day and Year Service Model Option: Days and Hours of Service" for more information). For each service option and age group, programs with enrollment rates at 58% or less will receive 65% of the monthly contract value, programs with an enrollment rate between 58% and 93% will receive funding for their monthly enrollment rate plus 7% (e.g. if enrolled at 75% of capacity, programs will receive 82% of the monthly contract value), and programs enrolled at 93% or higher will receive 100% of their monthly contract value.

Monthly Enrollment Rate	Percent of Monthly Contracted Funding Received
Less than 58%	65%
58% to 93%	Enrollment Rate + 7%
Greater than 93%	100%

**Extended Day and Year Programs Only:** Each month's payment will be reduced to account for fees due to be collected from parents, as per CCBG requirements. See Section 2B(a)ii - "Extended Day and Year Service Model Option: Child Eligibility" for more information on fees.

## G. Payment Schedule

Payments will only be disbursed to awarded programs with contracts registered by the New York City Comptroller. The DOE cannot legally disburse any contractual payments prior to registration.

### a. Start-up Funds

If a program proposes and is awarded start-up funds, this funding will be disbursed with the advance payment described below. Start-up funding is only available in the first year of the contract.

### b. Monthly Payments

With the exception of start-up funding, awarded programs will be paid monthly on an annual schedule for the duration of the contract, based on the DOE's fiscal year that runs from July 1 to June 30. Subject to contract registration, the monthly payment schedule will begin in July for extended day and year slots and in September for school day and year slots. The payment schedule will end in June for all programs.

#### i. Extended Day and Year Slots

- Advance Payment
  - Programs will receive 25% (3 months) of their full annual contract value for each age group on or around the first day of services.
- Monthly Payments
  - For each month after the start of services, programs will receive a monthly payment based on enrollment. A portion of the balance of the advance payment will be subtracted from future monthly payments. *Note: payment will not be provided until a program submits the requested budgets, invoices, reports, or other documentation to the DOE.*

- June Payment
  - The June payment will be disbursed once the program has met all end-of-year requirements and will factor in any adjustments needed to reconcile end-year expense reporting to total payments.

## ii. School Day and Year Slots

- Advance Payment
  - Programs will receive 20% (2 months) of their full annual contract value for each age group on or around the first day of services.
- Monthly Payments
  - For each month after the start of services, programs will receive a monthly payment based on enrollment. A portion of the balance of the advance payment will be subtracted from future monthly payments. *Note: payment will not be provided until a program submits the requested reports, invoices, and other documentation to the DOE.*
- June Payment
  - The June payment will be disbursed once the program has met all end-of-year requirements.

**Note: All payments are subject to contract registration timelines. Any delay in the contracting process may delay or prevent contract registration and disbursement of payments. Should there be contract registration delays for any vendors otherwise responsive, permitted, and in compliance with the requirements of DOE and the regulatory agencies (DOHMH, Department of Buildings, New York City Fire Department), the DOE will pursue bridge loans to assist with cash flow through The Fund for the City of New York.**

In order to receive payment, awarded programs will be required to submit budgets, reports, invoices, and other forms of documentation to the DOE. Programs will receive specific guidance on this process once they have completed the contracting process. **Programs will also be required to provide regular expenditure reports to account for their utilization of the contract funds.**

All funds paid out by the DOE in a given fiscal year (July 1 through June 30) must be used for expenses accrued by the program within the same fiscal year (funding cannot be carried over from one fiscal year to another). In the event that a contracted program's total payments for the fiscal year exceed their spending for the same fiscal year:

- The DOE will deduct the amount a contracted program does not spend from any remaining balance for the current fiscal year; and/or
- The DOE will deduct the amount a contracted program does not spend from the following fiscal year's payments; and/or
- The DOE may request that a contracted program immediately refund the total unspent amount in the form of a corporate check.

Should the needs of the system call for changes to the payment schedule and/or model, the DOE reserves the right to select a payment schedule and/or model that is in the City's best interests. The DOE would do so with consideration of the needs of programs and would attempt to integrate those interests and the perspective of its programs into any new payment structures that might be introduced.

## H. Cost Allocation

Awarded programs will be required to perform two types of cost allocation. Both types are defined here:

- **Cost allocation to funding sources awarded through this RFP:** Different components of the program that are awarded through this RFP may be supported by different funding sources as outlined in Section 3K - "Funding Sources." In addition to City funding, core day and year hours are expected to be funded with New York State pre-K grants and, subject to New York State OCFS approval, additional days and hours are expected to be funded through the Child Care Block Grant. Awarded programs must allocate costs between these different funding sources, according to the proportion of the type of service being provided, *within the contract awarded from this RFP*.
- **Cost allocation between DOE-contracted services and other funding sources:** Many programs are supported by funding sources outside of the contract awarded through this RFP (e.g. private grants, foundation support, families paying directly for services not covered by this contract). Where any staff, OTPS, or other costs associated with a DOE-funded program are also supporting non-DOE-funded services, programs *must* appropriately allocate those costs.

All awarded programs will be required to submit and regularly update Cost Allocation Plans. These plans will be essential to meeting all the requirements for payment mentioned in Section 3H - "Cost Allocation." All awarded programs will receive support from the DOE to create and maintain these plans as part of the budgeting process. Plans are subject to the approval by the DOE.

The DOE will establish and release detailed fiscal management guidance and expectations for cost allocation on or around the start of the contract period (July 1, 2020). Please refer to the [ACS EarlyLearn NYC Fiscal Manual](#) to see previous examples of Cost Allocation and Allocation Plan requirements.

## I. Budgeting and Record Keeping Requirements

Awarded programs must comply with all DOE budgeting, reporting, and fiscal practices as communicated through this RFP, the program's contract, the DOE, and any applicable City, State, or Federal funding authority. Awarded programs offering extended day and year slots and receiving CCBG funding will be required to keep records of any parent fees collected.

All awarded programs must comply with Generally Accepted Accounting Principles (GAAP). The GAAP are uniform minimum standards of and guidelines for financial accounting that apply to both nonprofit and for-profit organizations. All programs will be required to use an appropriate bookkeeping methodology or system and to maintain accurate and complete records to support reporting requirements. Programs will also be required to retain all records for up to seven years in compliance with the requirements of the DOE, Federal, State, and local authorities.

In subsequent years of the contract, awarded programs will be required to submit a budget and receive approval from the DOE prior to receiving any payment from the DOE. All budgets will be subject to the DOE's requirements regarding allowable cost categories and expenditures.

With the exception of the advance payment described in Section 3G(b) - "Monthly Payments," awarded programs will be expected to submit monthly invoices in order to receive payment. Invoices will document the details of the service period and the children for whom payment will be made. Awarded programs will also be responsible for submitting regular expenditure reports to the DOE Borough Office. Expenditure reports must account for expenditures on behalf of the birth-to-five program. The DOE will verify that all expenses are fairly allocated and comply with the DOE's guidance on allowable expenditures. If an awarded program fails to properly document an expenditure, that cost may be subject to disallowance and may result in a reduction in payment to the program.

The DOE will establish and release detailed fiscal management guidance and expectations in advance of the start of the contract period (July 1, 2020). For sample guidance, please review the DOE's current [Pre-K for All Expenditure Guide](#) and the [ACS EarlyLearn NYC Fiscal Manual](#).

## **J. Audits**

Awarded programs must comply with any audit or review process as required by the DOE or any other applicable funding agency. Audits will review program documentation of actual program expenditures, allowable costs, cost allocation, internal controls, governance, and more. All expenditures are subject to review by the DOE at any time.

## **K. Funding Sources**

A variety of funding sources are expected to support the service models outlined above. The United States Federal government and New York State administer several grants that the New York City Department of Education has been awarded or allocated. Grants supporting 3-K for All and Pre-K for All include the Universal Pre-Kindergarten (UPK) grant, the Statewide Universal Full Day Pre-Kindergarten grant, and the Preschool Development Grant. Additionally, New York City supports 3-K for All and Pre-K for All with discretionary

fund sources, including City Tax Levy (CTL). Infant and toddler care, as well as extended day and year care for 3- and 4-year-olds, are expected to be supported in part by the New York State Child Care Block Grant (subject to State OCFS approval), CTL, and parent contributions.

This initiative is partially supported by the Federal Community Development Block Grant (CDBG) program. Programs that meet CDBG requirements may be awarded a CDBG-funded award. Such programs will be considered a Federal subrecipient and must work with DOE to ensure Federal compliance requirements are met.

**Services scheduled to be awarded through this RFP are subject to State approval and funding appropriation by related City, State, and Federal entities.**

## Section 4 – Proposal Instructions

### A. General Guidelines

You are strongly advised to thoroughly read all parts of this RFP before beginning your proposal, including all relevant attachments, appendices, and/or addenda. Taken together, these documents will provide guidance to you as you plan your early education program and compose answers to the questions in the *Attachment A - Structured Proposal Form*, *Attachment B - Budget Form*, and other required RFP documents.

In addition to thoroughly reviewing all sections of this RFP and related documents, you are also encouraged to review *Attachment I - Essential Steps for Proposal Submission*, which includes guiding questions and a submission checklist that can aid programs in understanding different RFP elements. Please note that this document is not intended to replace close and careful review of this RFP and related documentation, but is instead intended to be a supplemental resource to support you in your proposal submission process. The DOE encourages you to read the RFP in its entirety to understand all requirements.

Your proposal must be submitted using the “Procurements” tab of the HHS Accelerator system at [nyc.gov/hhsacceleratorlogin](https://nyc.gov/hhsacceleratorlogin). The proposal submission process includes, but is not limited to, entering credentials and responses into HHS Accelerator, uploading documents, such as the Doing Business Data Form, and completing and submitting required documents, such as the Structured Proposal Form and Budget Form, that further detail information about your proposed program.

You are responsible for the timely electronic submission of proposals. The HHS Accelerator system will only allow you to submit proposals prior to the Proposal Due Date and Time.

**Proposals received after the Proposal Due Date and Time will not be accepted**, except as provided under the [Department of Education Procurement Policy and Procedures](#), Section 3-03(g)(5) - “Late Proposals.” While the DOE has worked to streamline the proposal submission process, please note that the time required to complete and submit all the required documents is significant, and you should allow sufficient time. The DOE **strongly recommends that you complete and submit your proposal at least 24 hours in advance of the Proposal Due Date and Time.**

Please note that a **separate and complete proposal, including all required documents, must be submitted for EACH PROPOSED PROGRAM SITE**, regardless of zip code or proximity of proposed locations. If you are submitting proposals for multiple sites, Questions 5-14 in the Structured Proposal Form may be consistent and copied across all your proposals, but you are advised to individualize your responses to Questions 1-4 based on information specific to each site. The required *Attachment B - Budget Form* is unique to each site and should be completed individually and submitted separately for each proposal. Proposers submitting more than one proposal are encouraged to link common documents,

such as the required *Attachment C - Doing Business Data Form*, from their HHS Accelerator Document Vault to multiple proposals where applicable.

Information on all required documents submitted with your proposal must be consistent with your profile in HHS Accelerator, including Provider's Legal Name, Tax ID, and Proposed Site Address. You must verify your Provider Legal Name and Tax ID by referencing your Evidence of Business Type document, which was submitted during the HHS Accelerator prequalification process.

For more detailed information about New York State business types and the documents you should reference to verify your Provider Legal Name and Tax ID, you are encouraged to visit [The New York State Division of Corporations, State Records and UCC website](#).

Additionally, all documents submitted for your proposed site must indicate a precise and consistent address. The site address must be of the location where you are proposing to offer early education services.

- If your proposed program site is permitted or licensed, you should check your permit or license for your proposed program's exact site address.
- Your site address may be different than your vendor mailing address. You must ensure that the address listed on any documentation for this RFP is for the site where you are proposing to serve children, and matches the address listed on your permit or license (if applicable).

## **B. PASSPort Disclosure Filing (formerly known as Vendor Information Exchange System (VENDEX) Forms or Certificate of No Change)**

To be eligible for this contract, your organization must enroll and file disclosures in the [Procurement and Sourcing Solutions Portal \(PASSPort\)](#). In advance of the award process, all providers should ensure that PASSPort disclosures are in "Filed" status and all information is up-to-date. You will be able to access PASSPort using the login credentials you use to access HHS Accelerator. For more information about PASSPort, please visit [www.nyc.gov/passport](http://www.nyc.gov/passport).

## **C. HHS Accelerator Guidance**

Detailed instructions about how to submit your proposal in [HHS Accelerator](#), as well as other technical information about using the HHS Accelerator system, can be accessed in the [Provider Guide to Submitting Proposals in HHS Accelerator](#), also included in *Attachment K – Important Reference Guide and Acronyms List*. Instructions for "Completing and Submitting Proposals in the System" begin on page 5 of the guide. It is strongly recommended that you reference this guide as you complete and submit your proposal in HHS Accelerator.

Additionally, resources for using the HHS Accelerator system, such as user guides, videos, and training dates are listed on the HHS Accelerator website at



[www.nyc.gov/hhsaccelerator](http://www.nyc.gov/hhsaccelerator). For more information about submitting a proposal through the HHS Accelerator system, please contact [help@mocs.nyc.gov](mailto:help@mocs.nyc.gov).

An overview of the instructions for submitting a proposal through the HHS Accelerator system can be found below.

### **HHS Accelerator Proposal Submission Instructions**

1. Log into HHS Accelerator using your login credentials
2. Select the tab that says “Procurements”
3. Click on the Procurement Title for this RFP “Birth-to-Five Services”
4. Select the button on the screen that says “Proposal Summary”
5. Select the button on the screen that says “Add New Proposal”
6. Select the tab that says “Proposal Details” to begin entering required information about your proposed program in HHS Accelerator
  - a. The “Proposal Details” tab displays all information that must be entered directly into HHS Accelerator for your proposed program
  - b. An overview of what information must be submitted in the “Proposal Details” tab is detailed in the table in Section 4D - “Instructions on Completing the “Proposal Details” Tab in HHS Accelerator” below
7. Select the “Proposal Documents” tab and upload all required documents and optional documents (if applicable)
  - a. An overview of how to complete required and optional documents is detailed in the table in Section 4E - “Summary of Required and Optional Documents” below
  - b. You must link or upload these documents in the “Proposal Documents” tab for this RFP. Please note that documents you save to your “Document Vault” in HHS Accelerator will NOT be viewable to the DOE. If you save your documents to the “Document Vault,” they must be linked to the appropriate slot in the “Proposal Documents” tab in order to be submitted for this RFP
8. Click the “Submit Proposal” tab, select the confirmation boxes, enter your credentials, and click “Submit” to submit your proposal to the RFP. There are three indicators that you have successfully submitted a proposal:
  - a. You will see a green bar that says “Submitted;”
  - b. Your status will say “Submitted” on the final HHS Accelerator screen; and
  - c. You will receive an email from HHS Accelerator confirming your submission.

