

# Q and A for Priority Full-day Prekindergarten and Expanded Half-day Prekindergarten

## PROGRAMMING QUESTIONS

1. Please define what is meant by "new placements"? Does it mean adding new prekindergarten students (or new section/classroom) to an existing full-day or half-day prekindergarten program?

*New full-day placements means the district is adding full-day slots to serve prekindergarten students above the total number of students, both full- and half-day, enrolled in the district prior to receiving this grant.*

*Half-day to full-day conversions means the district is increasing the number of full-day slots by using these grant funds to change existing half-day slots to full-day.*

*New half-day placements means the district is using these grant funds to create additional half-day placements above the number it had prior to receiving this grant.*

2. One school district is short on classroom space; are there any objections to a district leasing space in a local church or synagogue to host the prekindergarten classrooms?

*It is an allowable expense for districts to use grant funds to lease space.*

3. What opportunities are available for schools with existing full-day UPK programs that have a waiting list this year?

*Eligible districts with existing full-day prekindergarten programs, whether funded by UPK or other sources, and a waiting list may apply for grant funding to create new full-day slots or new half-day slots to increase access to prekindergarten services for high need children not currently enrolled in their program.*

4. Can funding be used for before- and after-school programming for prekindergarten students?

*No. The intent of this grant is to increase instructional time by creating new full-day and half-day prekindergarten slots.*

5. We want to ensure all our prekindergarten students have a program to attend but do not have enough to form another full prekindergarten classroom of 20 students. Is it possible to use the funds to invite out of district students to enroll in our program? Or can we divide our current class and create two classes of up to 18?

*You may create two classes with up to 18 students if you have one teacher and one paraprofessional for each classroom of 18 or fewer. You can not, however, receive funding for out of district students as they do not meet the definition of “eligible student”.*

6. We received several questions regarding how a district decides how many half-day to full-day conversions to request if all or most of the current half-day students have similar strong needs.

*The key word in this question is “similar.” While all or most students may be from families with low income, there are many other factors that can be considered in defining high need – special needs, LEP, homelessness, etc. Applicants should establish criteria for identifying the highest need students and schools within the district.*

*When converting half-day slots to full-day, the district must ensure that the total number of students served does not decrease. When determining how many slots to apply for, districts must assess the capacity of their existing providers to convert their half day slots to full-day, including space considerations and appropriate staffing.*

7. Is there an option to go from a half-day program to an extended day program, but not a full-day program, so students are provided an additional one to two hours of time? Can this be offered to “at risk” students but not all students in the program?

*No. The priority of this grant is for the creation of full-day placements. Anything less than 5 hours per day is considered half-day.*

8. We have a full-day kindergarten and a full-day prekindergarten program in our district. I would like to add another section of prekindergarten (18 students). Would this be one of the acceptable projects for this grant?

*For eligible districts, the creation of an additional prekindergarten class would be an appropriate use of these funds.*

9. Can a district have a half-day and a full-day program?

*Yes. Within a district, some prekindergarten sections can be half-day and some can be full-day. For purposes of this grant, preference shall be given to districts establishing full-day placements and to districts converting half-day placements to full-day for high needs students.*

10. Can the funds be used to add additional half-day prekindergarten seats to our existing UPK grant programs to accommodate additional needy students?

*Yes, however priority will be given to districts that plan to establish full-day seats or to expand current half-day seats to full-day seats for high needs students.*

11. We would like to add an additional class but only have four four-year-olds. Can we fill our class with three year olds?

*No. The RFP specifies that an eligible child must be four years old.*

12. If a district is currently operating a half-day prekindergarten, can the district reapply for a full- day State supported program? Or, is the district only eligible to apply for the remaining half-day that is not grant supported?

