

**New York State Department of Social Services**  
Services and Community Development

Request for Proposals for  
Early Childhood Development Programs  
March, 1996

George E. Pataki  
Governor

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## I. Introduction

The New York State Department of Social Services (the Department) is pleased to announce funding opportunities for early childhood development programs and other programs related to child care services as described in this Request for Proposal (RFP). What follows is some general information which should be carefully reviewed.

Depending on enactment of the SFY 1996/97 budget and anticipated receipt of federal funds in the fall of 1996, approximately \$5.5 million will be available to support initiatives described in this RFP. However, funds will be awarded only as appropriations become available.

There will be three application due dates for submitting proposals as a result of this RFP. Proposals for the first application due date must be received no later than April 25, 1996. The acceptance of late or incomplete applications will be at the sole discretion of the Department.

There are two additional deadlines for submitting applications. They are:

- o. October 31, 1996
- o. January 14, 1997

The Department is electing to suspend timeframes as per provisions of Prompt Contracting Law (Article XI-B of State Finance Law) for agencies responding to program funding offered under the Early Childhood Development Program. Under ordinary circumstances, Early Childhood Development Program funds would have been issued, awards made and contracts executed by November 5, 1995. However, there were delays in the approval of the expenditure plan which resulted in the delay in publishing the RFP.

It is anticipated that the new timeframes will allow contracts to start on or after May 1, 1996 depending on the contractors' readiness to start the program.

### Who can apply

Applications for grants can only be accepted from: incorporated for profit and not-for-profit organizations, public agencies/local governmental units, and may be restricted further depending upon the program being funded. Further specifications or restrictions such as geographic location or eligible organizations may appear, where necessary, under the Program Description Section.

### How to Apply

Applicants wishing to apply for grants must follow the instructions contained in Section IV.

#### General Terms and Conditions

If more qualified applications are received than can be funded for any given application deadline, these applications may be considered if more funding becomes available.

Applicants selected for funding will be required to enter into a contract with the Department. The contract must be fully executed before work is begun and payments made. The contract will specify in detail the terms and conditions for funded projects. Successful applicants will have the opportunity to review the contract prior to entering into the agreement.

Successful not-for-profit corporations may need to obtain a Charities Registration Number in order for the contractual agreement to be fully executed. Information on Charities Registration applications can be obtained from the Department of State, Charities Registration Office at (518) 474-3720.

It may be necessary for some successful applicants, depending on the type of program being funded, to amend their corporate papers to include the provision of child day care services as a corporate purpose.

Applicants must be ready to utilize the funds in a timely manner upon being awarded the funds. The Department will specify in the award letter a maximum six (6) month period during which the awardee must provide all required materials, including amending incorporation papers if necessary, for the development of its contract with the Department, or the Department will exercise its right to revoke the award.

#### Affirmative Action Terms and Conditions

The Department is in full accord with the aims and effort of the State of New York to promote equal opportunity for all persons and to promote equality of economic opportunity for minority group members and women who own business enterprises, and to ensure there are no barriers, through active programs, that unreasonably impair access by Minority and Women-Owned Business Enterprises (M/WBE) to State contracting opportunities.

Prospective Offerors to this RFP are subject to the provisions of Article 15-A of the Executive Law and regulations issued thereunder.

(1) Contractors and subs shall undertake or continue existing programs of affirmative action to ensure that minority group members and women are afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex, age, disability or marital status. For these purposes, affirmative action shall apply in the areas of recruitment, employment, job assignment, promotion, upgradings, demotion, transfer, layoff, or termination and rates of pay or other forms of compensation.

(2) Prior to the award of a State contract, the Contractor shall submit an Equal Employment Opportunity (EEO) Policy Statement to the contracting agency within the time frame established by that agency.

(3) The Contractor's EEO Policy Statement shall contain, but not necessarily be limited to, and the Contractor, as a precondition to

entering into a valid binding State contract, shall during the performance of the State contract, agree to the following:

- (a) The Contractor will not discriminate against any employee or applicant for employment because of race, creed, color, national origin, sex, age, disability or marital status, will undertake or continue existing programs of affirmative action to ensure that minority group members and women are afforded equal employment opportunity without discrimination, and shall make and document its conscientious and active efforts to employ and utilize minority group members and women in its work force on State contracts.
  - (b) The Contractor shall state in all solicitations or advertisements for employees that, in the performance of the State contract, all qualified applicants will be afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex, age, disability or marital status.
  - (c) At the request of the contracting agency, the Contractor shall request each employment, labor union, or authorized representative of workers with which it has a collective bargaining or other agreement or understanding, to furnish a written statement that such employment agency, labor union, or representative will not discriminate on the basis of race, creed, color, national origin, sex, age, disability or marital status and that such union or representative will affirmatively cooperate in the implementation of the Contractor's obligations herein.
- (4) Except for construction contracts, prior to an award of a State contract, the Contractor shall submit to the contracting agency a staffing plan of the anticipated work force to be utilized on the State contract or, where required, information on the Contractor's total work force, including apprentices, broken down by specified ethnic background, gender, and Federal Occupational Categories or other appropriate categories specified by the contracting agency. The form of the Staffing plan shall be supplied by the contracting agency.
- (5) After an award of a State contract, the Contractor shall submit to the contracting agency a work force utilization report, in a form and manner required by the agency, of the work force actually utilized on the State contract, broken down by specified ethnic background, gender and Federal Occupational Category or other appropriate categories specified by the contracting agency.

In addition, Offerors are also required to submit, within their proposals, a section describing how the Offeror proposes to identify and utilize M/WBEs with which it may subcontract or from which it may obtain supplies (and or equipment, commodities, etc.) for this offering, as well as the dollar amount, if known, of any such subcontract or purchase. Offerors are also required to complete both the Subcontracting Utilization Form found in the Application Package for themselves and any subcontractors or vendors they plan to use. The items contained in this paragraph are considered to be requirements of all Offerors and may be evaluated by the respective evaluation review committees.

For purposes of this procurement, the goals for subcontracting/purchasing with Minority and Women-Owned businesses are 5% to 7%. Definitions of Minority and Women-Owned Business Enterprises also can be found in the Application Package.

The directory of certified businesses, prepared by the Division of Minority and Women's Business Development, for use by contractors in complying with the provisions of Executive Law, Article 15-A, and the regulations required pursuant to said Law, will be provided for inspection at the Department's Office of Minority Program Development.

In order to assist prospective Offerors in their attempts to demonstrate effective affirmative action efforts, the Department suggests Offerors consider any or all of the following steps while developing their responses to this RFP:

- 1) Contact all known M/WBEs that may appropriately serve as a sub(s) or a vendor(s) under the contract.
- 2) Keep a "contact" list of M/WBEs contacted for this particular RFP along with the name of your contact and the result of the contact(s).
- 3) Use the M/WBEs contacted as a possible resource for additional contacts.

In the event your firm did not obtain the desired results from steps 1-3 above, the Department suggests that prospective Offerors consider these additional steps (and keep a contact record of the same):

- 4) Contact area Minority Business Associations, Contractors Associations, Purchase Councils or Professional Organizations serving the area in which the contract will be performed.
- 5) Contact the Department of Economic Development, Division of Minority and Women Business Development, (518) 474-6346 or (212) 827-6259 for assistance.
- 6) Contact the Department of Social Services' Office of Minority Program Development at (518) 474-9644 in Albany or at (212) 383-1718 in New York City for assistance.
- 7) Contact area community-based organizations that serve the minority community and local elected, appointed, religious or other acknowledged leaders who also may serve as resources.