You may save your proposal information in HHS Accelerator and return to it to make any edits **before the proposal due date and time** by clicking the “Save” button at the bottom of the HHS Accelerator screen. You will not be able to make changes to your proposal documents after the proposal due date and time.

If you submit your proposal before the proposal due date and time, you may retract your documents and make edits before the proposal due date and time, but you must remember to **re-submit** your proposal and receive confirmation that your proposal was successfully submitted. Please note that you may not retract your documents after the proposal due date

and time.

## D. Instructions on Completing the “Proposal Details” Tab in HHS Accelerator

In addition to thoroughly reviewing this section, proposers are also encouraged to review the two-page *Attachment I - Essential Steps for Proposal Submission*, when completing their “Proposal Details” in HHS Accelerator.

The following table contains additional instructions on how to complete the “Proposal Details” tab in HHS Accelerator.

Proposal Details Section	Instructions for Completion
Proposal Title	<p>Enter your <b>Proposal Title</b> in the designated space under “Basic Information” in HHS Accelerator.</p> <ul style="list-style-type: none"><li>• Your Proposal Title should be specific to the site name you are proposing and should include the name of your proposed site and the address where you intend to locate your program.</li><li>• If you are submitting separate proposals for more than one site, please ensure that each proposal title is reflective of the site that corresponds to the specific proposal.</li><li>• For example, if you are proposing two sites, and your first proposal is for “ABC Daycare” and it is located at 123 Main Street and your second proposal is for “ABC Daycare II” at 100 Smith Street, your title for proposal 1 could be “ABC Daycare - 123 Main Street” and your title for proposal 2 could be “ABC Daycare II - 100 Smith Street”</li></ul>

<b>Competition Pool</b>	<p>Select your <b>Competition Pool</b> from the drop-down menu in this section.</p> <ul style="list-style-type: none"> <li>• If proposing to offer service in a <b>privately leased or owned facility</b>, your competition pool is the zip code in which your proposed program site is located. This is the program site location where you intend to serve children, and must match the address listed on your permit or license (if applicable). <ul style="list-style-type: none"> <li>○ <b>You are strongly encouraged to verify your zip code by visiting the <a href="#">Geographic Online Address Translator (GOAT)</a></b> website and typing in your site's address in the space provided. Find your zip code at the bottom of the left-hand column of the first information table. The DOE will verify your zip code using this tool.</li> </ul> </li> <li>• If proposing to offer service in a <b>City owned or leased facility</b> listed in <i>Attachment E - City Owned or Leased Facilities List</i>, select the competition pool that corresponds with your selected facility. <ul style="list-style-type: none"> <li>○ All proposals submitted for a City owned or leased facility will be evaluated within that building's corresponding competition pool. For example, a proposal for Building B501, located in the Bronx, would be submitted to competition pool 'Bronx - COL Building B501.'</li> <li>○ Competition pools for City owned or leased facilities are detailed in <i>Attachment E - City Owned or Leased Facilities List</i> and <i>Attachment F - Competition Pools List</i>.</li> </ul> </li> <li>• If you are proposing for more than one site, you must submit a separate proposal for each site and submit each proposal in the appropriate zip code or facility competition pool. <b>Listing more than one address per proposal submission does <u>NOT</u> mean that your proposal will be considered for award at multiple sites.</b> The only way to be considered for award at multiple sites is to submit a separate completed proposal for each individual site.</li> <li>• Please note that <b>providing an incorrect or inconsistent address or selecting the incorrect competition pool may result in a finding of non-responsive and/or make you ineligible for award</b> as your proposal may be evaluated in the incorrect competition pool.</li> </ul>
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<b>Provider Contact</b>	<p>Select a <b>Provider Contact</b> for your organization in the drop-down menu next to “Select a member from your organization.”</p> <ul style="list-style-type: none"> <li>• The person selected from the drop-down menu will be the main contact for your program throughout the proposal evaluation process and may receive frequent notifications about your proposal, including time sensitive requests for additional documents, requests for site visits, and notification of award recommendation decisions. <ul style="list-style-type: none"> <li>○ The fields for Name, Office Title, Email Address, and Phone will automatically populate once you select your provider contract from the drop-down menu.</li> <li>○ If the automatically populated information for the Provider Contact’s Name, Office Title, Email, Address and/or Phone is incorrect or changes, you can edit these at any time before or after proposal submission.</li> <li>○ To change any of this information, select the tab that says “Organizational Information,” select “Update Members and Users,” and make revisions as necessary.</li> <li>○ If the primary contact for your proposal changes at any time during the evaluation period, it is essential that you also email <a href="mailto:PreKRFP@schools.nyc.gov">PreKRFP@schools.nyc.gov</a> immediately to notify the DOE of this change.</li> </ul> </li> <li>• The selected provider contact <b>must</b> have an active email account, be able to answer questions about your proposal, and <b>be responsive, particularly via email and phone, throughout the RFP evaluation process.</b> <ul style="list-style-type: none"> <li>○ <b>You may be found non-responsive and/or ineligible for award if the DOE is unable to connect with the person who is listed as your Provider Contact.</b></li> <li>○ Do not select a person as the provider contact who is likely to be on leave or unreachable during the period when your proposal will be under review.</li> </ul> </li> </ul>
<b>Service Unit - Total Funding Request</b>	<p>Enter your <b>Total Contract Value</b> from your completed Budget Form.</p> <ul style="list-style-type: none"> <li>• This figure must match the figure listed in cell F37 in Tab 4 “Summary (For Agency Use)” of your completed Budget Form.</li> </ul>
<b>Questions</b>	<p>Please carefully read the instructions below before responding to the questions in the “Proposal Details” tab of HHS Accelerator. It is essential that you correctly and completely enter your responses in accordance with the guidance below.</p>

Please note that **you CANNOT use the following special characters** in your responses to these questions:

- \*
- &
- “ ”
- ‘

Using these characters in the HHS Accelerator system may invalidate your responses, so please ensure that your responses are free of the above outlined characters.

**1. Enter the name(s) of the principal owner/operator(s) affiliated with your organization.**

- This response should include any Executive Director(s), Chief Executive Officer(s), or equivalent.
- Multiple principals should be separated by a semicolon (;). For example: John Smith; Sally Reed.
- The answer to this response may be different from the information provided in your “Provider Contact” information.

**2. Are you proposing to serve children in a City Owned or Leased Facility from *Attachment E - City Owned or Leased Facilities List*?**

- If no, please enter “No.”
- If yes, please enter “Yes.”

**3. Is your proposed privately owned or leased space currently permitted for all services that you are proposing?**

- If you are proposing a City owned or leased facility, please enter “N/A.”
- If no, please enter “No.”
- If yes, please enter “Yes.”
- Please note that if you are proposing **extended day and year services**, you **MUST** be permitted as an Article 47 provider. If you are proposing these services but are not already permitted as an Article 47 provider (for example, you are permitted as an Article 43 provider), you should enter “No” in this field, and follow the steps outlined in the sections below for “non-permitted” providers.
- Please note that **infant and toddler services** require a separate permit from 3-K and pre-K (preschool) services. If you are proposing infant and/or toddler

services, but are not currently permitted to serve infants and toddlers (or, conversely, if you are permitted to serve only infants and toddlers but are proposing 3-K and/or pre-K services), you should enter “No” in this field and follow the steps outlined in the sections below for “non-permitted” providers.

**4. What is/(are) your permit number(s) for this site?**

- If you are proposing a City owned or leased facility OR if your site is not permitted, please enter “N/A.”
- If your site is permitted, please enter your permit or license number (Article 43 and 47 providers) or GFDC license number (NYS licensed child daycare programs).
  - Providers who are considering proposing a site that is already permitted are encouraged to use the [NYC Child Care Connect](#) lookup feature to verify their permit details.
- If you are **proposing and permitted for more than one age group**, please enter both license numbers, separated by a semicolon (;). For example: 1234; 45678.
- If you are proposing services that you are not currently permitted for, you should enter “N/A” in this field, and follow the steps outlined in the sections below for “non-permitted” providers.

**5. Do you plan to undergo permitting work and/or construction at this site during the proposal evaluation or prior to the start of the 2020-2021 school year?**

- If you are proposing a City owned or leased facility, please enter “N/A.”
  - Please note that if you are awarded your proposed City owned or leased facility through this RFP, you will be required to work with the DOE and partner City agencies to obtain a DOHMH permit for your awarded facility, but you should still respond “N/A” in this question.
- If no, please enter “No.”
- If yes, please enter “Yes.”
  - If you answer “Yes” for this question, you must detail your permitting and/or construction plans in Tab 3 - “Start-up Proposal” of your Budget Form. Please see Section 4F(b) - “Budget Form” for more information.

**6. Will you be serving children at your proposed site during July and/or August 2019?**

- If you do not currently serve children at this site, or if you serve children at this site but will not be open during July and August 2019, please enter “No.”
- If yes, please enter “Yes.”
- This information may be used to schedule a visit to your site during the evaluation of your proposal, if required.

**7. If “No,” do you operate another site where you will be serving children during July or August 2019?**

- If you answered “Yes” to Question 6, please enter “N/A.”
- If you do not have another site, or if you have another site but it will not be serving children at your site during July or August 2019, please enter “No.”
- If yes, please enter the address of this alternate site.
- This information may be used to schedule a visit to your site during the evaluation of your proposal, if required.

**8. Are you also submitting a proposal to the Head Start/Early Head Start RFP for this site?**

- If no, please enter “No.”
- If yes, please enter “Yes.”

**9. Do you expect to receive funding for this site through other City, State, or Federal grants?**

- If no, please enter “No.”
- If yes, please enter the name of the funding source(s). For example, “Direct Head Start” or “4410.”
  - This information should also be indicated in your Budget Form. Please see Section 3H - “Cost Allocation” and Section 4F(b) - “Budget Form” for more information.

**10. Are you submitting any additional proposals to this Birth-to-Five RFP for other locations?**

- If no, please enter “No.”
- If yes, please enter the address(es) of other site(s) being proposed through this RFP. Multiple addresses should be separated by a semicolon (;). For example: 123 Main Street Brooklyn NY 11238; 789 Smith Street New York NY 10002.

**11. Has your organization ever operated under a different EIN (Employer Identification Number / Tax ID)?**

- If no, please enter “No.”
- If yes, please enter the former EIN(s). Multiple EINs should be separated by a semicolon (;). For example: 123321123; 456654456.

**12. Has your organization ever contracted with the DOE and/or ACS as an early childhood education provider (for this site or others)?**

- If no, please enter “No.”
- If yes, please enter your site ID(s). If you have multiple site IDs, please separate each 4-letter ID with a semicolon (;), and list the site ID for this proposed site first, if applicable. For example: ABCD; DCBA; ZYXW.

**13. Do you have additional sites affiliated with your current or former EIN(s) that have not contracted with the DOE and/or ACS?**

- If no, please enter “No.”
- If yes, please enter any related address(es). Multiple addresses should be separated by a semicolon (;). For example: 123 Main Street Brooklyn NY 11238; 789 Smith Street New York NY 10002.

- This should include any sites that are not listed by site ID in question 9.

**14. Has this site ever operated under a different name?**

- If no, please enter “No.”
- If yes, please enter the former name(s). Multiple names should be separated by a semicolon (;). For example: ABC Daycare; ABC Daycare I.

**15. Has this program ever operated at a different address?**

- If no, please enter “No.”
- If yes, please enter the former address(es). Multiple addresses should be separated by a semicolon (;). For example: 123 Main Street Brooklyn NY 11238; 789 Smith Street New York NY 10002.

**16. Has your organization ever been found to be a non-responsible vendor by any New York City agency?**

- If no, please enter “No.”
- If yes, please enter “Yes.”

**17. Has your organization ever had a contract with any New York City agency terminated for cause?**

- If no, please enter “No.”
- If yes, please enter “Yes.”

**18. Has your organization ever had a DOHMH child care license suspended for any reason?**



	<ul style="list-style-type: none"> <li>○ If no, please enter “No.”</li> <li>○ If yes, please enter “Yes.”</li> </ul>
<b>Service Site Information - Site Name and Address</b>	<p>Add the <b>Site Name</b> and <b>Address</b> for your proposed site.</p> <ul style="list-style-type: none"> <li>● Click “Add Site” to enter the site-specific details of where your program will be located.</li> <li>● A pop-up window will appear. You will be required to complete the following fields: Site Name, Address 1, Address 2, City, State, and Zip Code. <ul style="list-style-type: none"> <li>○ The “Site Name” indicated <u>should be the exact name that you would like to be included in the DOE’s program directory, application, and other community-facing materials</u>, should you be recommended for award through this RFP.</li> <li>○ It is essential that your “Address” is correct and complete, and that the zip code of the proposed site matches the zip code of the selected competition pool (see above for competition pool details). <ul style="list-style-type: none"> <li>■ Please note that <b>providing an incorrect or inconsistent address, or selecting the incorrect competition pool may result in a finding of non-responsive or make you ineligible for award</b>, as your proposal may be evaluated in the incorrect competition pool.</li> </ul> </li> </ul> </li> <li>● Click “Save” to save your Site Name and Address details.</li> <li>● If <b>submitting with a City owned or leased facility listed in <i>Attachment E - City Owned or Leased Facilities List</i></b>, you should enter the exact address of your selected facility as it appears on this list.</li> <li>● Please note that if you are proposing for more than one site, you <b>must submit a separate proposal for each site</b> and submit each proposal in the appropriate zip code competition pool. <ul style="list-style-type: none"> <li>○ <b>Listing more than one address in this field per proposal submission does <u>NOT</u> mean that your proposal will be considered for award at multiple sites.</b> The only way to be considered for award at multiple sites is to <b>submit a separate completed proposal for each individual site.</b></li> </ul> </li> </ul>

	<ul style="list-style-type: none"> <li>It is essential that your Site Name and Address are consistent on all proposal documents. Submissions with inconsistencies in site name and/or address may be found non-responsive and ineligible for award through this RFP.</li> </ul>
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## E. Summary of Required and Optional Documents

The following section details which documents are required as part of proposal submission as well as optional documents that are required for only certain proposers. It is essential that you read through **ALL** information in Section 4E - "Summary of Required and Optional Documents" and Section 4F - "Detailed Instructions on Completing Required and Optional Documents," including information on optional documents that may only apply to certain proposers. Reading through these sections in their entirety is the only way to ensure that you are completing all the necessary documents and submitting a completed proposal to this RFP. In addition to thoroughly reviewing Section 4E - "Summary of Required and Optional Documents" and Section 4F - "Detailed Instructions on Completing Required and Optional Documents," you are also encouraged to review *Attachment I - Essential Steps for Proposal Submission* when completing and submitting required and optional documents to this RFP.