*Eligible districts with an existing half-day prekindergarten program who want to have a full-day program may apply for the half-day to full-day conversion. However, the grant funds can not be used to replace the funds already being used to support the program. If the district is already receiving UPK funds for the first half of the day, it can receive its UPK allocation while receiving this grant to cover the second half of the day.*

13. Are applicants required to provide a dedicated ESL Teacher to meet the needs of ELL students?

*No. However, prekindergarten program regulations require districts to provide, either directly or through referral, support services to children and their families necessary to support the child's participation in the prekindergarten program. Support services must be provided to the maximum extent practicable in the language or mode of communication which the parents and/or guardians and the child best understand.*

14. If we were to apply for and obtain this grant and then some parents were opposed to their child attending full-day, could we adjust our numbers for those who do not choose the full-day, or could we back out completely?

*Grants will be adjusted based on the number of enrolled students, however, prior to submitting an application a district should determine how many full-day placements it needs to serve high risk prekindergarten students.*

15. Can you give examples of how a rural district might partner with a CBO?

*For purposes of this grant, "collaboration" has a very narrow definition. It means that the CBO partner is providing the prekindergarten instruction to all or some of the enrolled students. If there are no existing potential CBO partners within a district's boundaries, the district may request a variance from the collaboration requirement. Appendix 5 provides a Collaboration Variance Request form that an applicant requiring a variance must include with its application.*

16. If the school district partially funded a prekindergarten expansion to begin in September using local dollars (in anticipation of the grant award), can the district use the grant to fully fund the balance of the expansion?

*Districts can not use this funding to supplant local dollars that have been invested in prekindergarten programs.*

17. If a district previously went through the process of selecting a collaborative partner to work with through the UPK program and that partner is not interested or able to collaborate for this funding opportunity, is this district required to canvas the list of providers again for the purposes of this grant program?

*If all potential collaborators have been canvassed for interest in participating with the district's prekindergarten program for the 2013-2014 school year, it is not necessary to canvas them again for purposes of this grant.*

18. If our district is Average Need but we have pockets of poverty, may we apply?

*In order to be eligible to apply, a school district must have a Need Resource Index within the top 50 percent of all school districts OR have a Need Resource Category designating it as a high-need district. If your district does not fit either description then the district may not apply.*

*A list of eligible districts, as well as the Need Resource Index for each public school district, can be accessed at*

*<http://www.p12.nysed.gov/funding/2013-14-prekindergarten/appendix-6-pre-k-eligible-districts.pdf>.*

19. If we already have a prekindergarten program in place that we contract with another school district and our local BOCES and we would like to pursue a full-day program in district next school year, do we have to have a separate program starting in January of 2014 or can we apply for the funds starting July 1, 2014.

*Grant recipients must operate their prekindergarten program using these grant funds for at least 90 days in 2013-2014.*

20. Can a proposal include both conversion of half-day slots to full-days slots AND creation of NEW full-day slots?

*Yes.*

21. Does the grant have to include a combination of half-day **and** full-day funding?

*No. This grant can support but not supplant the creation of full-day prekindergarten slots or it can be used to support the creation of half-day slots. Some districts may choose to create both full-day **and** half-day slots, but that is not required.*

22. Is there a second BEDS day?

*No. BEDS day is always the first Wednesday in October. For this grant, BEDS day is irrelevant for the 2013-2014 school year because awards will not have been made at that time. SED will work with grantees to collect information about the number of new placements (full- and half-day) that are created and the number of half-day slots that are converted to full-day using these funds.*

23. We have some UPK's we could expand this year right away to full-day. We have some we could expand to full-day next year as we have to find space in those buildings and move some programs that are there. Can we write this into the grant for the following year? Or do just what we can do in 2013-2014?

*It would be recommended for the district to do as much expansion as possible during the 2013-2014 school year as the available funds for 2014-2015 are based upon the awardees achievement of the performance standards and the annual appropriation of funds in the State budget for this purpose. Districts cannot apply for programs or slots that will not begin until 2014-2015.*

## **FUNDING QUESTIONS**

24. When will districts be notified of their reward?

*Tentative award letters are anticipated to be issued by the end of November 2013.*

25. Is the proposed grant a separate and additional funding source?

*The funding for Priority Full-day Prekindergarten and Expanded Half-day Prekindergarten is a separate appropriation from the Universal Prekindergarten (UPK) program. This new appropriation will be awarded through a competitive process unlike UPK, which is an allocational award. Successful applicants that currently operate UPK will receive two separate grants.*

