



**Department of  
Youth & Community  
Development**

Jeanne B. Mullgrav  
Commissioner

## **Adult Literacy Services Young Adult Literacy Services**

### **Request For Proposals PIN 26012ALITRFP**

**RFP Release Date:** February 14, 2011

**Deadline For Proposals:** **2:00pm Monday, March 21, 2011**

**RETURN TO:** **DYCD Procurement Office  
156 William Street, 2<sup>nd</sup> Floor  
New York, New York 10038**

**ATTENTION:** **Michael Owh, Agency Chief Contracting Officer**

**Pre-Proposal Conference:** **March 2, 2011, at 10:00am OR 2:00pm**

**Pre-Proposal Location:** **2<sup>nd</sup> Floor Auditorium  
Department of Youth and Community Development  
156 William Street  
New York, NY 10038**

**This Request for Proposals (RFP) must be obtained directly from the Department of Youth and Community Development (DYCD) in person or by downloading it from DYCD's website, [www.nyc.gov/dycd](http://www.nyc.gov/dycd). If you obtained a copy of this RFP from any other source, you are not registered as a potential proposer and will not receive addenda DYCD may issue after release of this RFP, which may affect the requirements or terms of the RFP.**



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**ADULT LITERACY SERVICES  
YOUNG ADULT LITERACY SERVICES  
REQUEST FOR PROPOSALS (RFP)  
PIN: 26012ALITRFP**

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## **AUTHORIZED AGENCY CONTACT PERSONS**

The authorized agency contact persons for all matters concerning this Request for Proposals (RFP) are:

### **Procurement**

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### **RFP Content and Procedures**

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**NOTE ON E-MAIL INQUIRIES: Proposers should enter “Adult/Young Adult Literacy Services RFP” in the subject line of the e-mail.** DYCD cannot guarantee a timely response to phoned-in and written questions regarding this RFP received less than one week prior to the RFP due date.

Proposers should note that any telephone or written response that may constitute a change to the RFP will not be binding unless DYCD subsequently issues such a change as a written addendum to the RFP.

## SECTION I - TIMETABLE

**A. Release Date:** February 14, 2011

**B. Pre-Proposal Conferences:**

**Date:** Wednesday, March 2, 2011  
**Time:** 10:00am OR 2:00pm  
**Location:** 2<sup>nd</sup> Floor Auditorium  
Department of Youth and Community Development  
156 William Street  
New York, NY 10038

Attendance by proposers is optional but recommended by DYCD. Due to limited seating, DYCD requests that each organization send no more than one representative.

**C. Proposal Due Date and Time and Location:**

**Date:** **Monday, March 21, 2011**  
**Time:** **2:00 PM**  
**Location:** **Hand deliver** proposals to:  
DYCD Procurement Office  
Attention: Michael Owh, Agency Chief Contracting Officer  
156 William Street, 2<sup>nd</sup> Floor  
New York, NY 10038

DYCD will not accept e-mailed or faxed proposals.

Proposals received at this location after the proposal due date and time are late and shall not be accepted, except as provided under New York City's Procurement Policy Board Rules, Section 3-03(f)(5).

In accordance with Section 3-03(f)(5), DYCD will consider requests made to the Agency Chief Contracting Officer to extend the Proposal Due Date and Time prescribed above. However, unless DYCD issues a written addendum to this RFP to extend the proposal due date and time for all proposers, the proposal due date and time prescribed above shall remain in effect.

**D. Anticipated Contract Start Date: July 1, 2011**

## **SECTION II - SUMMARY OF THE REQUEST FOR PROPOSALS**

### **A. Purpose of the RFP**

DYCD currently supports a wide spectrum of literacy programs for adults, adolescents, and families. Through this RFP DYCD seeks appropriately qualified providers of literacy services for adults living in New York City (City). DYCD will fund programs that offer Adult Basic Education (ABE), General Educational Development (GED) Tests preparation, English to Speakers of Other Languages (ESOL), and Basic Education in the Native Language (BENL) instructional services. In collaboration with the Center for Economic Opportunity (CEO) DYCD also seeks providers that will offer pre-GED instruction<sup>1</sup> to young adults ages 16-24 as well as a technical assistance (TA) vendor to support those programs.

### **B. Background**

Literacy proficiency enables adults to find and keep employment that allows for a decent standard of living and a career ladder, to become involved with schools to support their children's education, and to actively participate in civic life. Literacy services are needed in New York City, at all age levels, for both native and non-native English speakers. An estimated 36 percent of all City adults have literacy proficiency at the lowest level.<sup>2</sup> According to the New York State Assessment of Adult Literacy, the average prose and document literacy of adults in New York State is significantly lower than the average literacy of adults in the nation.<sup>3</sup> There is a clear need for English language classes as well. As noted in the New York City Department of City Planning's 2004 report, *The Newest New Yorkers*, one in four New Yorkers reported problems with speaking English. In 2006 there were 1,666,807 adults aged 18-64 in New York State without high school diplomas and only 28,345 (1.7 percent) of them attained GED credentials.<sup>4</sup>

GED programs generally serve participants reading at the eighth grade level equivalent or above and few programs are available for out-of-school youth with fourth to eighth grade reading skills. To address the need for pre-GED services and explore best practices for these vulnerable youth, CEO and DYCD invested in a pilot program of instruction, internships, and case management for disconnected youth aged 16-24 who read between fourth and eighth grade level with a particular focus on those who read between the fourth and sixth grade level. DYCD received funding to contract with five community-based organizations to develop model programs. The currently funded programs are located in the Bronx (Highbridge and South Bronx), Brooklyn (Flatbush), and Manhattan (Washington Heights and East Harlem). The New York Public Library, Queens Public Library, and Brooklyn Public Library also received funding to establish two model programs each. CEO and DYCD hired a literacy consultant to coordinate the projects, promote lessons learned, and ensure that the programs provided high-quality services. Programs began in the fall of 2008. In the summer of 2009 a paid summer internship program was added at five of the twelve sites. An evaluation by Westat/Metis showed that students who participated in the internships had increased attendance and greater gains in math skills as opposed to those who did not.<sup>5</sup> The young adult literacy initiative was initially open only to organizations with contracts for ABE or GED services awarded from DYCD's June 2007 RFP. It will be continued through an open competition detailed in this RFP which includes those features such as TA and the paid internship component that have contributed to its success.

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<sup>1</sup>Throughout this RFP pre-GED instruction refers to instruction for those reading at the fourth to eighth grade levels.

<sup>2</sup>Stephen Reder, "The State of Literacy in America: Synthetic Estimates of Adult Literacy Proficiency at the Local, State, and National Levels," NIFL website, <http://nifl.gov/reders/reder.htm>.

<sup>3</sup>American Institutes for Research, *Highlights from the 2003 New York State Assessment of Adult Literacy*, 2005, p. 10.

<sup>4</sup>National Commission on Adult Literacy, *Reach Higher, America: Overcoming Crisis in the U.S. Workforce*, Report of the National Commission on Adult Literacy, June 2008.

<sup>5</sup>Westat and Metis Associates, *Evaluation of the Young Adult Literacy Summer Internship Experiment: Interim Report*, December 23, 2009.

Literacy programs funded through this RFP, both for adults and for youth, would provide evidence-based, contextualized instruction. Spoken and written language fluency is most quickly realized in contexts that are immediately relevant to students' lives through instruction in areas such as career development, finances, health care, civics, and parenting. Programs would also be enhanced by leveraging additional resources through development of partnerships with other organizations in the community. Recognizing the critical role that professional development plays in effective educational programming, DYCD supports literacy program staff with a range of in-service offerings. However, the expectation is that all providers would develop a comprehensive professional development plan that addresses the student population and particular needs of their instructors. DYCD also supports continual assessment of program quality and application of findings to improve program effectiveness.