Required and optional documents must all be uploaded via the HHS Accelerator system. Please note the following:

- Proposal document file size cannot exceed 12 MB.
- Your Structured Proposal Form **must** be submitted in Word (.doc, .docx) format. Structured Proposal Forms submitted in PDF format may not be accepted.
- Your Budget Form **must** be submitted in Excel (.xls, .xlsx) format. Budget Forms submitted in PDF format may not be accepted.
- Other proposal documents must be in one of the following file formats: Word (.doc, .docx), PDF (.pdf), or Excel (.xls, .xlsx)
- Please note that certain required documents must be completed and submitted using the forms and templates provided as attachments, including *Attachment A - Structured Proposal Form*, *Attachment B - Budget Form*, and *Attachment D - City Owned or Leased Facilities Questions* (if required).

Required Document	Description
<b>Structured Proposal Form - Attachment A</b>	<ul style="list-style-type: none"> <li>• The Structured Proposal Form (SPF) includes 14 questions and is the primary source of evidence you will provide that will be assessed to determine the quality of your proposed program. <b>Your responses should be representative of all service models and age groups you are proposing at the site location.</b></li> <li>• Your Structured Proposal Form should be submitted to the indicated required document slot labeled “Structured Proposal” in HHS Accelerator and should be named as follows: <i>SPF for [YOUR PROPOSAL TITLE HERE]</i></li> <li>• You must complete The Structured Proposal Form using the provided form in <i>Attachment A - Structured Proposal Form</i>. Please note that this document must be saved and submitted in Word (.doc, .docx) format. You may <u>not</u> submit this form as a PDF (.pdf).</li> <li>• Please see Section 4F(a) - “Structured Proposal Form and Program Quality, Instructional Quality, and Safety and Supervision Documentation” below for detailed information and instructions.</li> </ul>
<b>Budget Form - Attachment B</b>	<ul style="list-style-type: none"> <li>• You must submit a completed Budget Form outlining the costs associated with running your proposed program using <i>Attachment B – Budget Form</i>.</li> <li>• The Budget Form is where you will indicate your proposed classroom configurations and the service models and number of slots you are proposing to offer at your site. <ul style="list-style-type: none"> <li>○ Please note that <b>providers proposing services located in a City owned or leased facility</b> will need to ensure that their proposed services and slot numbers are aligned with the projected services and classroom configurations outlined in <i>Attachment E - City Owned or Leased Facilities List</i>. See <i>Attachment B - Budget Form</i> and Section 4F(b) - “Budget Form” below for additional information.</li> </ul> </li> <li>• You are required to submit one budget per proposal submitted to this RFP.</li> <li>• Your Budget Form should be submitted to the indicated required document slot labeled “Budget” in HHS Accelerator and should be named as follows: <i>Budget for [YOUR PROPOSAL TITLE HERE]</i></li> </ul>

	<ul style="list-style-type: none"> <li>You must complete the Budget Form using the provided Excel template in <i>Attachment B - Budget Form</i>. Please note that this form must be saved and submitted in Excel (.xls, .xlsx) format. Your budget may <u>not</u> be submitted in PDF (.pdf) or Word (.doc, .docx) format.</li> <li>Please see Section 4F(b) – “Budget Form” for detailed information and instructions.</li> </ul>
<b>Doing Business Data Form - Attachment C</b>	<ul style="list-style-type: none"> <li>A completed <a href="#">Doing Business Data Form</a> (DBD) is required for any provider seeking to do business with New York City.</li> <li>You must sign and date this form at the time the document is uploaded to HHS Accelerator.</li> <li>Your completed Doing Business Data Form should be submitted to the indicated required document slot labeled “Doing Business Data Form” in HHS Accelerator and should be named as follows: <i>DBD for [YOUR PROPOSAL TITLE HERE]</i></li> <li>Please see Section 4F(c) – “Doing Business Data Form” for detailed information and instructions.</li> </ul>
<b>Optional Document</b>	<b>Description</b>
<b>Program Quality Documentation</b>	<ul style="list-style-type: none"> <li>If you have <b><u>NOT</u></b> previously contracted with the DOE to provide 3-K and/or Pre-K for All services between <b>September 2015 and December 2018 (at either this site or others)</b>: in addition to answering Question 2 of the SPF, you should submit documentation that supports your organization’s history of overall program quality. This documentation will be considered along with the SPF as part of the assessment of your program quality.</li> <li>Your Program Quality Documentation should be uploaded into <u>one</u> optional document slot in HHS Accelerator. If your documentation includes multiple documents, you should combine these documents into one file before submitting it the optional document slot labeled “Optional- Program Quality Documentation”. Your submission should be named as follows to ensure proper consideration of this documentation during the evaluation process: <i>Program Quality for [YOUR PROPOSAL TITLE HERE]</i></li> <li>For more information, please see Section 4F(a) - “Structured Proposal Form and Program Quality, Instructional Quality, and Safety and Supervision Documentation” below and Question 2 of the SPF.</li> </ul>

<b>Instructional Quality Documentation</b>	<ul style="list-style-type: none"> <li>• If you have <b><u>NOT</u></b> previously contracted with the DOE <u>or</u> ACS to provide pre-K services between July 2016 and December 2018 (at either this site or others): in addition to answering Question 3 of the SPF, you should submit documentation that supports your history of instructional quality and emotional responsiveness.</li> <li>• Your Instructional Quality Documentation should be uploaded into <u>one</u> optional document slot in HHS Accelerator. If your documentation includes multiple documents, you should combine these documents into one file before submitting to the optional document slot labeled “Optional- Instructional Quality Documentation”. Your submission should be named as follows to ensure proper consideration of this documentation during the evaluation process: <i>Instructional Quality for [YOUR PROPOSAL TITLE HERE]</i></li> <li>• For more information, please see Section 4F(a) - “Structured Proposal Form and Program Quality, Instructional Quality, and Safety and Supervision Documentation” below and Question 3 of the SPF.</li> </ul>
<b>Safety and Supervision Documentation</b>	<ul style="list-style-type: none"> <li>• If you have <b><u>NOT</u></b> operated early childhood programs in the City of New York between July 2016 and January 2019: in addition to answering question 4 of the SPF, you should submit documentation that supports your history of safety and supervision.</li> <li>• Your Safety and Supervision Documentation should be uploaded into <u>one</u> optional document slot in HHS Accelerator. If your documentation includes multiple documents, you should combine these documents into one file before submitting to the optional document slot labeled “Optional- Safety and Supervision Documentation”. Your submission should be named as follows to ensure proper consideration of this documentation during the evaluation process: <i>Safety and Supervision for [YOUR PROPOSAL TITLE HERE]</i></li> <li>• For more information, please see Section 4F(a) - “Structured Proposal Form and Program Quality, Instructional Quality, and Safety and Supervision Documentation” below and Question 4 of the SPF.</li> </ul>

<p><b>Evidence of Site Control</b></p>	<ul style="list-style-type: none"> <li>● <b>If you are planning to locate your program at a <u>non-permitted site</u></b> you must provide documentation that sufficiently demonstrates a connection between your program and the site where you intend to provide your early education services, also known as “Evidence of Site Control.” <ul style="list-style-type: none"> <li>○ If you are proposing a site that is currently permitted for a different organization, submit your proposal as a “non-permitted site,” as you will need to complete the permitting process to have the site permitted in your organization’s name.</li> <li>○ If you are proposing extended day and year services, you <b>MUST</b> be permitted as an Article 47 provider in order to offer those services. If you are proposing these services but are not already permitted as an Article 47 provider (for example, you are permitted as an Article 43 provider), you should submit your proposal as a “non-permitted site,” as you will need to complete the permitting process to secure a new Article 47 permit.</li> <li>○ Please note that <b>infant and toddler services</b> require a separate permit from 3-K and pre-K (preschool) services. If you are proposing infant and/or toddler services, but are not currently permitted to serve infants and toddlers (or, conversely, if you are permitted to serve only infants and toddlers but are proposing 3-K and/or pre-K services), you should submit your proposal as a “non-permitted site,” as you will need to complete the permitting process to secure a new permit for the relevant ages.</li> </ul> </li> <li>● Examples of this <b>Evidence of Site Control</b> and detailed instructions are outlined in Section 4F(d) - “Evidence of Site Control for Non-Permitted Sites, City Owned or Leased Facilities Questions, and General Permitting Considerations for All Programs.”</li> <li>● Evidence of Site Control documentation should be uploaded into the optional document slot labeled “Optional-Evidence of Site Control” in HHS Accelerator, and should be named as follows to ensure proper consideration of this documentation during the evaluation process:  <i>Evidence of Site Control for [YOUR PROPOSAL TITLE HERE]</i> </li> </ul>
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<p><b>City Owned or Leased Facilities Questions - Attachment D</b></p>	<ul style="list-style-type: none"> <li>• <b>If you are proposing services located in a City owned or leased facility</b>, you will need to answer the 3 additional questions outlined in <i>Attachment D - City Owned or Leased Facilities Questions</i>.</li> <li>• City Owned or Leased Facilities Questions must be completed using the provided form. Please note that this document must be saved and submitted in Word (.doc, .docx) format. You may <u>not</u> submit this form as a PDF (.pdf).</li> <li>• Your completed City Owned or Leased Facilities Questions should be uploaded into the optional document slot labeled “Optional- City Owned or Leased Facilities Questions” in HHS Accelerator, and should be named as follows to ensure proper consideration of this documentation during the evaluation process:  <i>City Owned or Leased Facilities Questions for [YOUR PROPOSAL TITLE HERE]</i></li> <li>• Please see Section 4F(d) - “Evidence of Site Control for Non-Permitted Sites, City Owned or Leased Facilities Questions, and General Permitting Considerations for All Programs” below for detailed information and instructions.</li> </ul>
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## F. Detailed Instructions on Completing Required and Optional Documents

### a. Structured Proposal Form [Required Document] and Program Quality, Instructional Quality, and Safety and Supervision Documentation [Optional Documents]

The Structured Proposal Form (SPF) is included as *Attachment A – Structured Proposal Form*. **You must submit your completed Structured Proposal Form using the provided attachment when submitting your proposal to this RFP.** If you submit an alternate template, your proposal may not be evaluated or may receive a lower evaluation score, as responses submitted outside of the provided template may not be aligned with the character counts or specific content of the questions asked. Please note that questions included in the SPF have changed since previous RFPs and the DOE strongly discourages proposers from submitting Structured Proposal Forms completed during previous RFPs as part of this RFP submission process. Please note that this document **must be saved and submitted in Word (.doc, .docx) format**. You may not submit this form as a PDF (.pdf).

**You are required to submit one Structured Proposal Form (SPF) per proposal**, regardless of age groups or service types proposed. If you are submitting multiple proposals for different sites, please note that Questions 5-14 may be consistent and

copied across your proposals, but you are advised to individualize your responses to Questions 1-4 based on information specific to each site.

Your SPF should be uploaded into the **required document** slot labeled “Structured Proposal” in HHS Accelerator, and should be named as follows to ensure proper consideration of this documentation during the evaluation process:

*SPF for [YOUR PROPOSAL TITLE HERE]*

The SPF includes 14 questions and provides you the opportunity to describe your demonstrated quality and effectiveness, and your capacity to provide high-quality early childhood care and education if awarded through this RFP. Proposers should ensure that their answers to all SPF questions are representative of all service models (school day and year and/or extended day and year) and age groups (Infants, Toddlers, 3-K for All, and/or Pre-K for All) they are proposing for the specific site location. The criteria for scoring the Structured Proposal Form include:

- Program Overview & Demonstrated Effectiveness [65 total points; SPF Questions 1-4]
  - Program Vision and Community Need
  - Demonstrated Effectiveness:
    - Program Quality
    - Instructional Quality
    - Safety and Supervision
- [Early Childhood Framework for Quality \(EFQ\)](#) Elements [35 total points; SPF Questions 5-14]
  - Element 1: Respect and value differences
  - Element 2: Create safe and positive environments
  - Element 3: Provide opportunities for active learning and responsive instruction
  - Element 4: Promote families’ roles as primary caregivers, teachers, and advocates
  - Element 5: Work collaboratively towards continuous quality improvement
  - Element 6: Demonstrate strategic leadership

Point distributions across and within these elements are further detailed in Section 5B - “Proposal Evaluation Considerations.”

The Demonstrated Effectiveness domains are further detailed in the sections below, and proposers will provide their responses in relation to these domains through SPF Questions 2, 3, and 4, respectively.

In order for the DOE to further consider proposers’ history of demonstrated quality and effectiveness as a high-quality early childhood program, certain proposers should submit additional documentation to support their response to one or more of these three



questions. The parameters for documentation submission are outlined in the “Optional Documents” table above, detailed in the following sections, and detailed again in Questions 2, 3, and 4 of the SPF.

#### **i. SPF Question 2: Demonstrated Effectiveness - Program Quality**

Question 2 of the SPF asks proposers to:

*Describe how your organization’s experience will enable you to operate a successful early childhood program in your community. If your organization is new, describe how the experience of key personnel will enable you to operate a successful early childhood program.*

This question will take into account a proposer’s experience and demonstrated ability to operate a high-quality early childhood program in good standing with supervising agencies. This may include, but is not limited to, sound fiscal management, high staff retention rates, full enrollment, high levels of family and community engagement, and services for children and families with specialized needs. This may also include growth in overall program quality and expansion of responsibilities over time. You should consider all elements of quality, as described in the EFQ, when answering this question.

**If you have previously contracted with the DOE to provide 3-K and/or Pre-K for All services between September 2015 and December 2018 (at either this site or others):** in addition to your response to this question, the DOE will take into account your history of good standing with the DOE. You should not submit the additional documentation on program quality outlined below, which applies only to proposers who have not contracted with the DOE during this time period.

**If you have NOT previously contracted with the DOE to provide 3-K and/or Pre-K for All services between September 2015 and December 2018 (at either this site or others):** in addition to answering this question, you should also submit documentation that supports your history of overall program quality as described in your response to this question. When considering what to submit, please note that preference will be given to recent (within the past 3 years), objective data collected by third parties. For this submission, you may want to consider including information such as: demonstrated success running a program in New York City, scores from City agencies (e.g. VENDEX), quality accreditation, QUALITYstars, accolades from outside organizations and agencies, expansion of operations or responsibilities over time, consistent full enrollment, clean audit, and/or staff retention and qualifications.

When submitting documentation, please ensure that important identifying information is clear and comprehensive (e.g. permit numbers, names, addresses). Your **Program Quality Documentation** should be uploaded into one optional document

slot in HHS Accelerator. If your documentation includes multiple documents, you should combine these documents into one file before submitting to the optional document slot labeled “Optional-Program Quality Documentation”. Your submission should be named as follows to ensure proper consideration of this documentation during the evaluation process:

*Program Quality for [YOUR PROPOSAL TITLE HERE]*

For more details on this question, please review Question 2 of the SPF.