26. How will expanded numbers of students added as a result of this grant affect the yearly UPK allocation?

*Existing children in half-day slots that are converted to full-day will continue to be identified as UPK students. Students added as the result of the creation of new*

*full-day placements are not considered UPK students. Therefore, there should be no impact on the annual UPK allocation.*

27. Will UPK be replaced with this grant or will it be in addition to?

*UPK funding will NOT be replaced by this grant. This grant is to be used to supplement the creation of full-day slots, but not to be used to supplant existing funding.*

28. What year is the data for determining the funding levels based on?

*The funding levels are based on the UPK per pupil allocation for the 2013-2014 school year, found at: <http://www.p12.nysed.gov/upk/>.*

29. How stable will this source of funding be for districts needing to consider sustainability and district costs/share?

*Grantees will have the opportunity to renew funding on an annual basis for the following year and thereafter subject to the achievement of performance targets and the annual appropriation of funds in the State budget for this purpose. The project period for subsequent awards will be one year from July 1<sup>st</sup> through June 30<sup>th</sup>.*

30. Is this funding intended to provide prekindergarten services? Can we use funds in this grant to create a family literacy and learning program for children and care providers ages 2 and 3?

*Grant funding is only to be used to establish new full-day prekindergarten placements, convert existing half-day prekindergarten placements to full-day or create a limited number of new half-day prekindergarten placements.*

31. Is the school district required to provide additional funding in addition to this grant?

*No. There is no specific requirement that districts provide additional funding.*

32. Will the district be responsible for maintenance of effort if the additional funding goes away?

*Districts will not be required to maintain any placements created by these funds if in subsequent years the State budget does not provide an appropriation for this purpose. This does not change the maintenance of effort requirement for districts receiving a UPK allocation, separate from this grant.*

33. If a district is serving more students than they are funded for, can they apply for additional funding to cover the additional students? How long does the additional funding occur?

*Districts can not use this grant to supplant other sources of funding that are currently being used to support prekindergarten services.*

34. Is there a transportation requirement within the RFP? Can transportation be included as a cost of the program?

*There is no transportation requirement within the RFP. Transportation is an allowable expense.*

35. If a district is expanding from a half-day program to a full-day program are they required to provide transportation?

*Transportation is an allowable expense but is not a requirement for full or half-day prekindergarten programs.*

36. Can a district use funds to create a Begindergarten Program?

*No. These funds must be used to create full-day or half-day slots for prekindergarten programs. Begindergarten is a curriculum program initially designed for home school instruction.*

37. Can the grant be used to support summer programs?

*No, the funds from this grant can not be used to support summer programs.*

38. Does a district have to enroll the full number of slots proposed in the grant request in order to receive the full amount of the grant award? In other words, if the district proposes the creation of 36 new full-day slots, but only enrolls 34 students, is the grant award reduced?

*Grants will be adjusted based on the number of enrolled students if the number actually enrolled is less than the approved number of grant slots.*

39. If funding is not all dispersed to eligible districts (not enough districts apply or budgets submitted from applicants to not fully utilize the funding) and an ineligible district has applied, could that ineligible district then be awarded funding to be used on an individual basis solely for children within the district who meet eligibility requirements such as Free and Reduced Lunch Program and LEP?

*If an ineligible district applies for this grant, their application will not be read.*

40. Should I believe that our waiting list of over 150 eligible children will be a factor in defining our need to obtain funding to open up more half-day programs?

*In completing the “need” narrative section of the application, information about high need students or waiting lists may be incorporated.*

41. We are a school district that recently had an Early Reading First grant. On our first year after this funding ended, our Board of Education approved a budget whereby the district prekindergarten program remained at four full-days and one half day. The program is funded half through NYS Universal Prekindergarten and half through general funds. The Board has determined that the District will not be able to fund this in the future and beginning with the 2014-15 school year, the prekindergarten program will return to 2.5 hour sessions unless other funding becomes available. Given these circumstances, would our district be eligible to apply for the Full-Day Prekindergarten Grant?