The above-noted provisions are set forth to aid prospective Offerors who may require assistance in their attempt to comply with Departmental affirmative action initiatives. However, prospective Offerors are at liberty to propose a course of action of their own that is reasonable and accomplishes the aim of the aforementioned provisions.

### Funding Priorities

Preference will be given to acceptable proposals from programs which are located in and serve residents of:

- o Communities designated as Empowerment Zones or Enterprise Communities pursuant to Section 2007 of Title XX of the federal Social Security Act: the Harlem/South Bronx Empowerment Zone; and the Albany/Schenectady/Troy, Buffalo, Rochester, and Kingston/Newburgh Enterprise Communities;
- o Economic Development Zones;
- o Adolescent Pregnancy Prevention and Services (APPS) sites;
- o Geographic areas in which at least one school is eligible to receive grants under Section 1006 of the Elementary and Secondary Education Act of 1965; (all counties meet this criteria with the exception of Seneca, Rockland and Ontario counties);
- o Serve families eligible for low income day care subsidies, or recipients of public assistance who are working toward economic self sufficiency through employment and training programs; or which
- o Areas which have no services, are geographically isolated, or which serve special populations in relation to language, culture, non-traditional work hours (i.e., nighttime), etc.

### Criteria for Proposal Review

Each application will be screened to determine:

- o that the application is complete and consistent with instructions contained in the RFP;
- o that there is a demonstrated need for the program;
- o that the applicant can clearly demonstrate that the proposed results can successfully be achieved;
- o that the need for funds is clearly demonstrated;
- o that the applicant has the fiscal viability to continue beyond the grant period;
- o that the applicant has the character and competence to operate the project; and
- o that the program is cost effective.

### Selection

If these criteria are determined to have been satisfactorily addressed, the Department will select those proposals which meet the Funding Priorities identified above, any Additional Criteria identified in the individual program descriptions, and whose proposed achievements are the most ambitious in keeping with Department priorities.

The Department reserves the right to make awards to projects in the future that are not selected at this time due to funding limitations, should additional funds become available.

The Commissioner of the NYS Department of Social Services will make the final selection of projects to be funded.

Funding Limitations

Grant recipients cannot expend funds for:

- o the purchase or improvement of land;
- o the purchase, construction, or permanent improvement of any building or facility;
- o any sectarian purpose or activity, including worship or sectarian instruction; or
- o the supplantation of existing funds.

Contact for assistance

Questions concerning these guidelines or the completion of the application can be directed to the:

Bureau of Early Childhood Services  
New York State Department of Social Services  
40 North Pearl Street,  
Albany, New York 12243  
Phone: (518) 474-9615

When you call, please make clear that you are calling in reference to this RFP so that your call can be directed appropriately.

CURRENT FUNDING OPPORTUNITIES

## PROGRAM DESCRIPTIONS

### a. HEALTH & SAFETY GRANTS FOR CHILD DAY CARE CENTERS

The New York State Department of Social Services has made approximately \$900,000 available for early childhood development child day care centers, under its licensing jurisdiction, to apply for grants to assist them in conducting programs in a manner which assures the health and safety of the children being served.

Fundable activities may include but are not limited to:

1. Conducting activities to resolve newly identified fire, health and safety issues necessary for the early childhood development program to provide care to children in a safer and healthier environment. Such activities may include but are not limited to:
  - o the necessary removal of lead paint from areas occupied by children;
  - o the necessary upgrading and/or installation of an interconnected automatic fire detection alarm system that is smoke sensing or water sprinkling (and connected to the fire department or a central monitoring station when there are children under three years of age) when the current system is deemed no longer in the best interest and safety of children;
  - o the necessary upgrading and/or enclosure of kitchens, furnace rooms, bathroom facilities, playgrounds, etc.; or
  - o the necessary upgrading or installation of running water in rooms for infants and toddlers.
2. Conducting necessary minor remodeling with the outcome of making the early childhood development program more accessible to children with handicaps. Applicants must provide reasonable assurances that upon completion of the minor remodeling children with handicaps will be able to be better served by the program.

#### Eligible Applicants

For-profit and not-for-profit child day care centers outside of New York City which currently have a valid child day care center license issued by the Department or have a child day care center license application pending with the Department, and for which the proposed activity can be verified by the appropriate Regional Office of the Department.

#### Maximum Grants

Maximum grants under this category will generally be at no more than \$10,000. However, grants higher than \$10,000 may be considered by the Department under extenuating circumstances. The Department intends to make one year awards but reserves the right to renew these contracts beyond the one year period.

b. CHILD CARE PREDEVELOPMENT PLANNING GRANTS

Up to \$750,000 is available for grants to support pre-development planning, management, and coordination of activities leading to the development of child day care centers. These funds will be used to effectively address New York's continuing need for affordable, quality child day care services. Highly distressed communities and economically distressed areas will be given priority for this initiative.

THERE ARE NO ASSURANCES OF SUBSEQUENT CONSTRUCTION GRANTS ATTACHED TO THESE FUNDS.

Fundable Activities may include, but are not limited to:

- o Design studies and services and other development or predevelopment work in connection with the design and development of child day care centers. Focus on supportable capacity or unique populations to be served; i.e., mildly ill, non-traditional hours, etc.).
- o Studies, surveys or reports, including preliminary planning studies to assess a particular site(s) or facility(s) for the development of child day care centers.
- o Discussing licensing requirements with the New York City Department of Health or the applicable Regional Office of the Department.
- o Determining the appropriateness and feasibility of the site for use as a day care center.
- o Architectural/engineering fees to develop drawings and plans and to investigate the environmental impact of project.
- o Compiling financial statements of the applicant and financial projections for the child day care center.
- o Extensive fund raising, including approaching banks, corporations, foundations, and government sources for project funds or in-kind donations, including donations of land.

Eligible Projects

The proposed projects must be designed to meet the needs of low income families.

Eligible Applicants

Not-for-profit organizations including, but not limited to child care resource and referral programs, local development corporations, neighborhood preservation companies, rural preservation companies, child day care centers, etc.

Maximum Grants

Grants may be funded under this category for a maximum of \$75,000 per project.

Additional Criteria

The Department will also apply the following criteria in selecting applicants for funding:

1. Can demonstrate that the center will be able to meet its ongoing operational costs beyond construction and start-up;
2. Can demonstrate the need for a child day care center or the expansion of a child day care center in the area; and
3. Support from the local department of social services as indicated by a letter of support.

c. START-UP AND HEALTH AND SAFETY GRANTS FOR FAMILY AND GROUP FAMILY DAY CARE HOMES

Approximately \$2.6 million will be available to the Department to strengthen and consolidate its efforts to develop and maintain family and group family day care homes. In a departure from previous years, the Department will:

- o identify a single resource in each geographic area or, in extenuating circumstances, a community identified with unique needs such as language, culture, geographic isolation, or special populations such as mildly ill, families who work non-traditional hours, etc.
- o expand the scope of this initiative so that it can provide funds to existing providers to conduct quality early childhood development programs in a manner which assures the health and safety of the children being served, as well as to establish new early childhood development family and group family day care homes.