### **C. Service Options/Competitions**

Service Options/Competitions are as follows:

- **Service Option I: Adult Literacy Services**
  - Competition 1: ABE/GED**
  - Competition 2: BENL/ESOL**
- **Service Option II: Young Adult Literacy Services**
  - Competition 1: Pre-GED Instruction**
  - Competition 2: Technical Assistance (TA)**

Within Service Option I there will be separate competitions for ABE/GED and BENL/ESOL and within Service Option II separate competitions for pre-GED instruction and TA. Proposers may propose to provide services under more than one service option and more than one competition, but must submit a separate and complete proposal for each service option and each competition proposed. However, no entity that is awarded a contract to provide TA to the Young Adult Literacy Services programs will be eligible for award to operate a Young Adult Literacy Services program.

#### **For Service Option I, Competitions 1 and 2, and Service Option II, Competition 1,**

Selected proposer(s) for these competitions will need to demonstrate not-for-profit incorporation and federal tax exemption under Internal Revenue Code Section 501(c)(3) prior to the contract start date.

### **D. Anticipated Maximum Available Annual Funding**

It is anticipated that the annual funding for Service Option I will be a maximum of \$2,040,593 with \$612,178 available for Competition 1 (ABE/GED) and \$1,428,415 available for Competition 2 (BENL/ESOL). DYCD anticipates funding up to six programs in Competition 1 and fourteen programs in Competition 2 with a maximum annual funding of \$100,000 per program. DYCD expects contractors to supplement the available DYCD funding with additional resources in order to provide viable literacy programs. DYCD has observed that a quality literacy program typically requires annual funding of at least \$125,000–\$150,000 with the annual salary of the program coordinator in the range of \$60,000–\$70,000 and the annual salaries of instructors in the range of \$37,000–\$45,000 for full-time instructors and \$33/hour–\$45/hour for part-time instructors.

It is anticipated that the annual funding for Service Option II will be \$880,000 for Competition 1 (Pre-GED Instruction) to fund five programs at \$176,000 each which includes \$50,000 for a paid internship component. Each program would operate four nine-week internship cycles annually with an average of twelve participants each cycle. The maximum annual funding for Competition 2 (TA) will be \$100,000.

DYCD reserves the right to award less than the full amount of funding requested by proposers and to modify the allocation of funds among service options and competitions in the best interests of the City.

#### **E. Anticipated Contract Term**

It is anticipated that the term of the contracts awarded from this RFP will be for three years, from July 1, 2011 to June 30, 2014.

#### **F. Anticipated Payment Structure**

##### **1. Service Option I, Competitions 1 and 2, and Service Option II, Competition 1**

It is anticipated that the payment structure will be based on line-item budget reimbursement.

##### **2. Service Option II, Competition 2**

It is anticipated that the payment structure for the TA contract will be based on an hourly rate of up to \$160. This rate will encompass all costs related to TA services, including but not limited to equipment and training materials, travel, space costs, pre-service assessments, preparation for training or consulting sessions, conducting meetings and consultations, reports, and follow-up activities.

Payments to the TA vendor would be made monthly upon receipt of approved invoices submitted jointly to DYCD and CEO. Each invoice would include the contract number, project title, schedule of work performed, outcome(s) achieved, and payroll reports/timesheets. Each monthly payment would be contingent upon the completion of deliverables due and approval of TA activities undertaken within the month for which services are invoiced.

#### **G. Geographic Areas To Be Served**

**Proposers may propose literacy services in any geographic area within the City.** Proposers are encouraged, but not required, to propose services to residents of one or more of the City community districts listed below with a high level of need for literacy services.<sup>6</sup>

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<sup>6</sup>The target CDs for Service Option I, Competition 1 and Service Option II, Competition 1 programs were determined based on numbers of persons living in poverty and numbers of persons who have less than a ninth grade education, with respect to other CDs within the same borough. The target CDs for Service Option I, Competition 2 were determined based on numbers of persons living in poverty and numbers of persons who speak English "less than very well," with respect to other CDs within the same borough. (Source: Population Division, New York City Department of City Planning, 2006-2008 ACS.)

1. **Service Option I, Competition 1 and Service Option II, Competition 1: Target CDs:**

| <b>BRONX</b> | <b>BROOKLYN</b> | <b>MANHATTAN</b> | <b>QUEENS</b> | <b>STATEN ISLAND</b> |
|--------------|-----------------|------------------|---------------|----------------------|
| Bronx 1      | Brooklyn 1      | Manhattan 3      | Queens 1      | Staten Island 1      |
| Bronx 2      | Brooklyn 3      | Manhattan 9      | Queens 2      |                      |
| Bronx 3      | Brooklyn 4      | Manhattan 10     | Queens 3      |                      |
| Bronx 4      | Brooklyn 5      | Manhattan 11     | Queens 4      |                      |
| Bronx 5      | Brooklyn 7      | Manhattan 12     | Queens 5      |                      |
| Bronx 6      | Brooklyn 11     |                  | Queens 7      |                      |
| Bronx 9      | Brooklyn 12     |                  | Queens 12     |                      |
|              | Brooklyn 14     |                  |               |                      |
|              | Brooklyn 16     |                  |               |                      |

2. **Service Option I, Competition 2: Target CDs:**

| <b>BRONX</b> | <b>BROOKLYN</b> | <b>MANHATTAN</b> | <b>QUEENS</b> | <b>STATEN ISLAND</b> |
|--------------|-----------------|------------------|---------------|----------------------|
| Bronx 1      | Brooklyn 1      | Manhattan 3      | Queens 1      | Staten Island 1      |
| Bronx 2      | Brooklyn 4      | Manhattan 9      | Queens 2      |                      |
| Bronx 3      | Brooklyn 5      | Manhattan 10     | Queens 3      |                      |
| Bronx 4      | Brooklyn 7      | Manhattan 11     | Queens 4      |                      |
| Bronx 5      | Brooklyn 11     | Manhattan 12     | Queens 5      |                      |
| Bronx 6      | Brooklyn 12     |                  | Queens 7      |                      |
| Bronx 9      | Brooklyn 13     |                  | Queens 9      |                      |
|              | Brooklyn 14     |                  |               |                      |
|              | Brooklyn 15     |                  |               |                      |

**H. Subcontracting/Consultants**

Subcontracting will not be allowed under this RFP, but consultants may be retained for specialized, limited services subject to prior DYCD approval. No more than 30 percent of the total budget for either service option may be allocated for consulting services.

**I. Regulatory Requirements**

**Nondiscrimination.** The contractor shall provide services to all persons regardless of actual or perceived race, color, creed, national origin, alien or citizenship status, gender (including gender identity), sexual orientation, disability, marital status, arrest or conviction record, status as a victim of domestic violence, lawful occupation, and family status.

**Personnel Investigation/Arrest Notification.** The contractor must undertake appropriate background checks of all staff paid under any DYCD-funded program. Such checks will include verification of prior employment and references through direct contact by the contractor with former employers. The contractor will be required to provide rosters of all staff in the literacy program, whether funded directly by DYCD or otherwise. The contractor will be asked to verify the actual existence of claimed staff through an inspection by senior agency staff. Upon receipt of an award, the contractor shall comply with all federal, State, and City regulations with respect to investigation for criminal conviction histories of program staff members (proposed or currently employed), including volunteers, including the requirement that all such persons in programs serving youth under the age of 21 be fingerprinted.



Contractors shall comply with applicable State and federal regulations, including 42 U.S.C. §5119. Fingerprinting procedures have been developed by DYCD, the costs of which are reimbursable under the contract as part of the unit price. Youth staff (paid and volunteer) who are 17 years old or younger and who are still attending school are not required to be fingerprinted.

Such regulations, policies, and procedures shall also determine whether individuals with criminal conviction histories may continue their employment in the literacy program. In addition, the literacy program shall report any conviction or subsequent arrest of any staff member (paid or volunteer) of which it becomes aware to DYCD.