*No. This would be an instance of supplanting.*

42. The grant reads: “Grant awards under the Priority Full-day Prekindergarten and Expanded Half-day Prekindergarten Grant Program will be based on the number of new placements/conversions and on a school district's selected grant per pupil as set forth in Column J of the 2013-2014 Universal Prekindergarten Allocations List.” Is this referring to the excel file that was posted on April 23?

*Go to the UPK website at: <http://www.p12.nysed.gov/upk/>  
The gray box on the right has an Excel Chart entitled UPK Allocations, posted 4/23/13.*

43. Who can be included in the definition of existing half-day seat? What is the definition of an “existing half-day seats?”

*Existing half-day seats are slots that are currently occupied by eligible students for a minimum of 2.5 hours.*

44. Are children who receive existing half-day services from UPK and other wrap around services eligible for half-day to full-day UPK status?

*If a student has wrap around services that provide a full-day of instruction already (5 hours or more), then no. This would be an example of supplanting.*

45. Are Head Start children eligible for expanded State funding to a full-day UPK?

*Head Start is not an eligible applicant for this grant. However, if a district contracts with a Head Start to act as a CBO then students attending that program could be eligible for this funding.*



## TECHNICAL QUESTIONS

46. Will applicants be required to submit another application for year two, beginning July 1, 2014?

*No. Grantees will have the opportunity to renew funding on an annual basis for the following school year and, thereafter, subject to the achievement of performance targets and the annual appropriation of funds in the State budget for this purpose.*

47. How will new questions which arise while working on the RFP (after Sept. 25), which are not answered on your website, be addressed?

*Any questions that arise that are not answered prior to the posting of this Question and Answer document will not be addressed by NYSED.*

48. May funding from this grant be used to provide support services? This may require the districts reduce the number of children served in order to provide needed support services. May funding for support services be allowed over and above the intended per child served amount, without a deduction?

*Support Services are an allowable expenditure from the grant, however funding is based on the number of students served and at the per pupil rate located on the UPK allocations chart, column J: <http://www.p12.nysed.gov/up>*

49. The action plan appears to be short narratives of areas needing improvement. Can supporting documents be attached with this page?

*Supporting documents should not be appended to the application. The Program Quality narrative should provide specific, comprehensive, detailed and clearly articulated information describing the status of implementation of the quality standards in the district, as well as the needed actions and plan for achieving full implementation.*

50. Is there any easy way to print out the Appendices off the internet? Right now, as it exists, it is a problem.

*All links related to this grant have been checked and any that were not working have been corrected.*

51. Can the application be submitted electronically (in whole or part) or must all hard copy original paperwork be mailed? If it may be submitted electronically, to what email address should it be sent?

*No. It must be mailed to the address indicated on page 3 of the application.*

52. Can grants be hand-delivered (vs. mailed)?

*Yes. They can be hand delivered to room 481 of the Education Building Annex at 89 Washington Avenue, Albany.*

53. Can we include the cost of a grant writer (to write this application) in the program budget?

*No. Districts can not be reimbursed for expenditures that occurred prior to the start date of the grant period.*

54. Please provide clarity around grant start date (12/1/13) and minimum of 90 days of operation: what starts on 12/1/13? When would the program start for children, January 2?

*If a district is awarded funding for this year, students must attend for a minimum of 90 days. How a district determines those 90 days is a local decision.*

55. If a school district has costs that cannot be changed (e.g. collective bargaining agreements) can the grant award be increased to cover some of these costs?

*No. Funding is based on the number of students served and at the per pupil rate located on the UPK allocations chart, column J: <http://www.p12.nysed.gov/up>*

56. The chart on page 14 of the application that must be included in the abstract – should this be completed with 2013-2014 plans (which will be for a shortened program)? Or, should it include the anticipated number of days and seats for future years (when there will be a full school year)?