## ii. **SPF Question 3: Demonstrated Effectiveness - Instructional Quality**

Question 3 of the SPF asks proposers to:

*Describe how your organization's experience will enable you to provide high-quality early childhood instruction. If your organization is new, describe how the experience of key personnel will enable you to provide high-quality early childhood instruction at your program.*

This question will take into account a proposer's demonstrated ability to create a learning environment and climate that supports children's growth and development across multiple domains. This may include, but is not limited to, play-based and developmentally appropriate learning experiences, interactions between children and adults, classroom materials and furniture, and the program's schedule. You should focus on Element 2 (Create safe and positive environments), Element 3 (Provide opportunities for active learning and responsive instruction), and Element 5 (Work collaboratively towards continuous quality improvement) of the EFQ when answering this question.

**If you have previously contracted with the DOE or ACS to provide pre-K services between July 2016 and December 2018 (at either this site or others):** in addition to your response to this question, the DOE will also take into account your history of instructional quality and emotional responsiveness, including consideration of DOE-administered CLASS and ECERS-R evaluations. You should not submit the additional documentation on instructional quality outlined below, which applies only to proposers who have not contracted with the DOE or ACS during this time period.

**If you have NOT contracted with the DOE or ACS to provide 3-K and/or Pre-K for All services between July 2016 and December 2018 (at either this site or others):** in addition to answering this question, you should also submit documentation that supports the history of instructional quality and emotional responsiveness you described in your response to this question. When considering what to submit, please note that preference will be given to recent (within the past 3

years), objective data collected by third parties. For this submission, you may want to consider things such as: Program Quality Assessment scores (e.g. CLASS & ERS), improvement of program quality over time, and child or family outcome data. This might also include plans about how this data was used to inform coaching and classroom practices.

When submitting documentation, please ensure that important identifying information is clear and comprehensive (e.g. permit numbers, names, addresses). Your **Instructional Quality Documentation** should be uploaded into one optional document slot in HHS Accelerator. If your documentation includes multiple documents, you should combine these documents into one file before submitting to the optional document slot labeled “Optional- Instructional Quality Documentation”. Your submission should be named as follows to ensure proper consideration of this documentation during the evaluation process:

*Instructional Quality for [YOUR PROPOSAL TITLE HERE]*

For more details on this question, please review Question 3 of the SPF.

### iii. **SPF Question 4: Demonstrated Effectiveness - Safety and Supervision**

Question 4 of the SPF asks proposers to:

*Describe how your organization’s experience will enable you to ensure the health and safety of children at your program. If your organization is new, describe how the experience of key personnel will enable you to ensure the health and safety of children at your program.*

This question will take into account a proposer’s demonstrated ability to ensure children’s health and safety in an early childhood program. This may include, but is not limited to, effective child supervision practices, adherence to staff qualification and clearance requirements, and proactive and reactive on-site monitoring systems. You should focus on Element 2 (Create safe and positive environments) and Element 6 (Demonstrate strategic leadership) of the EFQ when answering this question.

**For proposers who have operated licensed early childhood programs in the City of New York between July 2016 and January 2019 at either this site location or others** in addition to your response to this question, the DOE will take into account your most recent history of implementing effective safety and supervision practices (within the past three years), including the consideration of DOHMH data. You should not submit the additional documentation on safety and supervision outlined below, which applies only to proposers who have not operated licensed early childhood programs in the City of New York during this time period.

**If you have NOT operated licensed early childhood programs in the City of New York between July 2016 and January 2019:** in addition to answering this question, you should submit documentation that supports your history of safety and supervision as you have described in your response to this question. When considering what to submit, please note that preference will be given to recent (within the past 3 years), objective data collected by third parties. For this submission, you may want to consider things such as: program records from a governmental or regulatory agency outside of New York City (e.g., documentation from another municipality or state, Federal Head Start Environmental Health and Safety review reports, or Focus Area 2 review reports), program records from a non-governmental agency, and records from a program where key personnel have previously worked in the City of New York.

When submitting documentation, please ensure that important identifying information is clear and comprehensive (e.g. permit numbers, names, addresses). Your **Safety and Supervision Documentation** should be uploaded into one optional document slot in HHS Accelerator. If your documentation includes multiple documents, you should combine these documents into one file before submitting to the optional document slot labeled “Optional- Safety and Supervision Documentation”. Your submission should be named as follows to ensure proper consideration of this documentation during the evaluation process:

*Safety and Supervision for [YOUR PROPOSAL TITLE HERE]*

For more details on this question, please review Question 4 of the SPF.

#### **b. Budget Form [Required Document]**

You are required to complete a budget proposal outlining the costs associated with running your proposed program using *Attachment B – Budget Form*. **You must submit your completed Budget Form using the provided attachment when submitting your proposal to this RFP.** If you submit an alternate template, your proposal may not be evaluated, or you may be found non-responsive to the requirements of this RFP. Please note that the Budget Form has changed since previous RFPs and the **DOE will not accept Budget Form templates from previous RFPs** as part of this RFP submission process. Please note that your completed Budget Form **must be saved and submitted in Excel (.xls, .xlsx) format.** Your budget may not be submitted in PDF (.pdf) or Word (.doc, .docx) format.

**A note on automatic calculations:** Sections of the budget form will automatically calculate totals or present information based on your entries. To ensure that the budget form is accurate and fully functional, your excel preferences must be set so that workbook calculations are set to automatic. This is the default option, but if formulas do

not appear to be updating automatically please refer to [tinyurl.com/ExcelAutoCalcHelp](https://tinyurl.com/ExcelAutoCalcHelp) under the header “Change when a worksheet or workbook recalculates.”

**You are required to submit one Budget Form per proposal (i.e. one budget per proposed site).** The Budget Form is where you will indicate which birth-to-five service models and the number of slots that you are proposing to offer at your site. You must transfer required information from your Budget Form to the respective question in the “Proposal Details” tab of HHS Accelerator (see Section 4D - “Instructions on Completing the “Proposal Details” Tab in HHS Accelerator” for additional details). All service models proposed at a single site through this RFP should be included on a single Budget Form (one form per site).

When submitting your Budget Form, please ensure that important identifying information is correct and consistent with the answers to the questions in the “Proposal Details” in HHS Accelerator (e.g. site name, address, EIN). Your **Budget Form** should be uploaded into the **required document** slot labeled “Budget” in HHS Accelerator, and should be named as follows to ensure proper consideration of this documentation during the evaluation process:

*Budget Form for [YOUR PROPOSAL TITLE HERE]*

Before submitting your Budget Form, please make sure that you have not left fields blank, that all the information is consistent, and matches your proposal narrative. Conflicting or incomplete information may prevent the DOE from evaluating your proposal, or may cause the DOE to find your proposal non-responsive to this RFP.

#### **i. Proposed Cost Guidelines**

When completing the Budget Form, you should propose costs that are both reasonable to support your proposed program model and fairly allocated. If your proposal is recommended for award through this RFP, you will be required to participate in a budget development process. Your proposed budget must reflect a reasonable estimation of the costs that would be incurred to meet all program requirements for your proposed service model and slots as outlined in Section 2 - “Service Model Expectations and Requirements” and Section 3 - “Financing and Budgets” of this RFP.

If the costs in your Budget Form do not appear to be fair or reasonable, the DOE reserves the right to make inquiries into all information provided in your Budget Form, to negotiate rates, and/or to make a determination of non-award for your proposal.

#### **ii. Before Completing Your Budget Form**

To begin completing your Budget Form, ensure that you have Microsoft Excel -

version 2007 or higher on your computer. You may not complete your Budget Form using Apple Numbers or any program other than Microsoft Excel. Your Budget Form must be submitted in .xls or .xlsx format. If you submit an alternate template, or if you submit your Budget Form saved as a .pdf, .doc, .docx, or any other format other than .xls or .xlsx, your proposal may not be evaluated, or you may be found non-responsive to the requirements of this RFP.

Please note that there are 4 tabs included in *Attachment B - Budget Form*. You can see the tabs in the bottom of your Excel workbook. When you click on each tab (e.g. Tab 1 - "Service Model Proposal") new worksheets will appear. The following sections outline more detailed instructions on completing each tab of your Budget Form.

Please note the following additional considerations for **providers proposing services located in a City owned or leased facility**:

### 1. Number and Ages of Children in City Owned or Leased Facilities

*Attachment E - City Owned or Leased Facilities List* details the anticipated number of children that the building will serve and provides a breakdown by age group and number of classrooms. Proposers should use these numbers as the basis of their proposal and budget.

### 2. Service Models in City Owned or Leased Facilities

Programs proposing to provide services in City owned or leased facilities are required to propose both school day and year slots and extended day and year slots. Proposers should use the service need resources included in Section 1C(d) - "Geographic Considerations: Need for Services and Competition Pools" and their understanding of the community need in the area of the facility to propose how many school day and year slots and how many extended day and year slots will be provided at the facility. **Each facility must provide a minimum of 6 extended day and year slots.** Proposers should ensure that the total number of proposed school day and year slots and the total number of extended day and year slots that they propose for each age group add up to the "Anticipated Slots by Age Group" for their proposed facility, as indicated in *Attachment E - City Owned or Leased Facilities List*, column N.

### 3. Maintenance and Repair Costs for City Owned or Leased Facilities

Pending availability of funds, the DOE may provide custodial and maintenance support and pay for utilities for City owned or leased facilities, as applicable for the facility type and/or lease agreement. If these services

are not provided through the DOE, programs will be funded to provide custodial and maintenance support and for utilities accordingly. All NYCHA based programs should follow their agreement with NYCHA as it relates to custodial and maintenance support and utilities.

### iii. Tab 1: Service Model Proposal

- Before You Begin

You are not required to enter any information in the “Before You Begin” section. Please read the instructions and context in order to better understand how the Budget Form works.

- Identifying Information

In order to complete “Identifying Information,” please open the “Proposal Details” tab in HHS Accelerator and copy the requested information into the yellow boxes in your Budget Form. Before moving to “Service Model,” check to make sure you have typed in or selected an answer for all 8 boxes.

If a question is not applicable to your proposal, you may enter NA for that cell (e.g. if you are proposing at site that is not yet permitted, type “NA” into cell I21).

Do not enter anything into cell I25.

- Service Model

Within the Birth-to-Five RFP, proposers may choose from several options for age range of children served, length of the service day, and number of operational days per year. This section of the Budget Form will ask you to indicate which of these service model options you are proposing. If you have questions about the available service models, please refer back to Section 1B - “Overview of Solicited Services” of this RFP.

- Ages Served (Question 1)

- Question 1: Which ages do you propose to serve at this site?

- Use the drop down menus in the yellow boxes (Column M, Cells 44-48) to select “Yes” or “No” for each age range. “Yes” indicates that you are proposing to offer slots for children in this age range. “No” indicates that you are not proposing to offer slots for children in this age range. You must answer either “Yes” or “No” for every age range.

- For definitions of the age ranges and information on continuity of care, you may refer to Section 1B(c) - “Age Definitions” of this RFP.

- Service Model, Extended Day and Year Option, and Service Model Flexibility (Questions 2-4)



- Question 2: What service model(s) do you propose to offer at this site?

Use the drop down in H51 to select your proposed service model(s): “Only School Day and Year”; “Only Extended Day and Year”; or “Both Extended Day and Year and School Day and Year”

- Question 3: If you propose to offer extended day and year slots at this site, please indicate what combination of hours and days your site will offer:

*If you are not proposing to offer extended day and year services, you may skip this question.*

- Proposed Hours Per Day: use the drop down in F55 to select the extended day option that your birth-to-five program proposes to offer.
  - Proposed Days Per Year: use the drop down in K55 to select the extended year option (in number of days) that your birth-to-five program proposes to offer.
- Question 4: If you are proposing to offer extended day and year slots to 3 or 4 year olds, would you accept school day and year slots in the event that the DOE does not need or cannot fund additional extended day and year slots?

If you propose extended day and year slots for 3 or 4 year olds, the DOE may recommend to award you school day and year slots instead. For example, the DOE may determine that there is no additional need for extended day and year slots in your competition pool or that there is no additional funding for extended day and year slots. If you are not interested in providing school day and year slots in place of extended day and year slots at your program, you are asked to indicate this through Question 4 of the Budget Form.

Use the drop down in cell C61 to select one of the following answers: “Yes, I will accept school day and year slots if extended day and year slots are not available.”; “No, I will only accept an award of extended day and year slots.”; or “NA, I do not plan to serve 3 or 4 year olds (OR) I do not plan to offer extended day and year slots.”

- Classroom Use (Questions 5-6)

- Question 5: How will classrooms at this site be utilized?  
**If your site is a GFDC, skip to Question 6.**

Use the rows provided (rows 88-103) to enter information on your



proposed classrooms. **Please leave any rows you do not need blank.**

If you are proposing to offer both extended day and year and school day and year services, you are required to provide a minimum of 6 extended day and year slots in total. If you are proposing to offer both extended day and year and school day and year slots at your site, classrooms must contain both types of slots. You may not isolate slot types by classroom during the core school day. For more information see Section 2B(c)i - "Offering Multiple Service Models at the Same Site: Offering School Day and Year Slots and Extended Day and Year Slots in the Same Classroom (for 3-K for All and Pre-K for All)".

You may not offer more slots in a classroom than:

- your classroom is permitted to contain (or)
- the maximum group number for the age group you are serving. For more information on the maximum group size see Section 2B(b)iv- "Offering Multiple Service Models at the Same Site: Group Size/Ratio".

To respond to this question, use the chart starting in row 88 to outline the classrooms at your site and the slots you intend to offer in them during the main (core) part of your service day and year.

- **Classroom Name (Column C)** - If your site holds an Article 47 permit, use the name on your permit. Otherwise name the first room "Room 1," the second room "Room 2," etc.
- **Age Served (Column F)** - Use the drop down to select one of the five age brackets.
- **School Day and Year Slots (Column G)** - Enter the number of slots you plan to offer in this classroom for School Day and Year.
- **Extended Day and Year Slots (Column H)** - Enter the number of slots you plan to offer in this classroom for Extended Day and Year.
- **Total Slots (Column K)** - This column will automatically calculate the total number of slots proposed in each classroom. You will not enter information in this column.
- **Validation (Column L)** - If you have entered more slots than are allowed in a class according to DOHMH regulations, or if you have proposed school day and year slots for infants and toddlers instead of extended day and year slots, the cell in column L will indicate that you have

made an error. You will not enter information in this column.

■ Question 6: GFDC Only: How will your GFDC be utilized?

GFDCs should only propose to serve one age group within their one classroom.