The Department is seeking to target one resource per county, except in New York City where more resources may be targeted, based on the ability of the applicant to demonstrate its capacity to serve a special population as defined above, to perform this activity.

Specific functions must include, but are not limited to:

- o actively recruiting potential family and group family day care providers, especially those seeking to serve low income/subsidy eligible families;
- o assisting providers to establish programs by providing, as necessary, technical assistance including assistance with the registration or licensing process; and
- o assisting potential and registered and licensed providers to conduct their programs in a manner that ensures the health and safety of children under their care. Activities in this regard include the distribution of fire, health and safety items. Such items may include: fire alarms/smoke detectors; window guards, if necessary; electrical outlet covers; first aid kits; medical examinations; water testing; and where necessary, cribs; and limited educational supplies.

In addition to providers recruited directly, successful applicants will generally receive direct and indirect referrals from the Registrar--the agency responsible for registering family day care providers. In New York City, the Registrar is the New York City Department of Health. Outside of New York City, the Registrar may vary by county. Direct referrals would occur when the Registrar notes, while reviewing a registration application, that there are deficits in the area of health and safety and refers the provider to the successful applicants serving the provider's area. Indirect referrals would occur as the result of publicity on Registration identifying the agencies available to provide assistance.

Maximum Grants

Grants under this component will vary based on the projected number of homes to be developed and the projected number of licensed and/or registered homes to receive health and safety grants. Items needed by prospective providers should be limited to less than \$500 per provider. Items needed by registered or licensed providers should be limited to less than \$200 per provider. Grant requests should reflect funds for a staff person of up to \$15,000 and a maximum of 8% administrative costs, exclusive of the staff person. Assuming satisfactory performance and the availability of funds, the Department reserves the right to extend and renew grants awarded through this RFP.

Additional Criteria

1. Can demonstrate a strong relationship with the local department of social services;
2. Can demonstrate the employment of successful outreach methods;
3. Can demonstrate that there is a supply of potential providers;
4. Can demonstrate that this project can be done with reasonable costs;
5. Can demonstrate the capacity to assist prospective and current providers in a manner to assure the health and safety of the children being served; and
6. Where applicable, can demonstrate the need for targeting a specific population and can demonstrate the ability to serve that population.

Funding Limitations

Registration Orientation, Units A-O Family Day Care training (formerly Tier I and II) and home visits/inspections are NOT allowable expenses under this grant.

d. EARLY CHILDHOOD DEVELOPMENT PROGRAM START UP GRANTS

This section describes funding opportunities of approximately \$1.18 million for start-up grants to establish or expand:

- o School-Age Child Care Programs (SACC), i.e., before and/or afterschool child day care programs for school-aged children; and
- o All-Day Early Childhood Development Programs operated by child day care centers.

Definitions

For purposes of the RFP the following definitions apply:

School-Age Child Care (SACC) Programs are programs caring for more than six school-aged children who are under 13 years of age or who are incapable of caring for themselves. Such programs must be operated consistent with the school calendar and offered during the school year to an enrolled group of children at a permanent site. They must offer care:

- o on Monday through Friday, including school holidays;
- o to children attending kindergarten, elementary, or secondary school classes;
- o during times of the day and on days that the regular instructional programs are not in session;
- o that enhances the development of children; and
- o that does not extend or replace the compulsory academic program.

Child Day Care Center shall mean a program provided for more than three but less than 24 hours a day away from the child's home by an individual, association, corporation, institution or agency for seven or more children, except those programs operating as family and group family day care homes. In New York City, the licensing authority for child day care centers is the New York City Department of Health. Outside of New York City, the child day center licensing authority is the New York State Department of Social Services.

Maximum Grants

School-Age Child Care programs will be awarded maximum grants of up to \$25,000. A local match of 25% may be required.

Child Day Care Centers will be awarded maximum grants of up to \$100,000 to develop child day care center services for children. A local match of 25% may be required.

### Additional Priorities

In addition to the priorities listed on Page 7, preference will be given to programs that respond to one or more of the following:

- o School Age Child Care Programs;
- o seek to provide services during non-traditional hours (i.e., nighttime); extended days (6 or 7 days), or serve mildly ill children;
- o are operated by a minority/women-owned community based organization;
- o are located in communities which are significantly underserved by existing programs, including rural areas;
- o serve children who are at high risk for neglect and abuse or are already involved in child protective or preventive cases, or children with handicapping conditions;
- o child day care centers which plan to serve children under the age of two years; and
- o child day care centers, which plan to expand from part-time to full-time.

### Funding Limitations

Funding is limited to start-up/expansion expenses including planning, rental, equipment and supplies, and initial personnel costs. Appropriate planning expenses include preliminary activities prior to serving children such as: planning and setting up program environments, hiring staff, purchasing supplies and equipment, and recruiting children. Grant recipients may use funds for minor remodeling that is necessary to comply with applicable building and/or fire safety requirements or other regulatory requirements.

Applicants must be ready to utilize the funds in a timely manner upon being awarded the funds. The Department will specify in the award letter a maximum of a six (6)-month period during which the awardee must provide all required materials necessary for development of its contract with the Department, after which time the Department will exercise its right to revoke the award.

Grant recipients cannot expend funds for:

- o the purchase or improvement of land;
- o the purchase, construction, or permanent improvement of any building or facility; and
- o any sectarian purpose or activity, including worship or sectarian instruction.

If an applicant receives a portion of the funds for planning and development activity, including the purchase of equipment, and does not, for whatever reason, later become a licensed child day care center or registered School-Age Child Care Program, the disposition of any and all equipment purchased with those funds will be determined by this Department and may revert to the Department.

## Program Requirements

### 1. Registration (School-Age Child Care (SACC) Programs)

The Social Services Law requires SACC programs to register with the Department and to operate their programs in accordance with SACC regulations. Registration replaces the licensure (permit) and/or certification requirements previously mandated for SACC programs.

Applicants are encouraged to obtain the SACC regulations and incorporate them into their program designs. Copies can be obtained by contacting the New York State Department of Social Services, Bureau of Early Childhood Services Regional Office serving your area.

SACC programs not located in school buildings must have a transportation plan or escort plan from the school site to the program site.

### 2. Licensing (Child Day Care Centers)

Child day care centers must become licensed prior to beginning operation and operate their programs in accordance with applicable licensing regulations. Child day care centers are licensed by the Department's Regional Offices except in New York City, where they are licensed by the City's Department of Health. Applicants are encouraged to obtain copies of the application for child day care center licensing and child day care licensing regulations and incorporate them into their program design. Copies of the regulations and applications can be obtained by contacting the appropriate Regional Office of the Department or, in New York City, the New York City Department of Health.

NOTE: Day care providers will be allowed to use a portion of their grant for planning and development activity, including the purchase of equipment, prior to becoming licensed or registered to provide child care. However, no child care services can be provided prior to being licensed or registered.

### Additional Criteria

Applicants must:

- o demonstrate a need for the start-up funds;
- o utilize funds for start-up expenses as opposed to operational expenses;
- o minimize personnel costs;
- o successfully demonstrate that there is a need for the program;
- o demonstrate fiscal viability beyond the start-up/expansion period. Examples of income sources may include but are not limited to: purchase of service agreements with local departments of social services (LDSS), fund raising efforts, and parent fees; and
- o include a letter of support from the local department of social services.