## SECTION III: SCOPE OF SERVICES

### **A. Goals and Objectives**

The goal of the RFP is to provide opportunities for adults and older youth with limited reading, writing, math, and English language abilities to improve their capacities to succeed as workers, family members, and community residents. The funding will support programs of contextualized instruction in ABE, GED, BENL, and ESOL as well as technical assistance services for programs serving disconnected youth, aged 16-24.

#### **1. Service Option I: Competition 1 and 2**

Adult Literacy Services programs are designed to assist adults and out-of-school youth to become literate and obtain the knowledge and skills necessary for employment and self-sufficiency and to pursue further education. ABE programs will provide instruction in reading, writing, and mathematics in English. GED Tests preparation programs will provide the preparation needed to successfully sit for and pass the GED Tests. BENL programs are designed for students whose acquisition of English language skills is hampered by a lack of native language literacy. In addition to literacy instruction in the native language, the expectation is that all BENL programs offer instruction that, at a minimum, provides students with a foundation in oral English language “survival” skills. ESOL programs will provide English language instruction.

#### **2. Service Option II: Competition 1**

Young Adult Literacy Services programs will provide intensive basic literacy and numeracy instruction, also referred to as pre-GED instructional services, to disconnected youth aged 16-24 who read at the fourth through eighth grade levels, as measured by the TABE. Providers would be encouraged to target students at the low end of the range and work with them until they are able to successfully transition to programs that would prepare them for passing the GED tests. Students would thereby earn the high school credentials that will enable them to access jobs or higher education.

To meet the needs of this specific population, which is considered hard-to-serve in terms of maturity and skill levels, the program would supplement instructional services with paid internships and comprehensive support services. Each participant would be served until either achievement of an eighth grade reading level or the end of the contract term. To promote improved classroom attendance and build work readiness, participants who attend at least 80 percent of literacy classes would be eligible to participate in a subsidized internship program. Students would receive a stipend of \$50 each week for participating in an internship or group project.

#### **3. Service Option II: Competition 2**

CEO and DYCD expect that literacy instruction offered through Young Adult Literacy Services programs will be innovative, comprehensive, and effective. It is also anticipated that the libraries and DYCD-funded contractors will have different capacities to provide the required services and, therefore, different TA needs. The TA vendor would customize TA activities to individual programs as well as share best practices across all programs. Given the limited funding for TA, all proposed work plans and priorities for TA activities will be presented to and receive prior approval from both CEO and DYCD.

The vendor would support program development by finalizing the design of effective and engaging programs and by helping programs successfully implement new literacy services. The

vendor would assist all programs during their start-up phases, including the selection, development, and implementation of age-appropriate curricula. Additional TA activity for library programs may include training program staff on teaching methods and providing support services to participants as well as facilitating partnerships with other organizations that can provide case management, job placement assistance, or other services. All programs are expected to refer participants to education or employment opportunities upon completion of the programs. The vendor would recommend and facilitate contact with appropriate GED, educational, and employment programs.

## **B. Assumptions Regarding Organizational Capability**

### **1. All competitions**

- The contractor would be fiscally sound and capable of managing the proposed program.
- The contractor would engage in successful joint efforts with other organizations providing services to the target population.
- The contractor would have the capacity to integrate the proposed program into its overall operations.
- The contractor would have a continuous quality improvement process that includes quality assurance measures for all aspects of the program.

### **2. Service Option I and Service Option II, Competition 1**

- The contractor's Board of Directors would remain free of conflicts and exercise active oversight of
  - program management, including regular reviews of executive compensation, audits, and financial controls, and
  - program operations and outcomes.
- The contractor's internal monitoring system would be effectively used to identify program, personnel, and fiscal issues and provide corrective action procedures.
- The contractor would have an effective computerized system for data collection and management that meets the following specifications:
  - Microsoft Internet Explorer 7 or greater or Mozilla Firefox 3.5 or greater is required.
  - A minimum connection speed of 512 kb/s download speed (basic DSL) is required. Dial-up modems are not sufficient.
  - Up-to-date antivirus software is required.
  - Firewall software or hardware is strongly recommended.
  - A computer system that employs hierarchical password protection to define and restrict access to specified users who are Adult Literacy or Young Adult Literacy Services program staff members is required.
- The contractor would ensure that program staff has access to computers and the Internet.

## C. Assumptions Regarding Contractor Approach

### 1. Service Option I

DYCD's assumptions regarding the approach that will most likely achieve the goals and objectives set out above for Service Option I are:

#### a. Population to be Served

**Eligible Population:** To receive instructional services, an individual would be at least 16 years old, not enrolled or required to be enrolled in secondary school under State law, and lack sufficient mastery of basic educational skills, lack a high school diploma, or be unable to sufficiently speak, read, or write the English language to participate in education, training, or employment.

**Target Populations:** The primary objective is to provide services and opportunities for:

- Adults with English as their dominant language who are functioning at the ABE 0-5.9 reading level, as determined by the Test of Adult Basic Education (TABE)
- Adults with limited English language proficiency who function at ESOL Levels I, II, and III, the beginning levels of ESOL instruction, as determined by the BEST Plus Test

Note: The instructional hours delivered to learners at the above delineated levels would constitute at least 60 percent of all instructional hours provided through this RFP.

- Disconnected youth (unemployed youth who are not in school), aged 16-24, at pre-GED (ABE 4.0-8.9) and GED (ABE 8.9 and above) reading levels, as determined by the TABE
- Adults without full-time employment or who are underemployed
- Immigrant adults seeking citizenship status

#### b. Contractor/Staff Experience and Qualifications

- The contractor and key staff would have at least three years of successful experience in the last five years providing adult literacy services.
- Program administrators would be knowledgeable in successful literacy practices and would have experience administering similar literacy programming.
- Programs would preferably engage a counselor or case manager to support staff and help students achieve targeted outcomes.
- Teachers and counselors would have at minimum bachelor's degrees and appropriate training and experience serving adult populations.
- All instructional staff would possess appropriate reading, writing, listening, and speaking skills in English. In addition, all instructional and counseling staff for BENL programs would be fluent and experienced in the language of instruction.

- Staff members who serve special adult populations (such as those with hearing impairment) would possess appropriate knowledge, training, and experience.
- Tutors, whether paid or volunteer, would have a background in providing literacy instruction and would receive pre-service training and in-service support.
- All staff, including any volunteers, would provide services in a manner that is sensitive to the backgrounds and cultures of program participants.

**c. Program Facility**

- The facility would be appropriate in size and design to accommodate all program staff, participants, and services.
- The contractor would ensure that the building and space in which staff and students are housed and all facilities and equipment therein meet the local fire, health, and safety standards and comply with Americans with Disabilities Act (ADA) standards. If facilities do not meet ADA standards, DYCD-approved alternative measures would be used to make activities accessible to persons with disabilities.
- The facility would be easily accessible by public transportation.

**d. Program Design**

**1) Outreach, Recruitment, and Retention**

The contractor would employ effective outreach, recruitment, and retention strategies to ensure maximum program participation and attendance and maintenance of a stable participant roster over time. DYCD places a high value on retention; however, if participants drop out early in the program year, programs may elect to enroll additional participants to maintain enrollment numbers.

**2) Types of Instructional Services**

**Adult Basic Education (ABE)**

ABE is instruction in reading, writing, and mathematics. Classes are conducted in English for native speakers and for non-native speakers whose English language abilities allow them to communicate fluently with teachers and other students. ABE instruction is intended for students reading below the 8.9 (TABE) grade level.

**General Educational Development (GED) Tests Preparation**

GED Tests preparation classes are intended for students reading at or above the 8.9 (TABE) grade level who lack high school diplomas. They are designed to improve students' ability to comprehend, analyze, and evaluate written information and to present their understandings in short essays. The classes are designed to help students prepare for the GED Tests in writing, reading, social studies, science, and mathematics.