*It is for the 2013-2014 program year.*

57. Is the Proposed Budget (FS-10) for school district expenses or CBO expenses?

*The FS-10 should show how the district proposes to expend the grant funds, including any purchased services such as money to pay CBOs for prekindergarten instruction.*

58. Could the application be submitted county wide on behalf of all the school districts in a county (as a collaborative effort) even though only one district in the county is eligible? In this case the funding awarded would be used solely to meet the individual needs of pockets of eligible students within other ineligible districts in the county as well as for the eligible students in the eligible district.

*No. Only eligible districts can apply for grant funds.*

59. I don't see a Column J on the eligibility list on the Column J of the 2013-2014 Universal Prekindergarten Allocations List.

*Column J, Selected Grant Per Pupil, is on the UPK Allocations List, available at: <http://www.p12.nysed.gov/upk/>*

60. Is there additional weight being given for creating new full-day placements versus expanding half-day to full-day programs during the proposal rating process ?

*Yes. The application asks how the proposal would prioritize funds to maximize the total number of eligible children in the district served by prekindergarten programs.*

61. How should a district decide how many full-day conversions to ask to be created if the vast majority of present half-day UPK students all have "the need."

*Applicants should establish criteria for identifying the highest need students and schools within the district.*

62. Is the assumption that all the funding will go to programs or could some be used for program assessments, quality improvements, family/community engagement, including outreach to fill these seats?

*All of these are allowable expenditures. The district needs to plan its proposed budget to provide instruction and all required program services.*

63. What is the enrollment deadline for these programs?

*Districts must select an enrollment date that ensures students are enrolled for at least 90 days during the 2013-2014 school year.*

64. Do teachers need to have EITHER teacher certification (B-2) in general OR special education to be a UPK teacher, or both?

*Either.*

65. Are bachelor's level teachers, in early childhood education, able to deliver instruction as long as they are under the supervision of a supervisor certified in Early Childhood education?

*CBOs employing teachers with Bachelor's Degrees must employ an on-site education director during the hours that the prekindergarten program is in operation that will be responsible for program implementation. The on-site director must be NYS certified in early childhood or a related field.*

66. Is supervision support for prekindergarten teachers by CBO staff (directors/managers) an allowable cost under the grant? Is so, what would be considered an appropriate ratio of CBO prekindergarten supervisors to prekindergarten teachers? For example: If a childcare center has one prekindergarten classroom serving 18 students how much CBO supervision is deemed appropriate?

*While the cost of classroom supervision is an allowable expense of this grant, SED does not have regulations establishing administrator to teacher ratios.*

67. Are we able to include funding in the proposed budget for recruiting efforts? Advertising? Recruiters?

*Yes, these are allowable expenses.*

68. Can the recruitment for 2014-15 be a different process than for 2013-14, since 2013-14 is already going to be partially complete?

*Yes. Applicants should describe both processes in the application.*

69. Will we be able to increase the number of children served? For example, some districts have a waiting list for parents interested in full-day programs. If we include those children as “new full-day” seats, are we able to increase the total number we serve from those approved on BEDS day for the present “half-day” UPK children?

*Yes. These funds can be used to fill additional seats from your student wait list. However, students funded from this prekindergarten grant will be reported separately.*

70. “Provide professional development, integrated with k-grade 3, for staff and teachers in all public and nonpublic UPK teachers”, what does this mean? Does it mean that all pre-k, k, 1<sup>st</sup>, 2<sup>nd</sup>, and 3<sup>rd</sup> must participate in all the same professional development? Is it mandated or optional participation?

*This means that professional development for teachers and staff of prekindergarten, working in either the school or the CBO settings must be connected to the goals and needs of the prekindergarten and kindergarten through grade three. High quality professional development will provide information on how to integrate all of the domains of early learning as set forth in the Prekindergarten Foundation for the Common Core and the NYS Common Core Learning Standards. This will enhance the learning continuum from prekindergarten through Grade 3.*

71. Professional Development, “Trainers have the qualifications, experience and knowledge to provide informative, practical research based training in the content areas”. What are the expected qualifications, experience, and knowledge needed to be such a trainer?