Who Can Apply

The Department will consider only proposals submitted by incorporated for-profit and not-for-profit day care programs, or those in process of incorporating, other private not-for-profit corporations or organizations, school districts; or other governmental subdivisions.

Please note that the Department cannot enter into a contract with an organization for these purposes if the organization does not have the corporate authority to operate a child day care program.

How to Apply

Organizations wishing to apply for start-up grants must follow the directions for completing the application set forth in Part IV.

If more qualified applications are received than can be funded for any given application deadline these applications may be considered if more funding becomes available.

III APPENDICES

Terms and Conditions of the RFP

- A. The award(s) will be made to the applicant(s) whose proposal(s) is (are) determined to best meet the criteria for proposal evaluation and selection set forth in the RFP. The successful applicant should commence contract activities only after receipt of a fully executed copy of the contract or letter of agreement.
- B. Any contracts awarded pursuant to the RFP will be subject to the New York State Department of Social Services' (hereafter referred to as the Department) usual processing procedures for contracts of this type including approval as to form by the State's Attorney General and as to award by the Division of the Budget and as to approval by the Office of the State Comptroller.
- C. This RFP does not commit the Department to award any contracts, to pay the costs incurred in the preparation of any response to this RFP, or to procure or contract for services.
- D. The Department reserves the right to amend, modify or withdraw this RFP and to reject any proposal submitted, and may exercise such right at any time without notice and without liability to any applicant or other parties for their expenses incurred in the preparation of a proposal or otherwise. Proposals will be prepared at the sole cost and expense of the applicant.
- E. This RFP and any contract resulting from this RFP are subject to all applicable laws, rules and regulations promulgated by agencies with jurisdiction over the subject matter thereof.
- F. The Department reserves the right to award contract(s) to as many or as few applicants as it may select and to accept or reject any or all proposals which do not completely conform to the instruction given in the RFP.
- G. The proposal of the successful applicant(s) will serve as the basis for the contract or letter of agreement.
- H. All plans and working documents prepared by the applicant under the contract to be awarded will become the property of the State of New York.
- I. Submission of a proposal will be deemed to be the consent of the applicant to any inquiry made by the Department of third parties with regard to the applicant's experience or other matters relevant to the proposal.
- J. The Department reserves the right to request and consider additional information from any applicant beyond that presented in the initial proposals. The award of the contract, if any, may be made in reliance on additional information requested. Such information may include budget justification, personal information, or other funding source information.

Appendix A (continued)

- K. All products, deliverable items, and working papers resulting from this contract will be the sole property of the Department and the applicant is prohibited from releasing these documents to any persons other than the Commissioner of the Department or his or her designee.
- L. The proposal shall be signed by an official authorized to bind the applicant and shall contain a statement to the effect that the proposal is a firm offer for a 90-day (or more) period for grants currently available. The proposal shall also provide the name, title, address, telephone number and area code of individuals with authority to negotiate and contractually bind the corporation or municipality and who may be contacted during the period of proposal evaluation.
- M. The Contractor agrees to submit to the Department for approval a staffing plan reflecting staffing needs and overall affirmative action program to hire protected class members.
- N. The Department reserves the right to adjust any Contractor's expected cost based on a determination by the Department that the selection of said Contractor will incur fewer or additional costs by the State.
- O. The Department reserves the right to accept proposals submitted after the stated application deadlines.
- P. It is the policy of the Department to encourage the employment of qualified applicants/recipients of public assistance by both public organizations and private enterprises who are under contractual agreement to the Department for the provision of goods and services. The Department may require the Contractor to demonstrate how the Contractor has complied or will comply with the aforesaid policy.
- Q. The Department reserves the right to make awards to projects in the future who are not selected at this time due to funding limitations should additional funds become available.
- R. Grants may not be used to supplant existing funds.

OMNIBUS PROCUREMENT ACT OF 1992

It is the policy of New York State to maximize opportunities for the participation of New York State business enterprises, including minority and women-owned business enterprises as bidders, subcontractors and suppliers on its procurement contracts.

Information on the availability of New York State subcontractors and suppliers is available from:

NYS Department of Economic Development  
Division for Small Business  
One Commerce Plaza  
Albany, New York 12245  
Phone: (518) 474-7756  
Fax: (518) 486-7557

NOTE: Companies requesting lists of potential subcontractors and suppliers are encouraged to identify the Standard Industrial Classification (SIC) code, size and location of vendors.

A directory of certified minority and women-owned business enterprises is available from:

NYS Department of Economic Development  
Minority and Women's Business Development Division  
One Commerce Plaza  
Albany, New York 12245  
Phone: (518) 474-6346  
Fax: (518) 473-0665

Bidders located in foreign countries are hereby notified that New York State may seek to obtain and assign or otherwise transfer offset credits created by this procurement contract to third parties located in New York State. The successful contractor shall agree to cooperate with the State efforts to get foreign countries to recognize offset credits created by procurement contracts.

The Omnibus Procurement Act of 1992 requires that by signing this bid proposal, contractors certify that whenever the total bid amount is greater than \$1 million:

1. The successful contractor shall document efforts to encourage the participation of New York State Business Enterprises as suppliers and subcontractors of this project, and has retained the documentation of these efforts to be provided upon request to the State.
2. Documented efforts by the successful contractor shall consist of and be limited to showing that such contractor has:
  - a. Solicited bids, in a timely and adequate manner, from New York State business enterprises including certified minority and women-owned businesses; or

- b. Contacted the New York State Department of Economic Development to obtain listings of New York State business enterprises; or
  - c. Placed notices for subcontractors and suppliers in newspapers, journals and other trade publications distributed in New York State; or
  - d. Participated in bidder outreach conferences.
  - e. If the contractor determines that New York state business enterprises are not available to participate on the contract as subcontractors or suppliers, the contractor shall provide a statement indicating the method by which such determination was made.
  - f. If the contractor does not intend to use subcontractors on the contract, the contractor shall provide a statement verifying such intent.
- 3. The contractor has complied with the Federal Equal Opportunity Act of 1972 (P.L. 92-261), as amended.
  - 4. The contractor agrees to make reasonable efforts to provide notification to New York State residents of employment opportunities on this project through listing any such positions with the Community Services Division of the New York State Department of Labor, or providing such notification in such manner as is consistent with existing collective bargaining contracts or agreements. The contractor agrees to document these efforts and to provide said documentation to the State upon request.
  - 5. Bidders are hereby notified that if their principal place of business is located in a state that penalizes New York State vendors, and if the goods or services they offer will be substantially produced or performed outside New York State, the Omnibus Procurement Act 1994 amendments (Chapter 684, Laws of 1994) require that they be denied placement on bidders mailing lists and contracts for which they would otherwise obtain. Bidders of construction services must be denied the award of a contract if their principal place of business is located in a state that discriminates or imposes a preference against New York State firms listed jurisdiction.

A current list of states which penalize New York State firms is available from the office letting this contract, or from the Procurement Assistance Unit, NYS Department of Economic Development, Albany, New York (518-474-7756).