### **Basic Education in the Native Language (BENL)**

BENL is instruction to develop or enhance basic reading and writing skills in the native language. BENL classes are designed for individuals who have limited native language literacy skills and limited proficiency in English. BENL is intended to raise the student's literacy level in the native language to facilitate acquisition of English language skills.

*BENL programs **must** include instruction that, at a minimum, provides students with a foundation in oral English language "survival" skills.*

### **English to Speakers of Other Languages (ESOL)**

ESOL instruction is intended for individuals whose primary language is other than English and who have limited proficiency in listening, speaking, reading, or writing the English language. Although English Language Learners (ELLs) may be skilled in their native languages, their lack of English language proficiency determines their appropriateness for ESOL instruction.

Every attempt should be made to provide ESOL instruction that takes into account the differing educational backgrounds of the students. Factors such as educational attainment and native language literacy would be considered when placing a student in an ESOL class. ESOL students at Levels I, II, and III should also be grouped according to their native language literacy levels.

Programs may elect to provide a portion of the English language instruction in the context of civics to assist students in citizenship test preparation; however the primary focus of such classes would be the acquisition of English language skills.

### **ESOL B (I-III)**

ESOL B (ESOL Literacy) classes are exclusively for persons who have limited literacy skills in the native language and limited English language skills. ESOL students at Levels I, II, and III should be grouped according to their native language literacy levels. Instructors would have backgrounds and experience in ESOL Literacy instruction and would use appropriate curricula for ESOL B students.

### **3) Provision of Instruction**

The contractor would:

- optimize literacy and language gains by providing opportunities to practice literacy skills as frequently as possible by offering classes that meet at least four times per week and for at least ten hours per week. Each class must meet a minimum of six hours per week; each program would provide a minimum of 150 hours of classroom instruction annually per student. Each class would meet a maximum of 20 hours per week. Proposers may propose classes with hours exceeding 20 hours per week, but must provide justification for this intensive programming.
- provide instruction in contexts relevant to students' lives such as job and career development, finances, health care, civics, and parenting. For example, programs would

design instructional programs to meet the needs of specific occupations, such as those that are health-related; to meet the needs of young parents interested in exploring the educational system in the City; or the needs of under- or unemployed workers who wish to develop resumes, learn to scour help-wanted ads, or learn interviewing skills. Program directors would devise plans for determining what topics students find most relevant and work with instructors to design lesson plans that incorporate contextualized learning approaches.

- incorporate computer-assisted instruction and computer skills training.
- provide an orientation program for all newly enrolled students prior to class placement.
- maintain an average daily attendance based upon type of instruction (see Appendix A).
- place students in classes based on the results of intake tests.
- provide all classes free of charge.
- provide appropriate curriculum guidelines and teaching materials. Copies of curriculum materials developed by the contractor and student writings would be sent to DYCD, upon request, for use by other practitioners.
- create full-time staff positions wherever possible and appropriate in order to encourage program continuity and quality instruction and to provide staff access to benefits such as paid leave and health insurance.

#### **4) Testing**

The contractor would implement the applicable testing procedures prescribed in Appendix B. DYCD reserves the right to request substitute tests or testing procedures.

#### **5) Staff Development**

High-quality ongoing professional development activities would be incorporated into the program and planned in accordance with DYCD and other literacy-providing agencies (the Department of Education; The City University of New York; and the New York, Brooklyn, and Queens Public Libraries), as well as with activities of the Regional Adult Education Network (RAEN).

- Instructional staff members would receive, at minimum, 14 hours of approved staff development activities per year, in addition to instruction in the proper administration of assessment instruments.
- All new instructional staff would receive pre-service training and, at minimum, ten hours of approved staff development that is regularly scheduled during the staff member's first calendar year of employment.
- All staff involved in data collection and record keeping would receive a minimum of eight hours of approved training.
- Program staff would meet at least once a month to review participant progress, exchange information, and share instructional strategies.

- Program directors would attend periodic meetings sponsored by DYD to share best practices and address issues that may arise in the course of delivering adult literacy services.
- Program staff may be required to participate in peer-based quality improvement exercises (such as workshops and site visits) and collect data to assess improvement.
- All staff development activities would be documented and maintained on file by the contractor upon completion of approved workshops by staff members.
- Program managers and administrators would maintain a log of staff development activities. Suggested areas for staff development include:
  - theories, methodologies, approaches, and techniques
  - student intake, outreach, and recruitment
  - curriculum development
  - assessment and outcomes
  - career exploration and workplace readiness skills
  - exemplary instructional practices, including contextualization of instruction

Professional development venues may include, but are not limited to, the following:

- training workshops
- conferences
- symposia
- panel discussions
- peer teaching observations

## 6) Outcomes, Data Collection, and Reporting

### i.) Federal Core Indicators and Outcomes/Additional Outcome Measure

The contractor would collect and report on data related to the three mandated federal core indicators set forth below and related outcome measures for the National Reporting System (NRS). For Core Indicator 1, contractors would be expected to meet or exceed the minimum achievement standards set by the NRS. The minimum achievement standards for 2012 are listed in Appendix C.

**Core Indicator #1: Improvements in literacy skill levels in reading, writing, and speaking the English language, numeracy, problem-solving, English language acquisition, other literacy skills**

Definition of “educational gain”: Learner completes or advances one or more educational levels from starting level measured on entry to the program.

**Core Indicator #2: Placement in, retention in, or completion of postsecondary education, training, unsubsidized employment, or career advancement**



Definition of “entered employment”: Learner who is not employed at the time of entry and who has a main or secondary goal of obtaining employment obtains a job by the end of the first quarter after exit quarter.

Definition of: “retained employment”: Learner remains employed in the third quarter after exit quarter.

Definition of “placement in postsecondary education or training”: Learner enrolls in a postsecondary educational or occupational skills training program that does not duplicate other services or training received, regardless of whether the prior services or training were completed.

### **Core Indicator #3: Receipt of a high school diploma or its recognized equivalent**

Definition: Learner obtains certification of attaining passing scores on the GED Tests or obtains a diploma, or state recognized equivalent, documenting satisfactory completion of secondary studies (high school or adult high school diploma).

#### **ii.) Additional Outcome Measure Defined**

Student retention: The percent of learners who remain in the program for sufficient time to be post-tested.

#### **iii.) Data Collection Procedures**

##### **Record Maintenance**

The contractor would collect data in an automated individual student record database. For each student enrolled, the contractor would collect and maintain the following information:

- registration data
- attendance data
- testing data
- goals
- demographic data
- impact data (student outcomes, separation from program, employment)

Data related to registration, attendance, testing, and student goals would be maintained for five years.

##### **Additional Reporting Requirements**

All reported data would reflect actual counts from Individual Student Record Forms (ISRFs), class rosters, staff files, and volunteer records and would be subject to verification and audit.

Student impact data (separation and student achievement data except standardized test results) would be based on externally verifiable sources. When possible, documentation of student impact data would be maintained.

Reports would be submitted using prescribed forms at times designated by DYCD.

#### **iv.) Quality Improvement Measures**

Programs would utilize outcome achievement data to assess and analyze program quality and would apply measures to continually improve program effectiveness.