*Trainers must have the background and experience in the topics that they are training /teaching about to make them effective. These “qualifications, experiences and knowledge” may differ across trainers. Many effective trainers will have developed a “trainer portfolio” to help illustrate his or her areas of specialization and experience. Degrees and certifications, as well as training credentials, should be part of this portfolio.*

## **ASSESSMENT QUESTIONS**

72. The self-assessment tool is to be completed only if awarded, correct?

*Yes. It is provided at this time to give districts more information on the expectations of successful applicants.*

73. The RFP talks about adoption of approved research-based set of quality indicators including valid and reliable measures of the environment and teacher-student interactions. Are we required to conduct ECERS and CLASS Assessments on these programs?

*The ECERS and CLASS are examples of measures that can be used to meet this requirement.*

74. Is one free to determine which Student Assessment to use from the many "research-based, Common Core aligned" options - or does NYSED prescribe to any one, specifically?

*Districts may choose which assessment tools to use. The instrument(s) used for assessment must be valid and reliable.*

75. Will program assessments to be used be uniform and come from NYSED?

*NYSED will not mandate an assessment tool.*

76. Provide for an assessment of the development of language, cognitive and social skills of all enrolled prekindergarten students. Does the State or does the district choose which assessments are to be used? If the state does not choose the assessment, is there a “State Approved” list to choose to from?

*NYSED will not mandate an assessment tool and there is no list.*

77. Is there a State required evaluation form, process or procedure, for the prekindergarten teachers?

*No, there is no State required evaluation form, process or procedure for prekindergarten teachers because they are not subject to the evaluation requirements of Education Law section 3012-c.*

*However, the statute for this grant (Chapter 53 of the Laws of 2013) provides that no district shall receive any portion of the grant unless it has submitted documentation that has been approved by the Commissioner, demonstrating that it has fully implemented new standards and procedures for Annual Performance Reviews of classroom teachers and building principals pursuant to Education Law section 3012-c. Therefore, the district must demonstrate full implementation to receive these grant monies.*

78. “Annually, a grantee must report on the status of”, will there be a state template for this report? And, if so, when will this template be available to school districts?”  
Grantees must submit an annual program report at the end of the grant period”, will there be a state template for this report? And, if so, when will this template be available to school districts?”

*There will be an annual report to be submitted in a format specified by SED. Grant recipients will receive more specific information regarding reporting requirements early in the grant period.*

79. “Agree to participate in any independent evaluation”, when will we know about this evaluation? How much should we budget for our efforts in this evaluation?

*It is not necessary to budget for an independent evaluator.*

## **QUESTIONS REGARDING FUTURE FUNDING**

80. If less prekindergarten slots are needed by a district in future years will future awards be reduced?

*The grant award is directly related to the number of children served. If the number of prekindergarten students decreases, your grant funding will be reduced accordingly.*

81. Should districts address the issue of sustainability in their applications? Or is the presumption that state funding will be available?

*Future funding is contingent on an annual appropriation of funds in the State budget for this purpose.*

82. If a district chooses not to participate this year. Will they be able to apply next year?

*At this time it is not known if additional RFPs will be released.*

## COMMUNITY BASED ORGANIZATIONS QUESTIONS

83. What is your definition of a community-based organization? Does a government agency (like a county) qualify as a CBO?

*Eligible community-based organizations (CBOs) include existing providers of child care and education, licensed or registered day care providers, Head Start programs, nursery schools, special education 4410 providers, BOCES, non-public schools, libraries and museums. Such providers must currently meet, or be willing to adapt their programs to meet, the standards and requirements of Subpart 151-1 of the regulations of the Commissioner of Education, as well as the requirements of this grant. Government agencies do not qualify as a CBO.*

84. Our District presently contracts with many CBOs for half-day UPK. With the expectations that many of our present sites will be asking to convert to full-day UPK, and with "strong needs" being equal, what are NYSED suggested means for our determining which sites should be granted the full-day programs?