IV. APPLICATION PACKAGE

Forms and Instructions

New York State Department of Social Services  
Division of Services & Community Development  
Bureau of Early Childhood Services

Applicants for funds for those programs listed in this Request for Proposals (RFP) should submit an original and three copies of the application package as described below to:

Ms. Lola Cole  
Bureau of Early Childhood Services  
New York State Department of Social Services  
40 North Pearl Street, Floor 11B  
Albany, New York 12243  
Attention: Child Care Funding Opportunities

Applications for grants are due on or before April 25, 1996.

Pending the availability of funds, it is anticipated that there will be two additional application due dates:

1. October 31, 1996
2. January 14, 1997

Submit a separate application package for each funding initiative for which you are applying. Applications are labeled accordingly; i.e., Health and Safety Grants for Child Day Care Centers, Start Up and Health and Safety Grants for Family Day Care Homes, and the General Application to be used for the Child Care Predevelopment Planning Grants and the Early Childhood Development Program Start-Up Grants.

Use the Checklist below to determine that all required materials are included in the application package.

CHECKLIST: All Applications must include the following:

- +--+ Completed and signed Application cover pages as provided  
+--+
- +--+ Project Summary  
+--+
- +--+ Minority/Women Owned Business Enterprise Forms  
+--+
- +--+ Board of Directors Profile Form  
+--+
- +--+ Program Narrative  
+--+
- +--+ Proposed Budget Summary and Budget Narrative  
+--+ DO NOT USE THESE FORMS FOR THE HEALTH AND SAFETY GRANTS FOR CHILD  
DAY CARE CENTERS. BUDGET INFORMATION IS REQUESTED ON THE APPLICATION  
FORM FOR THESE GRANTS.
- +--+ Certificate of Incorporation/Amendment Papers  
+--+
- +--+ Staffing Plan  
+--+

New York State Department of Social Services  
Division of Services and Community Development  
Bureau of Early Childhood Services

GENERAL APPLICATION

1. \_\_\_\_\_  
Organization Name  
\_\_\_\_\_  
Street Address/P.O. Box  
\_\_\_\_\_  
County City State Zip Code

2. Type of Grant: \_\_\_\_\_

3. Amount of State funds requested: \_\_\_\_\_

4. Who should we contact with questions about this application?

\_\_\_\_\_  
Name Title  
\_\_\_\_\_  
Telephone Number (Include Area Code)

5. How many children are you currently licensed to serve, by age category?  
6 weeks to 18 months \_\_\_\_\_ 18 months to 36 months \_\_\_\_\_  
3 years to 5 years \_\_\_\_\_ School Age 5-12 years \_\_\_\_\_

6. How many NEW children will you serve by age category?  
6 weeks to 18 months \_\_\_\_\_ 18 months to 36 months \_\_\_\_\_  
3 years to 5 years \_\_\_\_\_ School Age 5-12 years \_\_\_\_\_

7. What are the following district numbers for the location of your organization?:  
\_\_\_\_\_ Federal Congressional District(s)  
\_\_\_\_\_ State Assembly District(s)  
\_\_\_\_\_ State Senate District(s)

8. Will this project be providing services to a designated Empowerment Zone or Enterprise Community?      +-+ Yes      +-+ No  
   +-+                                   +-+  
If Yes, specify: \_\_\_\_\_

9. Will this project be located in an Economic Development Zone (EDZ)?  
   +-+ Yes      +-+ No  
   +-+                                   +-+  
If Yes, name EDZ: \_\_\_\_\_

10. What is your organization's Federal Employer Identification Number? \_\_\_\_\_

11. What is your organization's State Registered Charitable Organization Number? (if applicable) \_\_\_\_\_

12. Agreement:

It is understood and agreed by the applicant that: (1) This RFP does not commit the New York State Department of Social Services (the Department) to award any contracts, pay the costs incurred in the preparation of response to this RFP, or to procure or contract services. (2) The Department reserves the right to amend, modify or withdraw this RFP and to reject any proposals submitted, and may exercise such right at any time and without notice and without liability to any offeror or other parties for their expenses incurred in the preparation of a proposal or otherwise. Proposals will be prepared at the sole cost and expense of the offeror. (3) The Department reserves the right to accept or reject any or all proposals which do not completely conform to the instructions given in the RFP. (4) Submission of a proposal will be deemed to be the consent of the applicant to any inquiry made by the Department of third parties with regard to the applicant's experience or other matters relevant to the proposal. (5) Funds granted for this project will be used only for the conduct of the project as approved. (6) The grant may be terminated in whole, or in part, by the Commissioner of the Department. Such termination shall not affect obligations incurred under the grant prior to the effective date of such termination. (7) When funds are advanced, any unexplained balance at the end of the approved period will be returned. (8) Any significant revision of the approved project proposal will be requested in writing by the grantee prior to enactment of the change. (9) Progress reports will be submitted as required by the Department. The final program and financial reports will be submitted within a specified time period after the project terminates. Necessary records and accounts, including financial and property controls, will be maintained and made available to the Department for audit purposes. (10) All reports of investigations, studies, publications, etc. made as a result of this proposal will acknowledge the support provided by the Department. (11) All personal information concerning individuals served or studies conducted under the project is confidential and such information may not be disclosed to unauthorized persons. (12) The Department reserves a royalty free non-exclusive license to use and to authorize others to use all copyrighted material resulting from this project. (13) Some selected contractors may be asked to participate in a performance-based contract reimbursement plan. These selected agencies will be notified at a later date of procedures, should the Department opt to move in this direction. (14) Successful applicants will be subject to the State's prompt contracting law, if applicable.

The applicant certifies that to the best of his/her knowledge and belief the information in this application is true and correct, and that he/she will comply with the above agreement if the grant is received.

\_\_\_\_\_ M M D D Y Y  
 +-----+ +-----+ +-----+  
 +-----+ +-----+ +-----+  
 Signature of official authorized to sign for applicant Date

\_\_\_\_\_  
 Name and title (typed)

## Project Summary

On the page below, please provide a brief, clear and concise summary of the narrative you are submitting with this application. This summary may be used by the Department to describe your project in various public announcements.

New York State Department of Social Services  
Division of Services & Community Development  
Bureau of Early Childhood Services  
Child Day Care Program Funding Opportunities

Program Narrative Instructions

A. General Instructions

1. These instructions apply only to applications for the Child Care Pre-Development Planning Grants and the Early Childhood Development Program Start-Up Grants. OMIT this section if you are applying for a Start-Up or Health and Safety Grant for Family Day Care Providers or a Health and Safety Grant for Child Day Care Centers. There are abbreviated applications later in this section for those initiatives.
2. Use no more than 10 sheets of paper, doubled spaced and singled sided, to answer the narrative questions below. This will constitute your project narrative description.

You must complete a separate narrative and application for each initiative if you are applying for more than one grant.

3. The Department is most interested in the actual results of the service(s) provided. We want a clearly stated proposal which briefly, yet directly, responds to the narrative questions. Additional details may be requested at a later date. While this approach purposely de-emphasizes the importance of a lengthy narrative or detailed plans, this should not be mistaken for a lack of rigor in the selection process. Letters of support from key agency administrators may be required for specific programs.