- **Age Served (Column C)** - Use the drop down to select one of the two age brackets (only 3-K for All or Pre-K for All are allowed for GFDCs).
  - **School Day and Year Slots (Column G)** - Enter the number of slots you plan to offer in this classroom for School Day/Year.
  - **Extended Day and Year Slots (Column H)** - Enter the number of slots you plan to offer in this classroom for Extended Day and Year.
  - **Total Slots (Column K)** - This column will automatically calculate the total number of slots proposed in each classroom. You will not enter information in this column.
  - **Validation (Column L)** - If you have entered more than 12 slots in total, the cell in column L will indicate that you have made an error.
- 
- Summary (for DOE use only)  
This section contains a summary of the slots, classrooms, and service model(s) you have proposed. While you will not be able to change any information in this section directly, you may use it as a way to check over your proposal. If the information in this section looks different from what you anticipated, you should review your answers to Questions 1-6 for accuracy.

If the formulas in this section do not appear to be functioning correctly please refer to the instructions on automatic workbook calculations at the beginning of this section.

#### iv. Tab 2: Program Costs Proposal

- Program Costs Proposal Overview  
This section states the expectations that your proposed costs should meet:
  - Reasonableness - Your proposed costs should be reasonable. They should not exceed what a reasonable person would pay for an item, staff member, or service in similar circumstances. They should also not discount or under-state the costs of operating the program your proposal describes. If your proposal includes a service, you must reasonably represent what it will cost to operate

in this tab.

- Fairly Allocated - The purpose of this budget is to accurately represent the costs of operating the program you have proposed. If there are items, staff members, or services that will also benefit a program operating at your site but not solicited in this RFP, the cost for that item, staff member, or service must be split fairly between the two programs. (e.g. if your proposal is for School Day and Year slots only but your program will be open during the summer months to children whose parents pay an additional fee, then 3 of the 12 months of your rent go to benefit a private program and cannot be allocated to your proposal budget.)

- Classroom Costs

This RFP defines classroom costs as costs that can be directly attributed to a single classroom. The cost categories that fall under this definition are:

Teaching staff (lead teachers, assistant teachers, floating teaching staff, substitute teachers), Instructional Materials and Supplies, Instructional Equipment/Furniture, Instructional Field Trips, and Meals and Snacks.

- Classroom: Personnel Services (PS)

Use the rows provided (rows 21-68) to enter information about your classroom staff. **Please leave any rows you do not need blank.** You should know in advance what the proposed wages are for each member of your teaching staff.

If your proposed staff roster includes a position that splits time between a classroom function and a programmatic and operational support function then you will need to list each function as a different position, split between the two cost categories. (e.g. if you are proposing to hire a staff member who will spend 75% of their time as a family coordinator and 25% as an extended day teacher, then they should have a line in Classroom Personnel Services that represents 25% of their wages and a second line in Program and Operational Support Personnel Services that represents the remaining 75%.)

You will be asked to fill out the following information for every staff line:

- **Staff Title & Classroom Name (Column A)** - Type in the position title and the classroom name, separated by a dash (e.g. Lead teacher - room 1).
- **Annual Salary (Column B)** - Enter the position's annual salary. For hourly staff, estimate total annual earnings.
- **Fringe Rate (Column C)** - Enter the fringe rate for **this position**. Unlike in previous RFPs and current DOE practice, fringe rates may vary between roles. At a minimum, you must ensure that you account for all federal, state, and local required payroll taxes.
- **% of Cost Allocated to Services Proposed in this RFP**

**(Column D)** - Fill in the percentage of the position's salary related to the services proposed under this RFP. If you are unsure of how to calculate this, ask yourself the following:

- Would all of this person's children be in slots funded by this RFP?
- Would this person spend all of their work time working on the program in this proposal?

If the answer to both questions is yes, then enter 100% into this column. If the answer to either question is no then you will need to calculate a fair and reasonable allocation based on this position's job description. Enter that percentage into the cell in this column.

- **Total Annual Cost Allocated to this Budget (Column E)** - Calculated automatically.
- **Explanation of Allocation (Column F)** - Provide a short description of the methodology used to calculate the position's salary and the allocation from column D.

The subtotal at the end of this section (row 70) should include the total portion of your payroll for classroom personnel services that can be attributed to the birth to five classroom budget. You should have budgeted for at least the minimum number of staff members you will need to staff the classrooms you proposed on the 'Service Model Proposal' tab.

○ Classroom OTPS

Classroom OTPS are costs that are directly associated with instructing and caring for children in the classroom. Current Pre-K for All and 3-K for All proposers should be aware that this section is not the same as the DOE's current definition of instructional costs. Instructional Costs as previously defined are now distributed between the Classroom OTPS and the Programmatic and Operational Supports OTPS.

Please be aware that field trips that require transportation must adhere to all policies outlined in *Attachment H - Birth-to-Five Policy Appendix* of this RFP. These include private busing with Child Safety Restraint Systems (car seats). The DOE will not provide buses for contracted Birth to Five programs.

Proposers will be required to provide the following information for each cost category:

- **Total Annual Cost (Column C)** - Enter the estimated annual cost for the cost category. Please be sure to calculate a reasonable cost based on the number of slots and service model that you are proposing.
- **% of Cost Allocated to Services Funded by this RFP (Column**

**D)** - Fill in the percentage of the cost related to the services proposed under this RFP. The percent in this column should accurately reflect the distribution of benefit to children from items paid for in these categories. For example:

- *Example 1:* Your program purchases classroom supplies that are only used by children served under this proposal. The percent allocation to DOE is 100%.
- *Example 2:* Your program operates for 6 hours and 20 minutes only, followed by private, tuition-based after school care for an additional 3 hours and 10 minutes in the same classrooms. Only 66.7% of your furniture/equipment costs can be allocated to the DOE (6 hours 20 minutes of DOE-funded programming divided by 9 hours and 30 minutes total day length).
- **Total Annual Cost Allocated to this Budget (Column E)** - calculated automatically.
- **Explanation of Allocation (Column F)** - Provide a short description of the methodology used to calculate the cost allocation; the two examples above are an appropriate level of detail.

The subtotal at the end of this section, row 93, will reflect the total budget for classroom OTPS costs that you are proposing.

- Programmatic and Operational Support Costs
  - Programmatic and Operational Support Costs: PS  
Programmatic and Operational Support Personnel include all of the staff members who are not explicitly included in Classroom PS. This could include a wide range of staff roles, including Education Director, leadership, finance staff, etc. Please be aware that your proposed staffing plan must comply with your DOHMH permit's regulations for Education Directors.

Use the rows provided (rows 110-119) to enter information on your programmatic and operational support staff. **Please leave any rows you do not need blank.** For each member of your staff you should know in advance what their proposed wages are and if those wages will be hourly or salary.

Be sure to include a row for any staff members from Classroom PS who split their time between classroom time and other functions. For more detailed instructions and examples see the section on Classroom PS above.

You will be asked to fill out the following information for every staff line:

- **Staff Title (Column A)** - Type in the position title.
- **Annual Salary (Column B)** - Enter the position's annual salary. For hourly staff, estimate total annual earnings.
- **Fringe Rate (Column C)** - Enter the fringe rate for **this position**. Current Pre-K for All and 3K programs should be aware that this budget template differs from previous budgets in this respect. Fringe rates may differ between staff members if that is the practice of your proposed program. At a minimum, you must ensure that you account for all federal, state, and local required payroll taxes.
- **% of Cost Allocated to Support Services Proposed in this RFP (Column D)** - Fill in the percentage of the position's salary related to the services proposed under this RFP. If you are unsure of how to calculate this, ask yourself the following:
  - Will all of the children and families who benefit from this person's work be in slots funded by this RFP?
  - Would this person spend all of their work time working to support the program in this proposal?If the answer to both questions is yes, then enter 100% into this column. If the answer to either question is no then you will need to calculate a fair and reasonable allocation based on this position's job description. Enter that percentage into the cell in this column.
- **Total Annual Cost Allocated to this Budget (Column E)** - Calculated automatically.
- **Explanation of Allocation (Column F)** - Provide a short description of the methodology used to calculate the position's salary, and the allocation from column D.

The subtotal at the end of this section (row 121) should include the total portion of your payroll that can be attributed to the birth to five programmatic and operational support budget.

- Programmatic and Operational Support Costs: OTPS  
Programmatic and Operational Support OTPS cost categories represent non-personnel costs for operating the program, such as administration, family and community engagement, staff development, and professional services/consultant fees.

Proposers will be required to provide the following information for each cost category:

- **Total Annual Cost (Column C)** - Enter the estimated annual cost for the cost category. Please be sure to calculate a reasonable cost based on your proposed program and the services

represented in your Structured Proposal Form.

- **% of Cost Allocated to Services Proposed in this RFP (Column D)** - Fill in the percentage of the cost related to the services proposed under this RFP. The percent in this column should accurately reflect the distribution of benefit to children from items paid for in these categories. For example:
  - *Example 1:* Your program purchases a computer that will only be used by the Education Director, who only supports services proposed under this RFP, and whose salary is 100% DOE-funded. The percent allocation for the cost of the computer to the DOE is 100%.
  - *Example 2:* Your program purchases office supplies that are shared among multiple departments. You serve 40 children under this RFP, and also have 40 children that pay private tuition. The percent allocation for the cost of the supplies to the DOE is 50%.
  - **Note:** Using the number of children served across programs is only one of several valid cost allocation methodologies you may choose to employ. Others include but are not limited to: square footage devoted to a given program, hours of operation, and/or percentage of staff time devoted to the program.
- **Total Annual Cost Allocated to this Budget (Column E)** - calculated automatically.
- **Explanation of Allocation (Column F)** - Provide a short description of the methodology used to calculate the cost allocation from column D; the two examples above are an appropriate level of detail.

- Occupancy Costs

Occupancy costs include mortgage/rent payments and other facilities-related costs. Because occupancy costs vary widely from site to site and over time, funding will be determined based on the program's documented costs and reasonable projection of market rates. All amounts budgeted in this category must be supported by reasonable proof of cost (e.g. lease agreements, professionally prepared estimates, previous year's expenses, etc.) during the budget development process.

**If you are applying for a City Owned or Leased Facility, do not budget for any occupancy costs. If awarded, the DOE will provide additional information about the cost of utilities (if they are not paid for by the DOE) during the budget development process.**

**If you are proposing for a NYCHA based program, please refer to your**

**lease agreement with NYCHA. You should only propose costs for those categories not covered by your lease.**

Proposers will be required to provide the following information for each cost category:

- **Total Annual Cost (Column C)** - Enter the estimated annual cost for the cost category. Please be sure to calculate a reasonable cost based on the number of slots and service model that you are proposing.
- **% of Cost Allocated to Services Proposed in this RFP (Column D)** - Fill in the percentage of the cost related to the services proposed under this RFP. The percent in this column should accurately reflect the distribution of benefit to children from items paid for in these categories. For example:
  - *Example 1:* Your program rents a commercial space, is the sole tenant, and only operates services proposed under this RFP. The percent allocation for occupancy costs to the DOE is 100%.
  - *Example 2:* Your program rents a commercial space. You use 3 classrooms to provide the services proposed under this RFP, and 2 additional classrooms for children that pay private tuition. The percent allocation for the cost of the supplies to the DOE is 60% (3 out of the 5 classrooms).
  - Note: As with programmatic and operational support, using the number of classrooms utilized by each funding source is only one of several valid cost allocation methodologies you may choose to employ.
- **Total Annual Cost Allocated to this Budget (Column E)** - calculated automatically.
- **Explanation of Allocation (Column F)** - Provide a short description of the methodology used to calculate the cost allocation; the two examples above are an appropriate level of detail.

The subtotal at the end of this section, row 174 will represent your entire occupancy budget.

- Summary  
You are not required to enter any information into this section. The totals in column E will calculate automatically based on the costs that you entered in the preceding sections. Please use this section to confirm your total costs reflect a reasonable estimation of an annual budget.



## **v. Tab 3: Start-up Proposal**

Use this tab to request one time start-up funding in one of the three categories that will be available through this RFP. Details on what types of funding will be available and what types of projects are allowed can be found in Section 3E - “Start-up Funding” of this RFP.

- Renovation, New Construction, and Facility Upgrades
  - Question 1: How much funding are you requesting?  
Enter the amount of funding you are requesting for this type of start-up project into cell E5.
  - Question 2: Anticipated Scope of Work  
In cell E7 enter your proposed site’s current permitted capacity.  
In cell E8 enter the permitted capacity of your proposed site once you complete the proposed construction or facility upgrade.  
(If the permitted capacity will not change, use the space in row 11 to explain how this work will maintain your current permitted capacity.)
  - Question 3: General Contractor Information (if you have hired one)  
If you have hired a general contractor please enter their name into cell H7 and their work phone number (including area code: xxx-xxx-xxxx) into cell I8.  
If you have not hired a general contractor, please type “NA” into cell H7.
  - Question 4: Please provide a 3-5 sentence narrative on how you intend to use this start-up funding if you receive it.  
Use row 11 to provide a summary of the work that would be funded with this start-up, if you receive it. The city will use this summary to assess the viability of your planned work based on the evaluations of our partner agencies. Please provide the information on what you are proposing to have done, when the work will happen, and the name of an onsite contact person.
- Repairs and Maintenance
  - Question 1: How much funding are you requesting?  
Enter the amount of funding you are requesting for this type of start-up project into cell E15.
  - Question 2: Please provide a 3-5 sentence narrative on how you intend to use this start-up funding if you receive it.  
Use row 18 to provide a summary of the work that would be funded with this start-up, if you receive it. The city will use this summary to assess the viability of your planned work based on the evaluations of our partner agencies. Please provide the information on what you are proposing to

have done, when the work will happen, and the name of an onsite contact person.

- Furniture and Equipment
  - Question 1: How much funding are you requesting?  
Enter the amount of funding you are requesting for this type of start-up project into cell E22.
  - Question 2: Please provide a 3-5 sentence narrative on how you intend to use this start-up funding if you receive it.  
Use row 25 to provide a summary of the items that your program would purchase if awarded these start-up funds. Please include details on how the purchase of these items would support the program you are proposing.

#### vi. **Tab 4: Summary (for Agency Use)**

This tab is for agency use only and you will not make any changes to the information in this tab. The information that appears in the fields in this tab are automatically populated from your responses in Tabs 1, 2, and 3. You may use this tab to ensure the accuracy of the final figures produced by your responses in Tabs 1, 2, and 3.

Please note that you will enter the **Total Contract Value** from cell F37 of this tab into the “Service Unit - Total Funding Request” field when completing the “Proposal Details” tab in HHS Accelerator.

#### c. **Doing Business Data Form [Required Document]**

Pursuant to Local Law 34 of 2007, amending the City’s Campaign Finance Law, the City is required to establish a computerized database containing the names of any “person” that has “business dealings with the City” as such terms are defined in the Local Law.