*While all or most students may be from families with low income, there are other factors that can be considered in defining high need. Applicants should establish criteria for identifying the highest need students and schools within the district. When converting half-day UPK slots to full-day, the district must ensure that the total number of UPK students served does not decrease. Districts must assess the capacity of their existing providers to convert their half-day program to full-day, including space considerations and appropriate staffing. It is permissible for an applicant to request funds to both convert slots from half- to full-day and to establish new half-day slots.*

85. Will each CBO involved with full-day prekindergarten have to complete an annual RFP application each year? Will the district need to reapply each year? Does it require annual bidding from providers?

*This is to be determined in the contract between districts and their collaborating agencies.*

86. Can a CBO apply directly for the grant or only through a school district?

*No. A CBO can not apply directly for the grant. A CBO can contract with eligible districts. Such providers must currently meet, or be willing to meet, the standards and requirements of Subpart 151-1 of the regulations of the Commissioner of Education as well as the requirements of this grant.*

87. If we are awarded funding, will the new quality standards be program wide or only for UPK classrooms in public schools and CBO classrooms involved in the expansion?

*The quality standards will be required for all classrooms involved in the expansion but ideally, should be implemented district-wide over time.*

88. If a district has existing contracts with CBOs for prekindergarten services, can they collaborate with those CBOs without doing an open solicitation to all eligible providers?

*Yes.*

89. Are school districts expected to have the CBOs identified at the time of the application submission or can the process for selecting be described in the proposal and the specific CBOs chosen later?

*At the time of the application, a process must be described for targeting the highest need students in the highest need schools, including the strategy for identifying CBOs or the submission of a waiver request form. Awardees will need to provide information about the CBOs they are contracting with in their Quality Improvement Action Plan.*

90. Do CBOs have to be a direct contract with the school district? Can CBOs have a contract with a different local government agency and receive the funding through a blended funding model (e.g., with Head Start).

*Generally CBOs have a contract directly with the school district. In limited circumstances, and with prior SED approval, a district may have a memorandum of understanding with another government agency that administers and/or provides oversight for a group of early childhood providers within the community.*

91. "Provide supervision for all classrooms regardless of setting. School districts are also responsible for supervision of prekindergarten classrooms in community based organizations." Does this mean that the school district must take over day to day supervision of CBO teachers and classrooms? Or, that the school district is ultimately responsible, but expects the CBO's staff (directors, managers) to be an important part of the day to day supervisory process?

*Districts are not expected to take over the day to day supervision of CBO teachers and classrooms. They are expected to periodically visit CBO classrooms to observe instruction and ensure that the district's goals for the prekindergarten program are being met. Ultimately, the district is responsible for the oversight of their prekindergarten program regardless of the instructional setting and should have processes and procedures for working with CBO administrators to address issues identified during observations.*



## M/WBE QUESTIONS

**Please note: The "Calculation of M/WBE Goal Amount" chart has been revised in the RFP to add a new line #6. to insert the amount of Rent/lease and utilities as a deductible from calculating the base amount of the grant request subject to M/WBE goals. See Q&A 103."**

92. We have long standing relationship with CBOs in our community. How can we possibly meet M/WBE goals?

*MWBE Participation Goals can be met by utilizing NYS certified firms for any services, materials and/or supplies.*

93. We have worked with not for profit CBOs for many years, can they be certified in NY?

*No, only for profit firms can be certified by Empire State Development. Certification and Eligibility information can be found at <http://www.esd.ny.gov/MWBE/GetCertified.html>.*

93. M/WBE requirements and not-for-profits that are partner agencies. If they don't count towards M/WBE why wouldn't the CBO contracts count towards the formula of the M/WBE goal; they will be in code 40 of the FS10; however the funds pay for agency salary and fringe benefits through a contract to the agency.

*M/WBE goals are calculated on 20% of the total amount of the grant excluding Salaries (Codes 15 and 16), Employee Benefits (Code 80) and Indirect Costs (Code 90). Rent/lease and utilities are also excluded if not a part of the Indirect Costs.*

94. For the purposes of completing the M/WBE documents package, must the school district have the CBOs identified at the time of the application submission?