## B. Narrative Questions

The following questions must be addressed in your Narrative:

1. What do you plan to achieve: Tell us, specifically, what results you will achieve through your project. How many child care slots do you propose to create through this project? For what age ranges?
2. What specifically, will you do? Describe the services your organization will provide. In addition, include a brief description of:
  - o activities necessary to achieve the anticipated results of the project; identify specific tasks which must be accomplished in order to get the child day care center or school-age child care program ready to provide services to the children and families;
  - o timeframes for development and completion of the above activities. Provide the actual date you intend to start up your program; and
  - o staff person(s) responsible for achieving the anticipated results; including staff qualifications and experience.

We are looking for evidence of a well thought-out design for service delivery and evidence reflecting equitable project costs in relation to anticipated results.

3. Who will you serve? Please describe the target population and the community you are proposing to serve through this project. Be sure to include specific characteristics, where relevant, such as age, national origin, language, culture, neighborhood/catchment area, economic status, rural/urban community, etc., as well as the number of children/participants you propose to serve through this project.
4. How do you know that the target community wants and needs this project? Describe the identified needs and how they are currently being addressed. Include the extent of service gaps, how this project will address these gaps and the extent of community support for the project. If this project is being coordinated with an employer to meet employees' child care needs, describe the scope of the employer's involvement.
5. What is the potential for alternative funding for the project in the future? Describe the steps you plan to take during the first year of the project to secure funding for subsequent years. Projects will not receive serious funding consideration without solid plans for continuation with alternate funding.
6. Attach letters of support as required in the specific program description.

MINORITY/WOMEN BUSINESS ENTERPRISE FORMS

INSTRUCTIONS FOR MWBE SUBCONTRACTORS AND SUPPLIERS LETTER

This form is to be submitted, with the bid attached to the Subcontractor's Information Form, in a sealed envelope for each certified Minority or Women-Owned Business Enterprise the Bidder/Proposer/Awardee/Contractor proposes to utilize as subcontractors, service providers or suppliers.

If the MBE or WBE proposed for a portion of this proposal/contract is part of a joint venture or other temporarily-formed business entity of independent business entities, the name and address of the joint venture or the temporarily formed business entity should be indicated.

NEW YORK STATE  
DEPARTMENT OF SOCIAL SERVICES

MWBE SUBCONTRACTORS AND SUPPLIERS  
LETTER OF INTENT TO PARTICIPATE

To: \_\_\_\_\_ Federal ID Number \_\_\_\_\_  
(Name of Contractor)

Proposal/Contract Number: \_\_\_\_\_

Contract Scope of Work: \_\_\_\_\_

\_\_\_\_\_

The undersigned intends to perform services or provide material, supplies or  
equipment as: \_\_\_\_\_

\_\_\_\_\_

Name of MWBE: \_\_\_\_\_

Address: \_\_\_\_\_

Federal ID Number: \_\_\_\_\_

Telephone Number: \_\_\_\_\_

Designation:\*

+-+  
+-+ MBE - Subcontractor

+-+  
+-+ WBE - Subcontractor

+-+  
+-+ MBE - Supplier

+-+  
+-+ WBE - Supplier

	Joint venture with:
	Name: _____
	Address: _____
	_____
	Fed ID Number: _____
	MBE    +-+
	+-+
	+-+
	WBE
	+-+

Are you a New York State Certified MWBE ? \_\_\_\_\_

The undersigned is prepared to perform the following work or services or supply the following materials, supplies or equipment in connection with the above proposal/contract. (Specify in detail the particular items of work or service to be performed or the materials to be supplied): \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

at the following price: \$ \_\_\_\_\_

The Contractor proposes , and the undersigned agrees to, the following beginning and completion dates for such work.

Date Proposal/Contract to be started \_\_\_\_\_

Date Proposal/Contract to be completed \_\_\_\_\_

Date Supplies ordered \_\_\_\_\_ Delivery Date \_\_\_\_\_

The above work will not be further subcontracted without the express written permission of the contractor and notification of the Department. The undersigned will enter into a formal agreement for the above work with the contractor ONLY upon the Contractor's execution of a contract with the Department.

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature of M/WBE Contractor

\_\_\_\_\_  
Printed/Typed Name of M/WBE Contractor

(See attached sheet for instructions.)

NEW YORK STATE  
DEPARTMENT OF SOCIAL SERVICES  
BIDDER IDENTIFICATION FORM

NYSDSS/OCM Use | Bidder #:  
Date Received:  
DE By/Date:

Firm/Provider: \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_ Zip: \_\_\_\_\_ - \_\_\_\_\_

If Outside USA - Province: \_\_\_\_\_ Country: \_\_\_\_\_

Employer Id Number (required): \_\_\_\_\_ Additional PIN: \_\_\_\_\_

Authorized Person (Name/Title): \_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Telephone: (\_\_\_\_)\_\_\_\_-\_\_\_\_ Fax Number: (\_\_\_\_)\_\_\_\_-\_\_\_\_

Please answer the following questions about your organization type.  
Instructions, including definitions, are provided on the reverse.

Check one answer for each question\*:

1) For-Profit: \_\_\_ Not-For-Profit Provider \_\_\_ Municipality \_\_\_  
Meets definition of "Small Business Concern" Yes \_\_\_ or No \_\_\_

2) MBE or MCBO \*\* \_\_\_ Women-Owned Business \*\* \_\_\_ Neither \_\_\_

IF MBE or MCBO: Please check one of the following:

Black: \_ Hispanic: \_ Asian/Pacific: \_ American/Alaskan Indian: \_

\* This information is required for reporting purposes and to assure equal opportunity to bid.

\*\* If checked, is your organization certified as a For Profit Minority or Women-Owned business by New York State ? (Yes/No) \_\_\_\_\_

Services Provided: Using the Service Codes listing on pg. 61, please check all that apply. A qualified Offeror may wish notice of RFPs in more than one service code area. If your firm's services are not included among the listed Service Codes, please specify below:

\_\_\_\_\_  
\_\_\_\_\_

BIDDER IDENTIFICATION FORM INSTRUCTIONS

GENERAL PURPOSE: To identify those qualified, potential offerors of services and goods who may be interested in responding to related, competitively bid, Requests for Proposals (RFPs), as issued by the Department.

EMPLOYER PAYEE ID: Federal Payee Id number or Social Security number used for your federal income tax reporting.

RETURN THE COMPLETED FORM TO: NYS Department of Social Services  
Attention: John Fogarty  
40 North Pearl Street, Section 8D  
Albany, NY 12243

CONTRACTOR TYPE: Payment categories as established by the State Comptroller

A Not for Profit Corporation is defined as an incorporated organization chartered for other than Profit-making activities. Most such organizations are engaged in charitable, educational, or other civic or humanitarian activities although they are not restricted to such activities.

A Small Business Concern is defined as a business which is resident in New York State, Independently owned and operated, not dominant in its field, and employs one hundred or less persons. A Not for profit organization may be considered a Small Business Concern if it meets the preceding criteria.

A Minority Business Enterprise (MBE) is defined as any business which is at least fifty-one percentum owned by, or in the case of a publicly owned business, at least fifty-one percentum of the stock of which is owned by, United States (U.S.) citizens or permanent residents aliens who are:

- a) Black persons having origins in any of the black African racial groups; and/or
- b) Persons of Mexican, Puerto Rican, Dominican, Cuban, other Caribbean island, Central or South American origin and/or national or community identification, whether of indigenous, Hispanic, Portuguese, French, Dutch, or other descent, and regardless of race; and/or
- c) Asian and Pacific Islander persons having origins in any of the Far East, Southeast Asia, the Indian subcontinent, or the Pacific Islands; and/or
- d) American Indian or Alaskan Native persons having origins in any of the original peoples of North America and maintaining identifiable tribal affiliations through membership and participation or community identification;

and such ownership interest is real, substantial and continuing. The minority ownership must have and exercise the authority to independently control the business decisions of the entity.