### **7) Partnerships, Collaborations, and Linkages**

The contractor would leverage additional resources by developing partnerships, collaborations, and linkages with appropriate community organizations, government agencies, education providers, and other service providers. It would work cooperatively to ensure that adults have ready access to comprehensive services and a continuum of instruction to meet their educational, personal, and career goals. Specifically, the contractor would be required to:

- design a plan to ensure that students and staff use the resources and services of the literacy programs of the three public library systems and of RAEN.
- if GED classes are not provided directly by the program, develop referral arrangements to insure that students seeking high school equivalency diplomas have access to GED instruction and testing.
- assist students with transitions to next steps, including college, vocational training, and/or employment.
- either directly or through referral, provide career counseling, including assessing career options and employment and training opportunities; educational counseling, including assistance with college applications and financial aid; and job placement.
- develop linkages with community colleges and training providers to facilitate student admissions.
- make individual or group counseling available to enrolled students either directly or through appropriate referral.
- meet regularly with other adult, family, and workplace literacy providers serving adults in a geographic area, as well as with other service and educational providers such as Beacons, K-12 public schools, colleges, community boards, One-Stop Career Centers, and libraries.
- develop referral arrangements to assist students seeking to attain legal immigrant status as asylees, permanent residents, or U.S. citizens.

## **2. Service Option II, Competition 1**

### **a. Target Population**

- The program would serve 16-24-year-old disconnected youth (not working and not enrolled in school) from low-income communities who read at the fourth through eighth grade levels, as measured by the TABE.

- The program would conduct outreach to focus on youth who read at the fourth and fifth grade levels, as measured by the TABE.

**b. Contractor/Staff Experience and Qualifications**

- The contractor and key staff would have at least three years experience in the last five years providing literacy and numeracy instruction as well as workforce development for disconnected youth or a similar population.
- Program administrators must be knowledgeable in successful literacy and numeracy practices and youth development approaches.
- Teachers and counselors must have at minimum bachelor's degrees and appropriate training and experience serving youth and young adults.
- All individuals, including volunteers who will be part of the program, must provide services in a manner that is sensitive to the backgrounds and cultures of program participants.
- The contractor would create full-time staff positions wherever possible and appropriate in order to encourage program continuity and quality instruction and to provide staff access to benefits such as paid leave and health insurance.

**c. Program Facility**

- The facility would be appropriate in size and design to accommodate program staff, participants, and services.
- The contractor must ensure that the building and space in which staff and students are housed and all facilities and equipment therein meet the local fire, health, and safety standards, and comply with Americans with Disabilities Act (ADA) standards. If the facility does not comply with ADA standards, DYCD-approved alternative measures, such as access to other suitable space, must be used to make activities accessible to persons with disabilities.
- The facility would be easily accessible by public transportation.

**d. Program Design**

Each program would have an active enrollment of 20 and maintain an average daily attendance of 15 participants. Participants would attend pre-GED instruction for at least 15 hours each week, of which at least five hours would be numeracy instruction. The program would also provide support services for approximately five hours each week. The paid internship component would be offered for nine additional hours per week. Each program would operate four nine-week cycles of internships annually with an average of twelve participants each cycle.

## 1) Instructional Services

The contractor would:

- provide pre-GED basic skills instruction (literacy and math) tailored to the needs and interests of youth and young adults. Curriculum topics would be presented in contexts such as work readiness, health and financial literacy, and other areas of particular interest to older adolescents. Curricula materials would be approved by CEO and DYCD. Classes must meet a minimum of 15 hours each week.
- target students at the low end of the range (fourth to fifth grade reading level) and work with them until they are able to successfully transition to programs that would prepare them for passing the GED tests. Each participant would be served until either achievement of an eighth grade reading level or the end of the contract term.
- provide an orientation program for all newly enrolled students prior to class placement.
- place students in classes based on the results of intake literacy tests.
- implement appropriate testing procedures and regular assessment of student progress toward individual goals.
- use assessments to structure classes and design individual coaching strategies
- incorporate computer-assisted instruction and computer skills training.
- provide all classes free of charge.
- provide classes year round. (Providers may offer several terms with short breaks between cycles.)
- incorporate high quality ongoing professional development.

## 2) Other Educational and Support Services

The contractor would:

- provide a case management approach that would offer comprehensive ancillary services, including goal setting with participants, work readiness, job development, workshops on life skills and conflict resolution, and other vocational and social services as needed to ensure program retention. Each participant would receive approximately five hours of case management services each week, some of which may be provided in a group setting.
- establish linkages with appropriate community organizations, government agencies, education providers, and other service providers to help participants achieve outcomes through supportive services not directly provided by the program.
- provide student stipends and modest incentives (for example, nutritious meals, Metrocards, and prizes for good attendance) to support regular attendance and sustained participation.

- promote a youth development framework, including creating an environment of high expectations, establishing a “primary person system” that assures each participant has a close adult support and contact, and focusing on student strengths and involvement.
- provide students who achieve an eighth grade reading level the opportunity for a smooth transition to GED tests preparation classes or other education, training, or employment.
- provide students who are not suited to the program with referrals to appropriate service providers.

### **3) Internship Experience**

For those students who attend at least 80 percent of literacy classes the contractor would develop a paid internship or group project experience with the following components:

- an orientation period focusing on work readiness
- placement in a subsidized part-time internship offered by a local business or organization or a community project. Providers would be expected to offer this opportunity to participants within the first four weeks of each instructional cycle and maintain it until the end of the cycle. Placement would take place after a brief period during which participants demonstrate consistent attendance. Internships and group project experiences would offer a range of options to promote career exploration and building of new skills. Students would participate approximately nine hours per week and receive a weekly stipend of \$50. Students must maintain an 80 percent attendance rate in literacy and numeracy classes to continue in the work experience.
- workshops on work topics, problem solving, team building, and peer support
- reporting on student work attendance. At the close of each instructional cycle, the program would submit student timesheets and signatures documenting wage receipts to CEO/DYCD for each week of the cycle.
- participation in training offered by a DYCD TA vendor to ensure and enhance the quality of the work experience

### **4) Outcomes, Data Collection, and Reporting**

The contractor would be required to comply with monitoring, evaluation, and reporting requirements as defined by DYCD and CEO.

#### **Outcomes**

Contractors would track and report data related to the following required outcomes:

- demonstrated improvements in literacy skill levels of one or more grade levels in one year by 65 percent of enrolled students served annually, based on standardized test scores

- demonstrated improvements in numeracy skill levels of one or more grade levels in one year by 65 percent of enrolled students served annually, based on standardized test scores
- successful placement of 85 percent of students who meet the requisite proficiency levels into GED or other education programs (depending on reading level at program entry), job/vocational training, or employment

The contractor would also report on student enrollment, attendance, contact hours per student, retention, participation in work experience, and access of social services.

### **Data Collection and Reporting**

At a minimum, the contractor would be required to maintain and submit participant-level data (reflecting participant and household characteristics, services provided, and outcomes achieved). Such data would be submitted on a monthly basis or other frequency determined by CEO, in an electronic format that can be read by a commonly available commercial spreadsheet program, such as Microsoft Excel.

### **5) Technical Assistance/Program Evaluation**

This initiative will include a strong TA component to be provided by a DYCD vendor. Contractors would be expected to participate fully in training and coaching activities.

The Young Adult Literacy Services program is part of a broader CEO anti-poverty strategy that covers a wide range of initiatives. Along with the other CEO projects, this initiative will be assessed by a CEO-appointed evaluator to determine whether programs are achieving their goals. Contractors will be required to participate in ongoing monitoring and evaluation activities led by CEO or its designated evaluator. These may include site visits, surveys, interviews, focus groups, administrative record reviews, and other data collection and rigorous evaluation strategies. Contractors may also be required to submit participant-level and program data over and above what DYCD requires.

### **3. Service Option II, Competition 2**

DYCD assumptions regarding which approach will most likely achieve the goals and objectives set out above for Service Option II, Competition 2, Technical Assistance, are:

#### **a. Experience and Qualifications**

DYCD reserves the right to request documentation to verify stated experience.

- The vendor would have at least five years of experience or demonstrable expertise in developing literacy and numeracy programming for young adults.
- The vendor would have at least two years of experience coaching and training instructors in delivering literacy and numeracy curricula.
- The vendor would have expertise in curricula designed specifically for young adults.
- The vendor would have expertise in providing social support and employment readiness services to young adults.
- The vendor would have extensive knowledge of GED programs, post-secondary educational institutions, and employment programs in the City.