*YES, if the CBOs are NYS certified and the district intends to use them to meet M/WBE goals.*

95. MB 100 – Does the term “bidder” refer to the school district?

*YES, bidder refers to the lead applicant.*

96. MB100 – Does the term “Minority and/or Women-Owned Business Enterprise” refer to individual CBOs that the school district will be utilizing?

*This term refers to any NYS certified firm utilized for services, materials and/or supplies.*

97. M/WBE 102 - Does the term “bidder/contractor” refer to the school district?

*YES, this refers to the lead applicant.*

98. M/WBE 102 - Does the term “subcontractor/suppliers” refer to the CBOs that the school district will be utilizing?

*This term refers to any NYS certified firm utilized for services, materials and/or supplies. Certification and Eligibility information can be found at <http://www.esd.ny.gov/MWBE/GetCertified.html>.*

99. EEO 100 – Is this form to be completed for the staff of the school district as well as the staff of the individual CBOs?

*This form is for the lead applicant only.*

100.EEO 100 – Does the term “bidder” refer to the school district?

*YES, refers to the lead applicant.*

101.EEO 100 – Does the term “subcontractor” refer to individual CBOs that the school district will be utilizing?

*This form is for the lead applicant only*

102. Will applicants be penalized for not meeting MWBE requirements? Most expenses will comprised of staff salaries and payments to non-profit community based prekindergarten sub-contractors.

*There is no penalty, but compliance is required. There are three ways to comply with M/WBE participation goals:*

- 1. Full Participation (PREFERRED)*
- 2. Partial Waiver including Good Faith Efforts documentation*
- 3. Full Waiver including Good Faith Efforts documentation*

103. Are districts required to meet the M/WBE goal of 20% in 2013-2014 (even though it will be a shortened year)? Or just in full school years (and so beginning in 2014-15)?

*M/WBE goals are calculated on 20% of the total amount of the grant excluding Salaries (Codes 15 and 16), Employee Benefits (Code 80), and Indirect Costs (Code 90). Rent/lease and utilities are also excluded if not a part of the Indirect Costs.*

104. For the Minority and Women-Owned Business Enterprise what type of services are they being subtracted for? Nothing was specified.

*M/WBE Participation Goals can be met by utilizing NYS certified firms for any services, materials and/or supplies.*

105. How should 501(c) (3) CBO providers “direct personal services and fringe benefits” be applied per RFP requirements?

*If the CBO is 501(c) (3), these costs would not apply. If the CBO is a NYS certified Minority and Women-Owned Business Enterprise, the total cost would be applied.*

106. Regarding quarterly reports, how would a district contracting with a vendor for materials have knowledge of the vendor’s staffing etc? Would this information be reported by the M/WBE vendor rather than the district?

*The Quarterly M/WBE Compliance Report is used by the lead applicant to report payments made to M/WBE firms. Vendor staffing is not a part of the Quarterly M/WBE Compliance Report.*

107. Question about M/WBE: How does one advertise and bid for vendors in a timely fashion and with a good faith effort? By the time we know exactly what will be in our budget, there is not enough time to solicit M/WBEs or any businesses!!

*The Good Faith Efforts Certification is a list of seven (7) possible actions. NYS certified M/WBE firms can be found at <https://ny.newnycontracts.com/FrontEnd/VendorSearchPublic.asp?TN=ny&XID=4687>.*

108. If the district is applying to expand the program at a current site under the UPK regulations, which did not require this M/WBE participation process, does the waiver apply or do we need to contact the business on the list even though they do not meet our current needs?

*M/WBE Participation Goals can be met by utilizing NYS certified firms for any services, materials and/or supplies purchased by the lead applicant.*

*Compliance is required. There are three ways to comply with M/WBE participation goals:*

- 1. Full Participation (PREFERRED)*
- 2. Partial Waiver including Good Faith Efforts documentation*
- 3. Full Waiver including Good Faith Efforts documentation*

109. Are we allowed to speak with M/WBE person if clarification is necessary?

*YES. Questions regarding M/WBE requirements may be e-mailed to [MWBE@mail.nysed.gov](mailto:MWBE@mail.nysed.gov).*