A Minority Community Based Organization (MCBO) is defined as a Not-for-Profit, local human service organization that has its origins in the geographic area comprised of one or more neighborhoods that it serves. A representative MCBO is therefore keenly aware of community needs as well as local resources to meet those needs. Generally, the governing bodies and personnel of community-based organizations reflect the racial, ethnic and cultural make-up of the community(ies) being served. A MCBO is characterized by majority representation of American Indians, Asian Americans, Blacks and/or Hispanics in both policy formulation and decision-making regarding management, service delivery and staffing reflective of the catchment area it serves.

A Women-owned Business Enterprise (WBE) is defined as any business enterprise which is at least fifty-one percentum owned by, or in the case of publicly owned business, at least fifty-one percentum of the stock of which is owned by citizens or permanent aliens who are women, and such ownership interest is real, substantial and continuing. The women-owned ownership must have and exercise the authority to independently control the business decisions of the entity.

(To meet the definition of an MBE or WBE, a non-profit organization must be controlled by a Board of Directors which consists of at least fifty-one percentum minority individuals or women, respectively.)

NEW YORK STATE CERTIFIED MINORITY or WOMEN OWNED BUSINESS - Limited to for Profit organizations which have been certified by the New York State Department of Economic Development as meeting the criteria for a Minority or Women Owned Business. Contact the Department of Economic Development, Division of Minority and Women Business Development at 212-383-1718 or 518-474-6346 for certification assistance.

NYS DEPARTMENT OF SOCIAL SERVICES  
SUBCONTRACTING UTILIZATION FORM

Agency \_\_\_\_\_ Contact: \_\_\_\_\_

Telephone: \_\_\_\_\_ Contract Number: \_\_\_\_\_

Dollar Value: \_\_\_\_\_

Date Bid: \_\_\_\_\_ Date Let: \_\_\_\_\_ Completion Date: \_\_\_\_\_

Contract Awardee/Recipient: \_\_\_\_\_

Name

Address

Telephone #

Description of Contract/Project Location: \_\_\_\_\_

Subcontractors Purchase with Majority Vendors:

Participation Goals Anticipated: \_\_\_\_\_ % MBE \_\_\_\_\_ % WBE

Participation Goals Achieved: \_\_\_\_\_ % MBE \_\_\_\_\_ % WBE

Subcontractors/Suppliers:

Firm Name and City	Description of Work	Dollar Value	Date of Subcontract	Identify if MBE or WBE or NYS Certified

Contractor's Agreement: My firm proposes to use the MWBEs listed on this form

Prepared by: (Signature of Contractor)	Print Contractor's Name:	Telephone #:	Date:
---	-----------------------------	--------------	-------

Grant Recipient Affirmative Action Officer Signature (If applicable):

FOR OFFICE USE ONLY

Reviewed by:	Date:
--------------	-------

M/WBE Firms: Certified: \_\_\_\_\_ Not Certified: \_\_\_\_\_

CBO \_\_\_\_\_ MCBO \_\_\_\_\_

APPLICATION FORMS FOR  
START-UP OR HEALTH AND SAFETY FOR FAMILY AND GROUP FAMILY DAY CARE HOMES  
AND  
HEALTH AND SAFETY FOR CHILD DAY CARE CENTERS

New York State Department of Social Services  
Division of Services and Community Development  
Bureau of Early Childhood Services

START-UP AND HEALTH AND SAFETY FOR FAMILY AND GROUP FAMILY DAY CARE HOMES

APPLICATION

1. Organizational Name, Address:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

2. Type of Application:      New \_\_\_\_\_      3. Amount of Funds Requested: \_\_\_\_\_  
                                 Continuation \_\_\_\_\_  
                                 Amendment \_\_\_\_\_

4. Type of Grant:      Start-Up and Health and Safety for Family and Group Family Day Care Homes

5. Dates of Project: \_\_\_\_\_

6. Contact Name, Title, Telephone Number:  
\_\_\_\_\_  
\_\_\_\_\_  
(     ) \_\_\_\_\_

7. Name & Title of Individual(s) Authorized to Sign for Applicant      8. Name, Telephone No. of Project Director:  
\_\_\_\_\_  
\_\_\_\_\_      \_\_\_\_\_  
\_\_\_\_\_      \_\_\_\_\_

9. Name, Title, Address, Telephone of Individual to Whom Payment Should be Directed:  
\_\_\_\_\_  
\_\_\_\_\_

10. Federal I.D.#:      - \_\_\_\_\_      11. Charities Registration #: \_\_\_\_\_

12. Number of new providers to be developed during this project term: \_\_\_\_\_

13. Will this project be providing services to a designated Empowerment Zone or Enterprise Community?      +-+ Yes      +-+ No  
   +-+                                   +-+

If Yes, specify: \_\_\_\_\_





17. Agreement:

It is understood and agreed by the applicant that: (1) This RFP does not commit the New York State Department of Social Services (the Department) to award any contracts, pay the costs incurred in the preparation of response to this RFP, or to procure or contract services. (2) The Department reserves the right to amend, modify or withdraw this RFP and to reject any proposals submitted, and may exercise such right at any time and without notice and without liability to any offeror or other parties for their expenses incurred in the preparation of a proposal or otherwise. Proposals will be prepared at the sole cost and expense of the offeror. (3) The Department reserves the right to accept or reject any or all proposals which do not completely conform to the instructions given in the RFP. (4) Submission of a proposal will be deemed to be the consent of the applicant to any inquiry made by the Department of third parties with regard to the applicant's experience or other matters relevant to the proposal. (5) Funds granted for this project will be used only for the conduct of the project as approved. (6) The grant may be terminated in whole, or in part, by the Commissioner of the Department. Such termination shall not affect obligations incurred under the grant prior to the effective date of such termination. (7) When funds are advanced, any unexplained balance at the end of the approved period will be returned. (8) Any significant revision of the approved project proposal will be requested in writing by the grantee prior to enactment of the change. (9) Progress reports will be submitted as required by the Department. The final program and financial reports will be submitted within a specified time period after the project terminates. Necessary records and accounts, including financial and property controls, will be maintained and made available to the Department for audit purposes. (10) All reports of investigations, studies, publications, etc. made as a result of this proposal will acknowledge the support provided by the Department. (11) All personal information concerning individuals served or studies conducted under the project is confidential and such information may not be disclosed to unauthorized persons. (12) The Department reserves a royalty free non-exclusive license to use and to authorize others to use all copyrighted material resulting from this project. (13) Some selected contractors may be asked to participate in a performance-based contract reimbursement plan. These selected agencies will be notified at a later date of procedures, should the Department opt to move in this direction. (14) Successful applicants will be subject to the State's prompt contracting law, if applicable.

The applicant certifies that to the best of his/her knowledge and belief the information in this application is true and correct, and that he/she will comply with the above agreement if the grant is received.