## **b. Training Facility**

- The vendor would provide a training facility, as necessary, that is adequate in size and design.
- The vendor would have site control of a training facility by the contract start date and for the duration of the contract term.
- The vendor would have adequate and appropriate technology and equipment to conduct trainings and presentations and to disseminate information, as necessary.
- The training facility would be easily accessible by public transportation.
- The training facility would be accessible by persons with disabilities.

## **c. Technical Assistance Services**

- The vendor would recommend appropriate and effective recruiting and retention strategies to programs;
- The vendor would convene program directors at least quarterly during the contract period to share best practices and effective ways to address common challenges;
- The vendor would convene periodic meetings with program evaluators to discuss their concerns and advise them on the literacy programs.
- The vendor would alert CEO and DYCD to emerging TA needs among programs and report regularly on program activities.

## **d. Annual Timeline and Deliverables**

**Annual Start-up (July):** The vendor would conduct an initial meeting with the staffs of CEO, DYCD, and the libraries and a subsequent meeting with directors of the Young Adult Literacy Services programs. These two meetings would inform the TA work plan for the start-up phase. The initial work plan would specify activities and outcomes to be completed within the first four months of the program.

Deliverable: Work plan for the first six months of the program year

**Technical Assistance (August - December):** The vendor would provide TA to all Young Adult Literacy Services providers in support of developing programming, recruiting participants, and teaching young adults.

Deliverables: Monthly reports on TA activities and progress in achieving work plan outcomes

**Technical Assistance (January):** The vendor would reconvene the staffs of CEO, DYCD, and the libraries. This meeting and another follow-up meeting with directors of the Young Adult Literacy Services programs would inform the TA work plan for the remainder of the contract period program year (January 1 to June 30). This work plan would specify activities and outcomes to be completed by the end of the program year.

Deliverable: Work plan for the second six months of the program year

**Technical Assistance (January - June):** The vendor would provide ongoing TA to programs throughout the contract period. TA would address issues outlined in the work plan as well as new needs that may emerge. CEO and DYCD reserve the right to reassign activities of the vendor in the best interests of the City.

Deliverables:

- 1) Monthly reports on activities and progress in achieving work plan outcomes. The monthly reports would also document best practices in areas including literacy curricula, recruitment strategies, retention methods, and pedagogical techniques for young adults.
- 2) Four meetings with program directors to disseminate best practices
- 3) Annual presentation and report to CEO and DYCD. The vendor would make a presentation and submit a final report to CEO and DYCD on the best practices and challenges faced in delivering quality programming (June).

**e. Customer Satisfaction and Feedback**

The TA vendor would gather consumer feedback on the trainings it provides immediately after service delivery. Customer satisfaction forms would be developed in consultation with DYCD staff and the outside evaluator.

**D. Compliance with Local Law 34 of 2007 (*applies to all competitions*)**

Pursuant to Local Law 34 of 2007, amending the City's Campaign Finance Law, the City is required to establish a computerized database containing the name of any "person" who has "business dealings with the City" as such terms are defined in the Local Law. In order for the City to obtain necessary information to establish the required database, **vendors responding to this solicitation are required to complete the attached Doing Business Data Form (Attachment 11) and return it with the proposal, and should do so in a separate envelope.** If the City determines that a vendor has failed to submit a Data Form or has submitted a Data Form that is not complete, the vendor will be notified by DYCD and will be given four calendar days from receipt of notification to cure the specified deficiencies and return a complete Data Form to DYCD. Failure to do so will result in a determination that the proposal is nonresponsive. Receipt of notification is defined as the day notice is e-mailed or faxed (if the vendor has provided an e-mail address or fax number), or not later than five days from the date of mailing or upon delivery, if delivered.



## **SECTION IV: FORMAT AND CONTENT OF THE PROPOSAL**

**Instructions:** Proposers should provide all information required in the format below.

- The proposal should be typed on 8 1/2" x 11" paper.
- Lines should be double-spaced with 1" margins, using 12-point font size.
- Pages should be numbered and include a header or footer identifying the proposer.
- Proposals should preferably not exceed 25 pages (excluding requested attachments).
- The proposal should include a **Table of Contents**, immediately following the Proposal Summary Form.
- The City of New York requests that all proposals be submitted on paper with no less than 30 percent post consumer material content, *i.e.*, the minimum recovered fiber content level for reprographic papers recommended by the United States Environmental Protection Agency. (For any change to that standard please consult: <http://www.epa.gov/cpg/products/printing.html>.)

Note: Failure to comply with any of these instructions will not make the proposal nonresponsive.

### **A. Proposal Format**

#### **1. Proposal Summary Form**

The Proposal Summary Form (Attachment 1) transmits the proposal package to DYCD. It should be completed, signed, and dated by the Board Chair or Executive Director of the proposer. Completing this form fully and accurately assists DYCD in the evaluation of the proposal.

#### **2. Multiple Proposals**

Complete Attachment 2, Multiple Proposals, stating whether the proposer has submitted more than one proposal in response to this RFP and, if so, describing the resources that will support the programs proposed.

#### **3. Program Proposal**

The Program Proposal is a clear, concise narrative which addresses the following:

- a. Organizational Experience** (preferable page limit: 5 pages, excluding requested attachments)

Describe the successful relevant experience within the past five years of the proposer and the proposed key administrative and program staff in providing the program described in the Scope of Services. Prior to contract negotiation, DYCD reserves the right to request documentation to verify stated experience and results. Specifically, address the following:

**1) Service Option I and Service Option II, Competition 1**

- For Service Option I, describe the proposer's successful experience within the last five years providing education programs for adults in ABE, GED, BENL, or ESOL. For Service Option II, Competition 1, describe the proposer's successful relevant experience in providing literacy instruction and in providing workforce development for disconnected youth.

- For each program listed provide a brief description of the services offered, dates of operation, and program goals. Describe the relevant program features such as outreach, orientation, testing, curriculum staffing, support services, and job placement and results that distinguish the applicant from other organizations. DYCD reserves the right to request documentation to verify stated experience and results.
- Using the most recent quantitative measures of success whenever possible, demonstrate that each program cited above was effective in each of the following areas:
  - achieving enrollment numbers that met or exceeded funder/program expectations (target levels vs. actual levels)
  - achieving educational outcomes and referrals to employment training and other educational opportunities that met or exceeded funder/program expectations (target levels vs. actual levels)
  - achieving placement of participants in jobs (target levels vs. actual levels)
  - achieving placement of youth in internships and community service projects (target levels vs. actual levels)
- Provide any other factors that indicate the program was effective. If funders completed a performance evaluation for the relevant programs include those results.
- Demonstrate that for each of the above programs, the proposer met the funder's annual performance targets or explain why it did not.
- For Service Option I, complete Attachment 5A to provide previous program performance for FY 10 for ABE, GED, BENL or ESOL program(s), as applicable. For Service Option II, Competition 1, complete Attachment 5B showing program data for FY10.
- Attach for each staff position a job description, including qualifications that will be required. Include resumes for personnel already identified for positions. Job descriptions and resumes should specifically address the following:
  - the successful experience of key staff providing the relevant program services within the last five years as described in Section III – Scope of Services
  - For each key staff member already identified for a position, provide at least one specific example of his/her success implementing a similar program.
  - the credentials of key staff, as described in the Scope of Services
  - the appropriateness of staff skills, knowledge, and training for providing services in the proposed type of instruction and with the proposed population
- Demonstrate that the proposer would create full-time staff positions wherever possible and appropriate.
- Demonstrate that all staff, including any volunteers, would provide services in a manner that is sensitive to the backgrounds and cultures of the program participants.