In order for the City to obtain the necessary information to establish the required database, vendors responding to this solicitation must complete the [Doing Business Data Form](#), also included in *Attachment C - Doing Business Data Form*. Please pay particular attention to page 2 of the form and **ensure the form is appropriately signed**. This form must be hand-signed, scanned, and submitted in the indicated required document field in HHS Accelerator. **Electronic signatures will not be accepted**. The submission of a Doing Business Data Form that is not accurate and complete may result in a finding of non-responsiveness.

**d. Evidence of Site Control for Non-Permitted Sites [Optional Document], City Owned or Leased Facilities Questions [Optional Document], and General Permitting Considerations for All Providers**

Proposers must **identify a proposed program site that is physically located in New York City**. All proposers are asked to submit the address of their proposed site in their Proposal Details (see Section 4D - “Instructions on Completing the “Proposal Details” Tab in HHS Accelerator” for more information). Proposers to this RFP may submit a proposal with:

- A proposed privately owned or leased facility (either permitted or non-permitted; includes NYCHA-based facilities); *or*
- A proposed City owned or leased facility (available facilities are outlined in *Attachment E - City Owned or Leased Facilities List*).

If your proposed privately owned or leased site is **already permitted**, you will be asked to provide your permit or license number in the “Proposal Details” tab of HHS Accelerator (see Section 4D - “Instructions on Completing the “Proposal Details” Tab in HHS Accelerator” for additional information). Proposers with permitted sites should also review Section 4F(d)iii - “Evidence of Site Control for Non-Permitted Sites, City Owned or Leased Facilities Questions, and General Permitting Considerations for All Providers: Submission Information for Permitted Sites Located in Privately Owned or Leased Facilities” for more information on required submissions.

Proposers planning to locate their program at a privately owned or leased **non-permitted** site must submit **Evidence of Site Control**. Please see Section 4F(d)ii - “Evidence of Site Control for Non-Permitted Sites, City Owned or Leased Facilities Questions, and General Permitting Considerations for All Providers: Additional Information on Evidence of Site Control for Non-Permitted, Privately Owned or Leased Sites” for detailed requirements regarding this submission.

Providers proposing services located in a **City owned or leased facility** will need to submit a completed **Attachment D - City Owned or Leased Facilities Questions**. Please see Section 4F(d)i - “Evidence of Site Control for Non-Permitted Sites, City Owned or Leased Facilities Questions, and General Permitting Considerations for All Providers: Additional Information on City Owned or Leased Facilities Questions” as well as *Attachment E - City Owned or Leased Facilities List* for more information.

**All proposers** should review Section 4F(d)iv - “Evidence of Site Control for Non-Permitted Sites, City Owned or Leased Facilities Questions, and General Permitting Considerations for All Providers: General Permitting Considerations for All Providers” for more information on permitting requirements, guidance, and additional resources.

i. **Additional Information on City Owned or Leased Facilities Questions [Optional Document]**

A proposer may **submit a proposal to occupy a facility that is directly owned or leased by the City**. Providers interested in proposing to locate their program in a City owned or leased facility are encouraged to closely review the details outlined in Sections 1C - “RFP Eligibility Requirements” on eligibility and competition pools, as well as *Attachment E - City Owned or Leased Facilities List* for a complete list of available sites and additional information and requirements. Please note that the address for your proposed site provided in your “Proposal Details” should match the address for your proposed building as outlined in *Attachment E - City Owned or Leased Facilities List*. Additionally, providers proposing to locate their program in a City owned or leased facility must select the competition pool that corresponds with your selected facility, as indicated in *Attachment F - Competition Pools List*. For more details on completing your Proposal Details, please see Section 4D - “Instructions on Completing the “Proposal Details” Tab in HHS Accelerator.”

Programs proposing to provide services in City owned or leased facilities are **required to propose both school day and year slots and extended day and year slots**. Please note that *Attachment E - City Owned or Leased Facilities List* details the anticipated number of children that the building will serve and provides a breakdown by age group and number of classrooms. Proposers should **use these numbers as the basis of their proposal and budget**.

Proposers should also use the service need resources included in Section 1C(d) - “Geographic Considerations: Need for Services and Competition Pools” and their understanding of the community need in the area of the facility to propose how many school day and year slots and how many extended day and year slots will be provided at the facility. Each facility **must** provide a minimum of 6 extended day and year slots. Proposers should ensure that the total number of proposed school day and year slots and the total number of extended day and year slots indicated in their Budget Form add up to the total number of “Anticipated Slots by Age Group” for each age indicated for their proposed facility in *Attachment E - City Owned or Leased Facilities List*, column N.

Providers proposing services in City owned or leased facilities will also need to answer the 3 additional questions outlined in *Attachment D - City Owned or Leased Facilities Questions*. City Owned or Leased Facilities Questions must be completed using the provided form in *Attachment D - City Owned or Leased Facilities Questions*. Please note that this document must be saved and submitted in Word (.doc, .docx) format. You may **not** submit this form as a PDF (.pdf) or any other file format other than Word.

Your completed City Owned or Leased Facilities Questions should be uploaded into

an optional document slot labeled “Optional- City Owned or Leased Facilities Questions” in HHS Accelerator, and should be named as follows to ensure proper consideration of this documentation during the evaluation process:

*City Owned or Leased Facilities Questions for [YOUR PROPOSAL TITLE HERE]*

Please note that **if you are awarded your proposed City owned or leased facility through this RFP, you will be required to work with the DOE and partner City agencies to obtain a DOHMH permit for your awarded facility.** In some sites, service start dates may be delayed because site repairs and renovations are needed, or for other reasons.

*Note: Pending availability of funds, the DOE may provide custodial and maintenance support and pay for utilities for City owned or leased facilities, as applicable for the facility type and/or lease agreement. If these services are not provided through the DOE, programs will be funded to provide custodial and maintenance support and for utilities accordingly.*

## **ii. Additional Information on Evidence of Site Control for Non-Permitted, Privately Owned or Leased Sites [Optional Document]**

Proposers planning to locate their program at a privately owned or leased **non-permitted site** must submit **Evidence of Site Control**.

- Please note that any sites where the proposer is currently not permitted must be submitted as a “non-permitted site.” If your proposed site is permitted, but for a different organization or program, you should submit your proposal as a “non-permitted site,” as you will need to complete the permitting process to have the site permitted in your organization’s name.
- Please note that if you are proposing **extended day and year** services, you must be permitted as an Article 47 provider. If you are proposing these services but are not already permitted as an Article 47 provider (for example, you are permitted as an Article 43 provider), you should submit your proposal as a “non-permitted site,” as you will need to complete the permitting process to secure a new Article 47 permit.
- Please note that **infant and toddler services** require a separate permit from 3-K and pre-K (preschool) services. If you are proposing infant and/or toddler services, but are not currently permitted to serve infants and toddlers (or, conversely, if you are permitted to serve only infants and toddlers but are proposing 3-K and/or pre-K services), you should submit your proposal as a “non-permitted site,” as you will need to complete the permitting process to secure a new permit for the related ages.

If you propose with a **non-permitted site**, you must provide documentation that sufficiently demonstrates a connection between your program and the site where you

intend to provide your early education services, also known as “Evidence of Site Control.” Examples of this **Evidence of Site Control** may include, but are not limited to:

- A copy of a deed;
- A lease, rental, or occupancy agreement with the landlord of the location at which you intend to offer services;
- A letter from the prospective landlord of the location at which you intend to offer services, which indicates the intent of the landlord to enter into an agreement upon confirmation of your award;
- A copy of a mortgage bill that indicates the location of the site at which you intend to offer services;
- A copy of a property tax statement that indicates the location of the site at which you intend to offer services; or
- A copy of a utility bill that can demonstrate proof of address and identity.

Evidence of Site Control documentation should be uploaded into an optional document slot labeled “Optional-Evidence of Site Control” in HHS Accelerator, and should be named as follows to ensure proper consideration of this documentation during the evaluation process:

*Evidence of Site Control for [YOUR PROPOSAL TITLE HERE]*

Programs that cannot provide sufficient Evidence of Site Control may be found non-responsive or ineligible for award. Further details regarding the viability of proposed locations are outlined in Section 5B(b) - “Site Viability.” Please note that **you must consider your site “non-permitted” and submit requisite documentation accordingly if any of the following are true:**

1. Your program is not yet permitted to provide child care services in your proposed space (even if the space is already permitted for another organization);
2. Your proposed site is permitted in your name with an Article 43 permit, and you are proposing extended day and year services; and/or
3. Your proposed site is permitted in your name, but you are proposing to serve an age group that you are not currently permitted for (e.g. you are permitted to serve preschoolers, but you are proposing to serve infants and toddlers).

Additionally, you will be asked to indicate your permitting status and construction requirements in your “Proposal Details,” and to provide further details on Tab 3 - “Start-up Proposal” in your Budget Form (see Section 3D - “Budget Guidance” above for more details). If your proposed site requires permitting or construction and you do not notify the DOE, your award may be rescinded. Sites undergoing construction should be prepared to work closely with the Department of Buildings (DOB) to obtain work permits in a timely manner.

City agencies may conduct site visits and/or interviews in order to verify your site control and/or to assess cost, timeline, and overall scope of work needed to complete the permitting, buildout, and/or renovation of your privately owned or leased space, if applicable. The results of these assessments will be considered in award recommendation decisions. You will not be recommended for award if the proposed site is deemed not viable based on cost and/or timeline and scope of overall work needed. For both permitted and non-permitted sites, if you propose a site in response to this RFP and lose site control during the proposal review process, you may not be selected to advance to later stages of award consideration. If you propose a site in response to this RFP and lose site control after award, your award may be rescinded.

The time required to complete DOHMH certification (required for Article 47 or Article 43 permits) can be significant, and typically lasts 3 to 6 months. Please note that all sites must have a valid Certificate of Occupancy (C of O), Temporary Certificate of Occupancy (TCO), or Letter of No Objection (LNO) from the DOB to receive a DOHMH permit. Additionally, every DOE-contracted early education program must abide by New York City fire code and all related regulations. The DOE strongly recommends that if a new permit is needed for your proposed site, you **begin the permitting process at least 3-6 months before the permitting deadline for the program model you are proposing**. In the event that you are recommended for award, **the DOE reserves the right to rescind your award recommendation if your proposed site is not properly permitted by April 1, 2020 for programs beginning services in July 2020, or June 1, 2020 for programs beginning services in September 2020.**



iii. **Submission Information for Permitted Sites Located in Privately Owned or Leased Facilities** (see Section 4F(d)i - “Evidence of Site Control for Non-Permitted Sites, City Owned or Leased Facilities Questions, and General Permitting Considerations for All Providers: Additional Information on City Owned or Leased Facilities Questions”)

- If your proposed privately owned or leased site is **already permitted**, you will be asked to provide your permit or license number in the “Proposal Details” tab in HHS Accelerator (see Section 4D - “Instructions on Completing the “Proposal Details” Tab in HHS Accelerator” for additional information). The DOE will use this information to verify that your proposed services and slots do not exceed the permitted capacity of your space. If your space is permitted, but you intend to perform construction and other related work to increase the capacity of your space, you will be asked to indicate this in the “Proposal Details” tab of HHS Accelerator, and provide further details on the “Start-up Proposal” tab in your Budget Form (see Section 3D - “Budget Guidance” above for more details). **If your proposed site requires construction and you do not notify the DOE, your award may be rescinded.** Sites undergoing construction should be prepared to work closely with DOB to obtain work permits and complete work in a timely manner.
- Please note that if your proposed site location is currently occupied by another operator, the current provider is required to relinquish their permit in writing to the DOHMH before the permitting process for your program can proceed. If your program is permitted for a different site, you will need a new permit for your new proposed site location.
- Additionally, the **provider name on your permit must match the Provider Legal Name that you indicated when submitting your prequalification application in HHS Accelerator**, and any permit changes must be completed before your contract is sent for registration. Your Provider Legal Name is verifiable by referencing the Evidence of Business Type document that you submitted at prequalification in HHS Accelerator.
- Please be aware that **all sites, even if currently permitted and licensed, will undergo health and safety inspections prior to being allowed to open as DOE-contracted sites.** As such, it is essential that your site be in compliance with all regulatory standards and free of violations. If your site has open violations with the DOHMH or other regulatory agencies, you are encouraged to expediently remedy these issues, as such issues may make you ineligible for award.
- City agencies may conduct site visits and/or interviews in order to verify your site control and/or to assess cost, timeline, and overall scope of work needed to complete the permitting, buildout, and/or renovation of your privately owned or leased space, if applicable. The results of these assessments will be considered in award recommendation decisions. You will not be recommended for award if the proposed site is deemed not viable based on



cost and/or timeline and scope of overall work needed. For both permitted and non-permitted sites, if you propose a site in response to this RFP and lose site control during the proposal review process, you may not be selected to advance to later stages of award consideration. If you propose a site in response to this RFP and lose site control after award, your award may be rescinded.

#### iv. General Permitting Considerations for All Providers

DOHMH permits are specific to the proposed site location and the program operator. If your proposed site has been permitted previously for a different provider, you will need to become permitted at the site as the new provider.

Please note that if your proposed site location is currently occupied by another operator, the current provider is required to relinquish their permit in writing to the DOHMH before the permitting process for your program can proceed. If your program is permitted for a different site, you will need a new permit for your new proposed site location.

Additionally, the **provider name on your permit must match the Provider Legal Name that you indicated when submitting your prequalification application in HHS Accelerator**, and any permit changes must be completed before your contract is sent for registration. Your Provider Legal Name is verifiable by referencing the Evidence of Business Type document that you submitted at prequalification in HHS Accelerator.

You will be asked to indicate your permitting status and construction requirements in your Proposal Details, and to provide further details on Tab 3 - "Start-up Proposal" in your Budget Form (see Section 3D - "Budget Guidance" above for more details). If your proposed site requires permitting or construction and you do not notify the DOE, your award may be rescinded. Sites undergoing construction should be prepared to work closely with the Department of Buildings (DOB) to obtain work permits in a timely manner.

City agencies may conduct site visits and/or interviews in order to verify your site control and/or to assess cost, timeline, and overall scope of work needed to complete the permitting, buildout, and/or renovation of your privately owned or leased space, if applicable. The results of these assessments will be considered in award recommendation decisions. You will not be recommended for award if the proposed site is deemed not viable based on cost and/or timeline and scope of overall work needed. For both permitted and non-permitted sites, if you propose a site in response to this RFP and lose site control during the proposal review process, you may not be selected to advance to later stages of award consideration. If you propose a site in response to this RFP and lose site control after award, your award

may be rescinded.