M M D D Y Y  
+-----+ +-----+ +-----+  
+-----+ +-----+ +-----+

\_\_\_\_\_  
Signature of official authorized to sign for applicant

Date

## Project Summary

On the page below, provide a brief, clear and concise summary of the narrative you are submitting with this application. This summary may be used by the Department to describe your project in various public announcements.

New York State Department of Social Services  
Division of Services and Community Development  
Bureau of Early Childhood Services

HEALTH AND SAFETY FOR CHILD DAY CARE CENTERS

APPLICATION

1. Organizational Name, Address:

---

---

---

2. Type of Application:            New \_\_\_\_\_            3. Amount of Funds  
   Continuation \_\_\_\_\_            Requested:  
   Amendment \_\_\_\_\_            \_\_\_\_\_

4. Type of Grant: HEALTH AND SAFETY FOR CHILD DAY CARE CENTERS

5. Dates of Project: \_\_\_\_\_

6. Contact Name, Title, Telephone Number:

---

---

(       )

7. Name & Title of Individual(s) Authorized to Sign for Applicant            8. Name, Telephone No. of Project Director:

---

---

---

---

9. Name, Title, Address, Telephone of Individual to Whom Payment Should be Directed:

---

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10. Federal I.D.#: \_\_\_\_\_ - \_\_\_\_\_            11. Charities Registration #: \_\_\_\_\_

12. Will this project be providing services to a designated Empowerment Zone or Enterprise Community?            +-+ Yes            +-+ No  
   +-+            +-+

If Yes, specify: \_\_\_\_\_

13. Will this project be located in an Economic Development Zone (EDZ)?  
   +-+ Yes            +-+ No  
   +-+            +-+

If Yes, name EDZ: \_\_\_\_\_



16. Agreement:

It is understood and agreed by the applicant that: (1) This RFP does not commit the New York State Department of Social Services (the Department) to award any contracts, pay the costs incurred in the preparation of response to this RFP, or to procure or contract services. (2) The Department reserves the right to amend, modify or withdraw this RFP and to reject any proposals submitted, and may exercise such right at any time and without notice and without liability to any offeror or other parties for their expenses incurred in the preparation of a proposal or otherwise. Proposals will be prepared at the sole cost and expense of the offeror. (3) The Department reserves the right to accept or reject any or all proposals which do not completely conform to the instructions given in the RFP. (4) Submission of a proposal will be deemed to be the consent of the applicant to any inquiry made by the Department of third parties with regard to the applicant's experience or other matters relevant to the proposal. (5) Funds granted for this project will be used only for the conduct of the project as approved. (6) The grant may be terminated in whole, or in part, by the Commissioner of the Department. Such termination shall not affect obligations incurred under the grant prior to the effective date of such termination. (7) When funds are advanced, any unexplained balance at the end of the approved period will be returned. (8) Any significant revision of the approved project proposal will be requested in writing by the grantee prior to enactment of the change. (9) Progress reports will be submitted as required by the Department. The final program and financial reports will be submitted within a specified time period after the project terminates. Necessary records and accounts, including financial and property controls, will be maintained and made available to the Department for audit purposes. (10) All reports of investigations, studies, publications, etc. made as a result of this proposal will acknowledge the support provided by the Department. (11) All personal information concerning individuals served or studies conducted under the project is confidential and such information may not be disclosed to unauthorized persons. (12) The Department reserves a royalty free non-exclusive license to use and to authorize others to use all copyrighted material resulting from this project. (13) Some selected contractors may be asked to participate in a performance-based contract reimbursement plan. These selected agencies will be notified at a later date of procedures, should the Department opt to move in this direction. (14) Successful applicants will be subject to the State's prompt contracting law, if applicable.

The applicant certifies that to the best of his/her knowledge and belief the information in this application is true and correct, and that he/she will comply with the above agreement if the grant is received.

M M D D Y Y  
+-----+ +-----+ +-----+  
+-----+ +-----+ +-----+

\_\_\_\_\_  
Signature of official authorized to sign for applicant

Date

## Project Summary

On the page below, provide a brief, clear and concise summary of the narrative you are submitting with this application. This summary may be used by the Department to describe your project in various public announcements.

BUDGET FORMS

NEW YORK STATE DEPARTMENT OF SOCIAL SERVICES  
Division of Services and Community Development  
Bureau of Early Childhood Services

INSTRUCTIONS  
BUDGET SUMMARY

- Item 13. Budget Summary by Object of Expense - Complete this page only after you have finished the more detailed budget, Items 14 through 20. The totals from those items should be entered here. Local share refers to all funds the applicant receives from any other source, including in-kind contributions, to support the project as described in the narrative section of the application. Explanatory remarks concerning the Budget Summary should be entered in the appropriate space.
- Item 14. Personal Services Cost - List all personnel by position, title, annual salary, and the percentage of time devoted to the project. Also, if the position will not be filled for the entire length of project, indicate the total number of weeks or months the position will be filled; e.g., 100%/3 months. Fringe benefits should be entered in total on the lines provided. The rate used for determining fringe benefit cost should be entered in the space next to the term.
- Item 15. Consultant Costs - Specify the consultant firm or function; e.g., evaluation, data collection. Consultants may be hired on a contractual or non-contractual (per diem) basis. Enter the amount for each firm or function. Include the rate of pay per unit of service.
- Item 16. Travel/Per Diem Costs - Itemize travel costs and show sub-total by major purpose (e.g., local staff travel, intercity staff travel, etc.) Indicate basis of computation of travel costs, e.g., ground transportation rates, intercity trip cost. Only enter travel costs for personnel listed in Item 14. Consultant travel expenses should be included in Item 15. Mileage rate cannot exceed State mileage rates.
- Item 17. Equipment Costs - Itemize needed equipment by type and cost. Equipment rental should be listed under Item 19. Equipment is any non-consumable, tangible property having a useful life of more than one year and an acquisition cost of \$100 or more per unit.
- Item 18. Supply Costs - List major supply items and indicate basis for computing total costs for this category.
- Item 19. Contractual Services Costs - This category includes cost of services for other than a personnel nature rendered to the project under a formal or informal contract. This category includes rental of equipment, real estate rental, utilities, printing, telephone, advertising, photocopying, and data processing services. Itemize contractual services and enter amount for each.
- Item 20. Other Expenses - List items not includable under any other category and enter the amount for each.

Item 21. Anticipated Revenue - Itemize amounts of assured revenue, potentially available funds, and estimated income from in-kind contributions:

Cash Donations should be calculated on the basis of what the applicant organization can realistically be expected to raise during the program year;

In-Kind Donations refers to equipment, furnishings, and other non-personal expenses that can be offset by gifts of the actual items;

Staff Positions, another type of in-kind contribution, refers to personnel whose salary is paid by another funding agency; e.g., WIN, etc.;

Local DSS Funding, any projected source of funding from Local Department of Social Services for subsidy of child care provision to DSS clients; please specifically demonstrate basis of your calculations;

Fees for Services refers primarily to income received from clients directly; please specifically demonstrate basis of your calculations;

Grants refers not only to the amount being requested under this RFP, but also to monies received (or applied for) from another funding source. Each grant must be listed separately under Section K.

BUDGET NARRATIVE

- o Indicate the titles and annual salary of each project staff and the agency fringe benefit rate.
- o Provide a brief explanation of the costs reflected in each budget category (i.e., lines B-4 through 8, C, D).

Use additional sheets if necessary.