2) **Service Option II, Competition 2**

- Describe the successful relevant experience of the proposer in developing, implementing, and evaluating literacy and numeracy programming targeted to young adults ages 16-24.
- Provide summary descriptions of three previous projects of a similar nature, including approach used and results of the consultation.

**b. Organizational Capability** (preferable page limit: 5 pages, excluding requested attachments)

Demonstrate the proposer's organizational (programmatic, managerial, and financial) capability to perform the services described in the Scope of Services. Specifically address the following:

1) **All competitions**

- Describe the steps that will be taken to ensure that program operations will begin by July 1, 2011. Include a brief timeline outlining the activities for program startup.
- Demonstrate successful joint efforts with other organizations and agencies providing the proposed program services.
- Demonstrate the proposing organization's capacity to incorporate the proposed program into its overall operations. Attach an organizational chart showing the proposer's organization and where the proposed program will fit.
  - Describe how the proposed program and program staff will relate to the overall organization.
  - Describe any planned collaborations and resource sharing within the organization.
- Describe the evaluation and quality improvement protocol that the contractor would implement to ensure continuous improvement of program delivery.
- Attach a copy of the most recent financial audit of the organization conducted by a certified public accountant, indicating the period covered, OR, if no audit has been performed, the most recent financial statement, indicating the period covered and an explanation of why no audited financial statement is available. Financial audits covering time completely prior to calendar year 2008 will not be accepted as fulfilling this requirement.
- List at least two relevant funding references, including the name of the funding organization and the name, title, and telephone number of a contact person at the funding organization. If there are no funding sources other than DYCD, other relevant references may be listed.

2) **Service Option I and Service Option II, Competition 1**

- Describe how the members of the proposing organization's Board of Directors will be involved in the proposed program. Describe how past programs have been

affected by Board involvement. Complete Attachment 3, Corporate Governance Certification.

- Describe the proposing organization's internal monitoring system and demonstrate how it is effectively used to identify personnel and fiscal issues. Describe the organization's corrective action procedures.
- Describe how the organization manages its data collection and reporting requirements for multiple funding sources.
- State that the organization's computer system meets (or will meet by program startup) the specifications set out in the Scope of Services.
- Demonstrate that program staff members have access to computers and the Internet.

**c. Proposed Program Approach**

**1) Service Option I** (preferable page limit: 12 pages, excluding requested attachments)

Describe in detail how the proposer will provide the services described in the Scope of Services and demonstrate that the proposed approach will fulfill DYCD's goals and objectives. Specifically address the following:

**i.) Outreach, Recruitment, and Retention**

- Describe the strategies for outreach, recruitment, and retention and demonstrate that they are effective.

**ii.) Target Population**

- Identify the geographic area in which services will be provided.
- Identify the target population(s) to be served and indicate the number of students to be served.
- Identify and demonstrate the strengths and needs of the target population(s).

**iii.) Program Facility**

- Describe the facility and demonstrate that it will be appropriate in size and design to accommodate all program activities.
- Demonstrate that the building and all equipment therein meet the local fire, health, and safety standards. State whether the facility will meet ADA standards or what alternative measures will make program activities accessible to persons with disabilities.
- Demonstrate that the facility will be easily accessible by public transportation.

#### **iv.) Program Design**

Describe the overall design of the proposed program. Specifically address the following:

- outreach and recruitment
- orientation, intake, student assessment, achievement testing, and placement procedures
- educational philosophy and instructional methodology for the specific instructional type(s) to be provided. Include a brief description of specific themes and teaching strategies that will be used to create a contextualized curriculum that will meet students' interests and needs and a description of how technology will be used in instruction. If offered, explain how one-to-one or small-group tutoring, conversation partners, or other forms of supplemental educational services will be provided.
- counseling or case management, other supportive services, and referral procedures
- record keeping, data collection, and data analysis with emphasis on procedures for documenting and reporting participant outcomes, including projecting performance levels for Core Indicators, other performance measures, and use of data for program management
- how outcome achievement data will be used to improve program effectiveness
- how and when attendance and persistence data will be utilized and what kinds of interventions will be implemented to maximize attendance and persistence
- a summary of other education programs offered by the proposer (such as family literacy, parenting programs) and support programs (such as childcare, job placement, health services)
- a summary of the education and training services used by the students but provided by other organizations and how such referrals are made and documented

#### **v.) Staffing and Staff Development**

- Describe the specific staff, salaried and non-salaried, who will provide the services and demonstrate that such staffing is sufficient to help participants achieve the proposed outcomes.
- Describe the plan for staff development, including how the proposer will utilize the resources of the public libraries, RAEN, and DYCD.
- Describe how the program's staff development will improve student performance.
- Demonstrate that all individuals who will be part of the program will provide the services in a manner that is sensitive to the characteristics and cultures of the target population(s).

**vi.) Proposed Instructional Services**

- Using the chart provided (Attachment 4), indicate the projections for FY 12, including:
  - number of classes, number of tutorials, number of instructional hours, number of testing hours
  - number of students for each level of ABE, GED, BENL, ESOL, ESOL-B, and Math
- Justify the proposed level of services.

**vii.) Outcomes**

Using Attachment 6A, show projected program performance for FY12.

**viii.) Partnerships, Collaborations, and Linkages**

- Describe the proposer's partnerships, collaborations, and linkages whose contributions to the proposed program benefit all or most participants by addressing each of the following items. (Note: Do not include Linkage Agreements for organizations offering services which participants can access as needed.)
  - how the proposer would utilize the resources of the public library systems and RAEN. Demonstrate that the contractor would coordinate referral and intake procedures with RAEN
  - how the proposer would insure access to GED instruction and testing
  - how the proposer would provide access to individual or group counseling, including career counseling, job placement, and education counseling
  - partnerships or collaborations with other literacy providers, service providers, and educational providers in the community
  - referral arrangement for students seeking lawful immigration status
  - description of each proposed linkage with other organizations, government agencies, educational providers, and service providers and how each will help participants achieve program outcomes
- Complete and attach a Linkage Agreement Form (Attachment 7) for each proposed linkage.

**2) Service Option II, Competition 1** (preferable page limit: 12 pages, excluding requested attachments)

Describe in detail how the proposer will provide the services described in Part III – Scope of Services and demonstrate that the proposed approach will fulfill DYCD’s goals and objectives. Specifically, address the following:

**i.) Target Population**

Based on the applicant’s previous programming for disconnected youth, discuss the particular needs, if any, of the target population which will be addressed to ensure that the program is successful. Discuss how the applicant will build on the strengths of the target population, including participants with special needs.

**ii.) Program Facility**

- Describe the facility and demonstrate that it will be appropriate in size and design to accommodate all program activities.
- Demonstrate that the building and space in which staff and students are housed and all facilities and equipment therein meet the local fire, health, and safety standards. State whether the facility will meet ADA standards or that alternative measures will make program activities accessible to persons with disabilities.
- Demonstrate that the facility will be easily accessible by public transportation.

**iii.) Program Design**

Describe the overall design of the proposed program. Specifically address the following:

**a) Outreach and Recruitment**

- Describe procedures for outreach and recruitment. Specifically address partnerships with other organizations to identify eligible students.
- Discuss procedures for referring applicants who are not well suited for the program to other appropriate services, including students who read below the fourth grade level or above the eighth grade level.

**b) Intake, Orientation, and Placement**

- Describe procedures for intake, orientation, and placement. Specifically address individual goal setting, expectations for students, and learning plans.

**c) Retention**

- Describe procedures for monitoring student attendance and intervening to support persistence.
- Describe the major barriers to program retention and how your program will address these issues.
- Describe stipends and any incentives that will be used to enhance student retention.

**d) Supporting Student Achievement**

- Summarize how student progress toward individual goals is continually assessed throughout the year. Discuss strategies for providing feedback to students on their goals.
- Describe procedures and frequency for testing, including standardized tests and interim measurements.
- Complete Attachment 6B, Projected Program Performance for Young Adult Literacy Services Programs, showing projected program data for fiscal year 2012.