The time required to complete DOHMH certification (required for Article 47 or Article 43 permits) can be significant, and typically lasts 3 to 6 months. Please note that all sites must have a valid Certificate of Occupancy (C of O), Temporary Certificate of Occupancy (TCO), or Letter of No Objection (LNO) from the DOB to receive a DOHMH permit. Additionally, every DOE-contracted early education provider must abide by New York City fire code and all related regulations. The DOE strongly recommends that if a new permit is needed for your proposed site, you **begin the permitting process at least 3-6 months before the permitting deadline for the program model you are proposing**. In the event that you are recommended for award, **the DOE reserves the right to rescind your award recommendation if your proposed site is not properly permitted by April 1, 2020 for programs beginning services in July 2020, or June 1, 2020 for programs beginning services in September 2020.**

Providers who are considering proposing a location that is already permitted are encouraged to use the [DOHMH Child Care Connect](#) lookup feature to verify their permit details. If you need to change the name on your permit to match your Provider Legal Name as indicated on your Evidence of Business Type document submitted during prequalification, you must contact your borough office at DOHMH. To find your borough office at DOHMH, please review the [DOHMH Resource List](#). The DOE advises beginning the name change procedure as soon as possible. If you are awarded, a name discrepancy on your permit will delay the contracting process.

Please be aware that **all sites, even if currently permitted and licensed, will undergo health and safety inspections prior to being allowed to open as DOE-contracted sites**. As such, it is essential that your site be in compliance with all regulatory standards and free of violations. If your site has open violations with the DOHMH or other regulatory agencies, you are encouraged to expediently remedy these issues, as such issues may make you ineligible for award.

You should **immediately address any open DOHMH, DOB, and/or New York City Fire Department (FDNY) violations** issued for your proposed program site. Failure to do so may result in rescindment of your award. You may find the below resources helpful in assessing whether your proposed site has outstanding violations:

- [DOHMH Child Care Connect](#)
- [DOB Building Information Search](#)

Please note that **any** program previously permitted by DOHMH without an interior fire alarm system may be subject to review by the DOB and FDNY and held to the latest code requirements.

You can find an overview of the permitting process and helpful resources on the

[DOHMH website](#). You should also review the information and resources below to assess your proposed site's potential viability:

- [DOHMH Site Viability Checklist](#)
- [Article 47 Regulation](#)
  - Programs applying for an **Article 47 permit** (Group Child Care Center providers) are required to register and attend a mandatory pre-permit orientation in order to become permitted. You can sign up on the [DOHMH website for pre-permit orientation](#) by checking the box next to “Group Child Care and Summer Camp Orientation Sessions” and clicking “Continue” at the bottom of the page to access additional instructions. The DOE strongly encourages all providers to sign up for and attend this pre-permit orientation as soon as possible in order to move forward with the permitting process.
  - All programs applying for a new Article 47 permit (Group Child Care Centers) must be equipped with an interior fire alarm system approved by the FDNY. All programs applying for an Infant-Toddler (0-2) permit from DOHMH must have a sprinkler system. Additionally, any program previously permitted by DOHMH without an interior fire alarm system may be subject to review by DOB and FDNY and held to the latest code requirements.
- [Article 43 Regulation](#)
  - Programs applying for an **Article 43 permit** (for School-Based Child Care providers) are required to start the permitting process by creating an account in [Accela](#).
- [Group Family Day Care](#)
  - Group Family Day Cares are regulated by New York State and ***not*** Article 47 of the New York City Health Code. You should carefully review [Part 416 of the State regulations](#) to ensure you fully understand and can abide by the State's requirements.
  - Programs applying for a **Group Family Day Care license** are required to begin the licensing process through the New York State Office of Children and Family Services (OCFS) by creating an account at [OCFS - Create Account](#), which will allow you to complete the licensing orientation and request an application to be licensed by OCFS. The application typically arrives 3-4 weeks after the initial request.
  - The OCFS process for **obtaining a new Group Family Day Care license** is highly time-sensitive, as the required documentation, inspections, and approvals must be finalized within a 90-day period that commences upon submission of your application to OCFS. If you are proposing a non-licensed residence, the DOE strongly encourages you to submit an application to become a licensed Group Family Day Care to OCFS before submitting your proposal to this RFP. If you have not applied for a license by **July 1, 2019**, you are likely to be found ineligible for award, as the DOE will be unable to assess the viability of your

proposed location until you have submitted an application package to OCFS and received a DOHMH inspection to determine your site's viability for a license.

## Section 5 – Basis for Contract Award and Evaluation Procedures

### A. What to Expect Next

#### a. Responsiveness

After the proposal submission period closes, the DOE will review submitted proposal documents to ensure completeness and accuracy as outlined in Section 4E - “Summary of Required and Optional Documents.” If it is determined that a proposer has not submitted one or more required documents or has provided inaccurate or insufficient information on documents, the DOE may determine that the proposal is non-responsive. **Proposals that are determined to be non-responsive will not be evaluated.**

If the DOE requires revisions to submitted documents, the Provider Contact listed by the proposer in HHS Accelerator will be notified and submitted documents will be returned for revisions through HHS Accelerator. **Proposers must re-submit documents that are returned for revision through HHS Accelerator, with required revisions due by the date outlined in the notification email** in order to be found responsive.

Additionally, if proposers return documents within this timeframe but re-submissions are still incomplete or inaccurate, the DOE may find the proposer non-responsive and will not evaluate the proposal.

#### b. Evaluation Next Steps

If a proposer is found to be responsive to the basic requirements of the RFP, a team of DOE evaluators will assess the quality of the written proposal and the proposer’s demonstrated history of providing high-quality early childhood services.

During the evaluation period, the DOE and/or partner agencies may reach out to the Provider Contact listed in HHS Accelerator to request site visits, interviews, phone calls, or documentation in order to gather additional information about a proposed program, proposal submission, or the viability of a proposed site. If required, site visits may occur without advance notice, but within a range of time specified to the Provider Contact after the proposal due date. **A proposal may be deemed ineligible for award if a proposer does not respond to requests or demonstrates an unwillingness or inability to let the DOE and/or partner agencies conduct a site visit.**

All notifications of advancement or non-advancement to later stages of award consideration will be sent through the HHS Accelerator system and via email to the Provider Contact in Fall 2019.

Any vendor who believes that there has been unfairness, favoritism, or impropriety in the proposal process should inform the Comptroller, Office of Contract Administration, 1

Centre Street, Room 1005, New York, NY 10007, (212) 669-2323. Reports of criminal misconduct or conflicts of interest associated with the proposal process shall be directed to the Special Commissioner of Investigation for the New York City School District, 80 Maiden Lane, 20th Floor, New York, NY 10038, (212) 510-1500.

## B. Proposal Evaluation Considerations

Award recommendations will be based on the following considerations:

- Proposal Quality and Demonstrated Effectiveness
- Site Viability
- Service Need in Geographic Area
- Proposed Services: Socioeconomic Integration and Continuity of Care

These considerations are described in more detail below.

While the DOE may consider information gathered through site visits, interviews, demonstrations, and/or consideration of evidence related to a provider's history of demonstrated effectiveness when making award recommendations, the DOE reserves the right to advance or non-advance proposals to later stages of award consideration solely on the basis of a written proposal. Therefore, initial written proposals should contain a program's best programmatic and price terms.

### a. Quality and Demonstrated Effectiveness

Proposals will be assigned a score between 0 and 100, which will be determined based on consideration of:

- Written answers provided throughout the Structured Proposal Form (SPF); and
- Evidence of demonstrated quality (as detailed in Section 4F(a) - "Structured Proposal Form and Program Quality, Instructional Quality, and Safety and Supervision Documentation" and Questions 2-4 of the SPF); and, if necessary,
- Additional evidence gathered during the evaluation process, such as through site visits and/or interviews with program leadership.

Scoring sections include:

1. Program Overview & Demonstrated Effectiveness [65 total points; SPF Questions 1-4]
2. [Early Childhood Framework for Quality \(EFQ\)](#) Elements [35 total points; SPF Questions 5-14]

The criteria in each section, as well as the percentage of points allocated to each criterion, are further outlined in the table below. The table also lists the related proposal content that may impact the score for each criterion. Please note that additional evidence gathered during the evaluation process through site visits and/or interviews with program leadership may impact the final score for any criterion.

Program Overview & Demonstrated Effectiveness		
Criteria	Percentage of points for this section	Related Proposal Content
Program Vision and Community Need	23%	SPF Question 1
Demonstrated Effectiveness: Program Quality	31%	SPF Question 2 and evidence of demonstrated quality as detailed in Section 4F(a) - "Structured Proposal Form and Program Quality, Instructional Quality, and Safety and Supervision Documentation"
Demonstrated Effectiveness: Instructional Quality	23%	SPF Question 3 and evidence of demonstrated quality as detailed in Section 4F(a) - "Structured Proposal Form and Program Quality, Instructional Quality, and Safety and Supervision Documentation"
Demonstrated Effectiveness: Safety and Supervision	23%	SPF Question 4 and evidence of demonstrated quality as detailed in Section 4F(a) - "Structured Proposal Form and Program Quality, Instructional Quality, and Safety and Supervision Documentation"
Total points available for these criteria:		65

Early Childhood Framework for Quality (EFQ) Elements		
Criteria	Percentage of points for this section	Related Proposal Content
Element 1: Respect and value differences	15%	SPF Questions 5-6
Element 2: Create safe and positive environments	14%	SPF Question 7
Element 3: Provide opportunities for active learning and responsive instruction	23%	SPF Questions 8-9
Element 4: Promote families' roles as primary caregivers, teachers, and advocates	15%	SPF Questions 10-11
Element 5: Work collaboratively towards continuous quality improvement	14%	SPF Question 12
Element 6: Demonstrate strategic leadership	19%	SPF Questions 13-14
<b>Total points available for these criteria:</b>		<b>35</b>

## b. Site Viability

For proposals for sites located in **privately owned or leased facilities**, City agencies may conduct site visits and/or interviews in order to verify your site control, and/or to assess cost, timeline, and overall scope of work needed to complete the permitting, buildout, and/or renovation of the site, if applicable. The results of these assessments will be considered in award recommendation decisions. Proposers will not be recommended for award if a proposed site is deemed not viable based on cost and/or timeline and scope of overall work needed, or if it is deemed that the proposer does not have sufficient site control over the proposed space (see Section 4F(d) - "Evidence of Site Control for Non-Permitted Sites, City Owned or Leased Facilities Questions, and



General Permitting Considerations for All Programs” for more information).

**Proposers will not be awarded services that are outside of their current or proposed permitted age groups and/or numbers of slots that exceed their current or proposed permitted capacities.** Total capacity for slots and services will be considered across all proposals submitted for the same location (e.g. consideration of a proposer’s ability to fulfill potential awards through other DOE procurements, such as the Head Start/Early Head Start RFP), and proposers will only be recommended for award within their current or proposed permit allowances across all proposals. Proposers intending to change permit type or capacity to accommodate proposed services and slot numbers must submit their proposal as a ‘non-permitted’ site, in addition to detailing proposed changes in their Budget Form, as described in Section 4F(b) - “Budget Form” above.

Please note that only Article 47 providers will be eligible for award for extended day and year services. Proposers that are not currently permitted as Article 47 providers (for example, a current Article 43 provider) but interested in providing extended day and year services must submit their proposal as a ‘non-permitted’ site, and will be subject to related viability consideration. See Section 4F(d) - “Evidence of Site Control for Non-Permitted Sites, City Owned or Leased Facilities Questions, and General Permitting Considerations for All Programs” above for more information regarding Article 47 permitting.

Proposers applying for a Group Family Day Care license are required to complete the online orientation, submit an application package, and receive a DOHMH inspection to be found eligible for recommendation for award. The DOE reserves the right to find proposers ineligible for award if the proposed site was not inspected by DOHMH, or if the residence does not comply with NYS Child Day Care regulations.

For proposals for sites located in **City owned or leased facilities**, proposers are required to submit a completed *Attachment D - City Owned or Leased Facilities Questions* form. Answers provided in this form will be considered in determining award recommendation. Please note that **competition for City owned or leased space is expected to be significant**, as only one proposal per corresponding competition pool can be awarded.

### **c. Service Need in Geographic Area**

Throughout New York City, there are varying levels of need for school day and year and extended day and year services, as well as varying levels of need for infant, toddler, 3-year-old, and 4-year-old services. Through this RFP, the Head Start/Early Head Start RFP, and the Family Child Care Networks RFP, the DOE aims to award slots that align to the needs of each community.

The DOE's goal is to provide extended day and year services to the families that need them most. The total number of extended day and year slots, and the number of infant and toddler slots awarded through this RFP, the Head Start/Early Head Start RFP, and the Family Child Care Networks RFP combined is based on available Head Start and CCBG funding.

Through this RFP, programs may propose school day and year services for 3-year-olds at sites located in any of the 32 community school districts within New York City. The Mayor and Chancellor have announced that it is the City's goal to provide 3-K for All throughout the City; however, currently funding is only included in the City budget for 14 community school districts at this time (referred to as "Budgeted 3-K for All Districts" - community school districts 4, 5, 6, 7, 8, 9, 12, 16, 19, 23, 27, 29, 31, and 32).

Funding may not become available for school day and year 3-K slots in districts other than the Budgeted 3-K for All Districts before the time of award through this RFP. The DOE welcomes proposals for school day and year 3-K slots in all districts in case funding for additional districts should become available. Proposers should be aware that the DOE may choose not to award proposed 3-K services in these districts.

Because **the DOE considers service need by geographic area when determining which proposers will be recommended for award**, providers are encouraged to consider their community's overall need for services when determining which services and how many slots they are proposing (see Section 1C(d) - "Geographic Considerations: Need for Services and Competition Pools" for more information).

The DOE strongly encourages providers to use both the Map of Estimated Service Need and *Attachment G - Estimated Service Need by Zip Code and School District* to inform the proposed service types and slot numbers for their site. While this information is intended to provide guidance for providers in considering which services to offer, please be aware that in making award recommendations, the **DOE will make final determinations based on the most up-to-date data regarding geographically-based service need at the time of award**. Awards will be based on updated community need projections and are all contingent on the availability of funding.

Due to the dynamic nature of service need data, it is possible that an area may have a need for services at the time of RFP release, but may no longer have need by the time award recommendation decisions are made. In such cases, the DOE reserves the right to not recommend a proposed site for award if it is located in an area where additional services are not needed at the time of award recommendation decisions.

The DOE will recommend awarding only the number and type of slots necessary to address the service need identified in each geographic area. In some cases, the total number of proposals received from providers in a single zip code may exceed the level of service need identified at the time of award recommendation decisions. **It is therefore**

**possible for the DOE to award one or more sites in a zip code with need for services and also non-award other sites in the same zip code due to the service need being met.**

At any proposed site, the DOE reserves the right to determine the number of slots awarded and may recommend to award a different configuration of slots across services than proposed. The DOE may award different combinations of pre-K and 3-K slots than a program proposes, or different combinations of infant and toddler slots. For example, if a program proposes to serve four pre-K classes and no 3-K classes, the DOE may award two pre-K classes and two 3-K classes. Or, if a program proposes to serve two 3-K classes, the DOE may award two pre-K classes instead. However, the DOE will not award infant and toddler slots if a program has not proposed to serve either of those age groups, and will not award 3-K nor pre-K slots if a program has not proposed to serve either of those age groups.

If a provider proposes more than one site, the DOE reserves the right to determine the number of program sites and the number of slots at each site to recommend for award, based on demonstrated organizational capability and the best interests of the DOE.

#### **d. Proposed Services: Socioeconomic Integration and Continuity of Care**

##### **i. Proposing School Day and Year Slots and Extended Day and Year Slots**

In an effort to ensure the availability of slots for infants, toddlers, and preschoolers who are eligible under CCBG requirements, and increase opportunities for income-eligible children to be served in the same classroom as children who do not meet eligibility guidelines, the DOE may **prioritize programs who propose both extended day and year slots and school day and year slots** over programs who propose school day and year slots only. Programs offering both extended day and year and school day and year services for 3-K for All and Pre-K for All children will be **required** to provide a minimum of 6 extended day and year slots. In order to foster socioeconomic integration at the classroom level, these programs will also be **required** to include same-aged children who are eligible for each service model in each classroom. In addition, sites that are awarded in both this RFP and the Head Start/Early Head Start RFP will be supported to create economically integrated classrooms that include children funded through the Head Start/Early Head Start RFP and children funded through the Birth-to-Five RFP (school day and year and extended day and year).

For programs who propose extended day and year slots for 3- and 4-year-olds, the DOE may instead choose to recommend to award school day and year slots, should it be determined that there is no additional need for extended day and year slots in the proposed geographic area and/or no additional funding for extended day and year slots is available. If a proposer is **not** interested in providing school day and year slots in place of extended day and year slots at their program, the proposer is asked

to indicate this in their Budget Form (see Section 4F(b) - “Budget Form” for additional details).

## ii. Proposing to Offer Services to More than One Age Group

In an effort to ensure the availability of programs offering continuity of services for families, the DOE may **prioritize providers who propose to serve more than one contiguous age group** when determining which proposers will be recommended for award. For example, a provider proposing one classroom of 3-K and one classroom of pre-K may be prioritized over another provider proposing two classrooms of pre-K. When determining which services to propose, providers are strongly encouraged to consider the following:

- Programs proposing to provide services to infants should strongly consider proposing to serve toddlers, and should propose at least the same number of slots for toddlers as infants.
- Programs proposing to offer 3-K for All should strongly consider proposing to serve both 3-K for All and Pre-K for All, and propose at least the same number of slots for Pre-K for All as 3-K for All.

The DOE also encourages proposers with the capacity and expertise to consider proposing for services for a range of ages, from 6 weeks through pre-Kindergarten, at the same program location, with enough slots in each age group to allow for continuity of services.

**Providers proposing only one classroom or services in a Group Family Day Care (GFDC) setting** should only propose to serve one age group within that room. Single-room programs are encouraged to consider serving older age groups (e.g. 4-year-olds instead of 3-year-olds) in order to minimize transitions for children and families.

**Providers are not encouraged to propose for mixed-age classrooms** for 3-K for All and Pre-K for All. Providers are allowed to propose for mixed-age classrooms for toddlers (younger toddlers and older toddlers) only if the proposed age ranges are permissible according to their relevant permit(s). Providers who propose for mixed-age classrooms must provide clear, compelling evidence of the program’s demonstrated effectiveness with and ongoing need for mixed-age classrooms in their response to Question 1 on the SPF. If a provider proposes more than one age group in a single classroom and is recommended for award, the DOE may only award slots for one age group, and may choose to preference the older age group proposed based on the geographically-based need for services and to minimize transitions for children.

The DOE reserves the right to determine the number of slots awarded and may recommend to award a different configuration of slots across services than

proposed. The DOE may award different combinations of pre-K and 3-K slots than a program proposes, or different combinations of infant and toddler slots. For example, if a program proposes to serve four pre-K classes and no 3-K classes, the DOE may award two pre-K classes and two 3-K classes. Or, if a program proposes to serve two 3-K classes, the DOE may award two pre-K classes instead. However, the DOE will not award infant and toddler slots if a program has not proposed to serve either of those age groups, and will not award 3-K nor pre-K slots if a program has not proposed to serve either of those age groups.

## C. Contract Award

Providers whose proposals are determined to be the most advantageous to the DOE with consideration to the evaluation elements outlined above will be eligible to be recommended for award. In making final determinations, the **DOE reserves the right to make award recommendations in the best interest of the City**. Please note that recommendation for award for any service model(s) and slots solicited through this RFP is dependent on funding availability, including from City, State, and Federal entities including the New York State Office of Children and Family Services, the New York State Education Department, the New York City Law Department, and the New York City Office of Management and Budget, and the U.S. Department of Housing and Urban Development.

The DOE reserves the right to make inquiries into proposed costs and rates included in a proposer's submitted Budget Form and to negotiate rates and/or make the determination of non-award for a program if it is determined that the proposed costs for the program are not fair and reasonable.

Contract awards are subject to successful budget negotiations between the DOE and the proposer based on a fair and reasonable cost-per-child. Contract awards shall further be subject to:

- Availability of funds;
- Timely submission of contract documents and budget negotiations between the DOE and the selected proposer;
- Responsibility determination;
- Site viability;
- Completion of Equal Opportunity Contract Compliance Documents;
- Approval by the Panel for Educational Policy; and
- Contract registration pursuant to the Education Law.

In preparation for potential award through this RFP, all proposers should complete [PASSPort](#) disclosure filing as soon as possible (see Section 4B - "PASSPort Disclosure Filing" for more information). All organizations submitting a proposal including extended day and year services should also register in the Federal [System for Award Management](#) and, if awarded, must maintain an active registration for the duration of the contract.

## D. Contract Terms

**Contract terms will be for July 1, 2020 - June 30, 2025, with up to three one-year extensions**, and each proposal recommended for award will result in a separate contract pending successful completion of all contracting activities. Multi-sited vendors that submit multiple proposals and are recommended for award for multiple sites will have one contract per site for each awarded proposal. Proposers that are recommended for award for one site through both the Birth-to-Five RFP and the Head Start/Early Head Start RFP will have two contracts for the same site, one for each awarded proposal.

If a program fails to fulfill the full terms of a contract procured through this RFP, the DOE may place the program on a heightened monitoring status, and/or may suspend or terminate the contract. The DOE retains sole discretion to terminate any contract and any extension for its convenience upon 30 days' written notice. The DOE reserves the right to suspend or terminate any contract at any time during the contract period if the program does not address any and all concerns communicated by the DOE, or if the program has a record of serious, critical, and/or repeated violations of DOHMH or OCFS regulations that pose a risk to children's or staff's health or safety.

Upon completion of the original contract period, the DOE will have discretion to extend the contract for a specified number of years. Extensions will be offered only to programs that meet DOE quality expectations and offer services in areas of need. Programs that do not receive a contract extension may have an opportunity to re-apply to be a DOE-contracted program at a future time, depending on the DOE's need for such services.

## **Section 6 – List of Attachments**

All attachments for this RFP can be found in the “RFP Documents” tab in the HHS Accelerator system. You are required to submit a completed version of:

1. *Attachment A - Structured Proposal Form (SPF);*
2. *Attachment B - Budget Form; and*
3. *Attachment C - Doing Business Data Form (DBD).*

If you are proposing to serve children in a City owned or leased facility, you are required to submit a completed version of:

1. *Attachment D - City Owned or Leased Facilities Questions*

You are not required to complete this document if you are proposing to serve children in a privately owned or leased facility.

All other attachments are included for your reference. You are strongly encouraged to review all attachments and references before submitting your proposal to this RFP.

### **A. ATTACHMENT A - Structured Proposal Form**

- The form that you will complete to describe your demonstrated quality and effectiveness, and your capacity to provide high-quality early childhood care and education if awarded through this RFP.
- You must complete all 14 questions.
- You must complete the form included in Attachment A and you must submit your SPF in Microsoft Word format (.doc or .docx).
- You must submit one Structured Proposal Form for each proposal.
- See Section 4F(a) - “Structured Proposal Form and Program Quality, Instructional Quality, and Safety and Supervision Documentation” for more information about completing your Structured Proposal Form using the attached form.

### **B. ATTACHMENT B - Budget Form**

- The form that you will use to complete a fair and reasonable proposed budget outlining the expenses associated with running your program.
- This is where you will indicate the service models that you are proposing to offer at your program.
- You must submit your completed Budget Form using the provided attachment when submitting your proposal to this RFP and you must submit your Budget Form in Microsoft Excel format (.xls or .xlsx).
- You are required to submit one Budget Form for each proposal.
- See Section 4F(b) - “Budget Form” for more information about completing your Budget Form using the attached form.



## C. ATTACHMENT C - Doing Business Data Form

- The form you must complete in order to identify all the principal officers, owners, and senior managers within your organization.
- You must complete each section. First, provide details and identifying information about your business entity as prompted. Then, list all principal officers, owners, and senior managers within your organization. Finally, certify that the information you provided is accurate and complete by signing your name at the bottom of page 2.
- See Section 4F(c) - “Doing Business Data Form” for detailed information about completing your Doing Business Data Form using the attached form.

## D. ATTACHMENT D - City Owned or Leased Facilities Questions

- For proposals for sites located in City owned or leased facilities, proposers are required to submit a completed City Owned or Leased Facilities Questions form.
- Answers provided in this form will be considered in determining award recommendation.

## E. ATTACHMENT E - City Owned or Leased Facilities List

- This is a complete list of available City owned or leased facilities, for your reference. This is not to be submitted with your proposal.
- Each City owned or leased facility has its own competition pool within this RFP, and all are confirmed to be located within New York City.
- Please note that proposals with City owned or leased facilities must propose the services and number of slots associated with the building, as outlined in this attachment.

## F. ATTACHMENT F - Competition Pools List

- This attachment further outlines the Competition Pools (as defined by zip codes) for privately owned or leased facilities, for your reference. This is not to be submitted with your proposal.
- It is essential that the address of the proposed site submitted in the “Proposal Details” tab is correct and complete, and that the zip code of the proposed site matches the zip code of the selected competition pool.
- **Proposers are strongly encouraged to verify site zip codes by visiting the [Geographic Online Address Translator \(GOAT\)](#) website and typing in the site address in the space provided (find the zip code at the bottom of the left-hand column of the first information table).**

## G. ATTACHMENT G - Estimated Service Need by Zip Code and School District

- This is intended to further assist proposers in understanding how the need for service types varies across the City, for your reference. This is not to be submitted with your



- proposal.
- We strongly encourage proposers to **use both this attachment and the [Map of Estimated Service Need](#) to inform the proposed service types and slot numbers** for their site.
- Please note that these figures are estimates based on information available to the DOE at the time of RFP release and are subject to change. Though these figures are only estimates, this document, in combination with the [Map of Estimated Service Need](#), can still be useful to proposers in determining where they would like to propose to locate their site, and for which services and ages they should propose.

## **H. ATTACHMENT H - Birth-to-Five Policy Appendix**

- This is intended to support programs in completing their proposals for this RFP. This is not to be submitted with your proposal.
- This document includes guidelines and requirements related to key policy topics, including:
  - Staff qualifications
  - Security clearances
  - Meals and Child and Adult Care Food Program (CACFP) participation
  - Daily schedules
- Note that some information in the Birth-to-Five Policy Appendix may represent changes from current DOE policies.

## **I. ATTACHMENT I - Essential Steps for Proposal Submission**

- This attachment includes guiding questions and a submission checklist that can aid proposers in understanding different RFP elements, for your reference. This is not to be submitted with your proposal.
- Please note that this document is not intended to replace close and careful review of this RFP and related documentation, but is instead intended to be a supplemental resource to support you in your proposal submission process.

## **J. ATTACHMENT J - Statement of Assurances**

- This is a summary of key policies and requirements that apply to proposers who contract with the DOE.
- If you are recommended for award through this RFP, you will be required to abide by the policy expectations outlined in the Statement of Assurances, as well as all other policies outlined in this RFP and any subsequent policy guidance. As such, you are strongly encouraged to read through the Statement of Assurances and RFP in its entirety before submitting your proposal to this RFP.
- If you advance to later stages of award consideration, you will be required to agree to all assurances by checking the box and typing your name on the line provided.

## K. ATTACHMENT K - Important Reference Guide and Acronyms List

Includes links for the following:

- Provider Guide to Submitting Proposals in HHS Accelerator
- Early Childhood Framework for Quality (EFQ)
- 3-K and Pre-K for All Policy Handbook
- Head Start Early Learning Outcomes Framework (ELOF)
- Pre-Kindergarten Foundation for the Common Core (PKFCC)
- Expenditure Guide

## L. ATTACHMENT L - Sample W-9 Form

- If you advance to later stages of award consideration, you will be required to submit a complete [City of New York Substitution Form W-9: Request for Taxpayer Identification Number and Certification form](#) as found on the DOE's and Comptroller's websites. This is included for your reference. This is not to be submitted with your proposal.

## M. ATTACHMENT M - Equal Opportunity Contract Compliance Documents

- If you advance to later stages of award consideration, you will be required to submit applicable Equal Opportunity Contract Compliance documents.
- If you are a vendor with **fewer than 50 employees**, you will need to submit the following if you advance to later stages of award consideration:
  - Equal Opportunity Policy Statement; and
  - Workplace Profile Form.
- If you are a vendor with **50 or more employees**, you will need to submit the following if you advance to later stages of award consideration:
  - Affirmative Action Plan; and
  - Workplace Profile Form.

## N. ATTACHMENT N - Paid Sick Leave Law Rider

- The Earned Sick Time Act, also known as the Paid Sick Leave Law (PSLL) requires covered employees who annually perform more than 80 hours of work in New York City to be provided with paid sick time. Contractors of the City of New York or other governmental agencies may be required to provide sick time pursuant to the PSLL. The Paid Sick Leave Rider contains more information about your obligation under PSLL.

## O. ATTACHMENT O - Standard Terms and Conditions

- The Standard Terms and Conditions for all providers who contract with the DOE.

## **P. ATTACHMENT P - Whistleblower Protection Rider**

- The Whistleblower Protection Rider is for your reference and outlines protections of employees of City contractors who report corruption.

## **Q. ATTACHMENT Q - Sample Insurance Certificate**

- This Sample Insurance Certificate is an example of what may be required as part of your contracting process, should you be recommended for an award through this RFP.

## **R. ATTACHMENT R - Verifying Your Provider Legal Name and Tax ID**

- This attachment provides more detailed information about New York State business types and Tax IDs, and the document you should reference to verify your Provider Legal Name and Tax ID.