**e) Instruction**

- Describe the educational philosophy and instructional methodology to be used for providing pre- GED instructional services to disconnected youth.
- Describe how instruction will address the specific needs and interests of youth and young adults, such as work readiness, health, and financial literacy.
- Describe how high interest materials are identified and how student input is incorporated.
- Describe how instructional activities promote active learning.
- Give examples of technical aids, such as types of software that will be used in instruction.
- Describe all curricula that will be used. Describe how materials are selected and how learning standards are applied.
- Describe instructional cycles.
- Using the chart provided (Attachment 4), indicate the projections for number of classes, times of day scheduled, number of tutorials and labs, number of instructional hours and numbers of students for ABE and Math.

**f) Internship Experience**

- Describe the internships and group projects to be offered and explain how they will promote career exploration and build new skills for participants. In describing internships, provide specific examples of organizations that could provide placement opportunities.
- Describe the workshops to be offered, the topics to be addressed, and how each topic will be taught.

**g) Other Educational Services**

- Summarize other educational programs offered by the applicant (such as GED instruction, family literacy, parenting programs).
- Describe the applicant's capacity to diagnose and address learning disabilities.
- Summarize the education and training services used by the students but provided by other organizations. Discuss how referrals will be made, evaluated, and documented.
- Describe articulation agreements and other partnerships the applicant organization has with other education, job training, and workforce development programs.



- Summarize the training and education programs for which students successfully completing the applicant's program would qualify and procedures to assist them to continue education or training.

#### **h) Support Services**

- Describe the case management to be provided by the applicant organization to meet the specific needs of the target population, including counseling, work readiness, job development, childcare, and other vocational and social services.
- Describe procedures for re-engaging students who leave the program before completion.
- Describe any stipends or incentives that will be offered to enhance student retention.
- Describe how instruction and support services will be integrated (how staff will share information among one another, how accountability for follow-up will be insured).

#### **i) Data Collection and Reporting**

- Describe record keeping, data collection, and procedures for documenting and reporting student outcomes, including student follow-up activities.
- Indicate what quality control measures will be in place to assure
- timely, accurate, and reliable data
- Summarize how data will be used and by whom to strengthen program performance and enhance student outcomes.

#### **j) Staffing**

- Describe the specific staff, salaried and non-salaried, who will provide the educational, vocational, and case management services, and demonstrate that staffing is appropriate and sufficient to help participants achieve the proposed outcomes.
- Describe the credentials of staff and the appropriateness of staff skills, knowledge, and training for providing the proposed services to disconnected youth.
- Demonstrate that all individuals who will be part of the program will provide the services in a manner that is sensitive to the characteristics of the target population.
- Attach a job description, including qualifications that will be required, for each program director and instructional and counseling staff position. Attach resumes for personnel already identified for positions.

#### **k) Staff Development**

- Describe the plan for staff development for all positions.
- Describe the staff development plan for other educational services offered by the organization.
- Describe how topics and presenters are identified.
- Describe how the effectiveness of the staff development is monitored.
- Describe how instructional and case management/counseling staff persons are evaluated and provided with feedback.

3)

**Service Option II, Competition 2** (preferable page limit: 10 pages, excluding requested attachments)

Describe in detail how the proposer will provide the services described in the Scope of Services and demonstrate that the proposed approach will fulfill DYCD's goals and objectives. Specifically, address the following:

**i.) Ongoing Technical Assistance Activity**

- Describe the proposer's strategy for the overall project.
- Describe the proposer's plan for startup support.

**ii.) Facility**

- Describe the proposed training facility and demonstrate that it will be adequate in size and design to accommodate vendor's staff, TA participants, and TA activities.
- Attach a lease or other document that demonstrates availability of the facility for use by the vendor by the contract start date and for the duration of the contract term.
- Describe the technology and equipment that will be used to conduct trainings and presentations and to disseminate information.
- Demonstrate that the facility will be easily accessible by public transportation.
- Demonstrate that the facility will be accessible by persons with disabilities.

**iii.) Staffing**

- Describe the specific staff who will provide services under this contract and demonstrate that staffing is appropriate and sufficient.
- Attach a job description, including qualifications that will be required, for each staff position. Attach resumes for personnel already identified for positions.

**iv.) Timeline and Deliverables**

- Demonstrate that the consultant will meet the timeline and deliverables as described in the Scope of Services.

**4. Price Proposal**

The Price Proposal is the funding request for providing the services described in the Scope of Services. It includes the Annual Budget Worksheet, Proposal Budget Summary Form, and the Budget Justification.

a. **Service Option I**

**1) Annual Budget Worksheet (Attachment 8)**

Using the Annual Budget Worksheet (Attachment 8), project the number of instructional hours for each type and level of instruction to be offered in FY12.

**2) The total budget may not exceed the following limits:**

- ABE/GED (0-12.9)                      \$94 per instructional hour
- BENL (0-8.9)                              \$94 per instructional hour
- Math (0-8.9)                                \$94 per instructional hour
- ESOL (I-VII)                                \$90 per instructional hour
- ESOL-B                                        \$94 per instructional hour

Full-time teacher enhancement to the instructional hour rate: If a teacher provides 700 instructional hours annually and is provided benefits (health insurance, sick leave, and annual leave), that teacher is considered full time and \$8 per instructional hour may be added to the base rate for all instructional hours provided by that teacher.

**3) Proposal Budget Summary Form for Adult Literacy Services Programs (Attachment 9A)**

Complete the Proposal Budget Summary Form for Adult Literacy Services Programs (Attachment 9A) for a 12-month contract period. The budget form is divided into two columns: DYCD Funding Request and In-kind/Cash Contribution. The DYCD Funding Request is the amount of funding requested from DYCD. The In-kind/Cash Contribution is the dollar value of all resources (cash, services, space, equipment) applied to the proposed program but not included in the funding requested from DYCD.

**4) Budget Justification** (preferable page limit: 3 pages)

Justify how requested funds would be used to deliver program services. Proposers should ensure that the budget and budget justification are consistent with the proposed program. Specifically, justify the expenses under each major budget category by addressing the points listed below under item c. Also, under each category, identify the services that will be provided from other funds or through in-kind contributions. Describe the nature of each in-kind contribution, its dollar value, the source of each cash contribution, and its dollar amount.

b. **Service Option II**

**1) Proposal Budget Summary Form for Young Adult Literacy Services Programs (Attachment 9B)**

Complete the Proposal Budget Summary Form for Young Adult Literacy Services Programs (Attachment 9B) for a 12-month contract period.

## 2) **Budget Justification** (preferable page limit: 3 pages)

Justify how requested funds would be used to deliver program services. Proposers should ensure that the budget and budget justification are consistent with the proposed program. Specifically, justify the expenses under each major budget category by addressing the points listed below under item c.

### c. **All Competitions**

#### **Instructions for Budget Justification**

##### Personnel Services

- List each position, indicating whether it is full time or part time, and salary included in the funding request. Explain how the costs for each position were determined (as a percentage of full-time salary, hourly rate x number of hours, etc.). Indicate which resume or job description is intended to fill that position.

##### Non-staff Services (as applicable)

- List each consultant and associated cost included in the funding request, and explain how the cost of the assigned work for the program as described in the proposal's Program Approach narrative was calculated.
- If the program design includes payment of incentives or stipends to participants, describe how the incentives will be awarded and the rationale for awarding the stated amounts.
- For each type of non-program service purchased from a vendor, such as accounting or cleaning, describe the nature of that service, why it is needed, and how the costs related to purchasing that service were determined.

##### Other Than Personnel Services (as applicable)

- For consumable supplies, describe the type and quantity of supplies to be purchased and explain how the costs for these items were determined.
- Explain why each piece of equipment and equipment related expenses are necessary for the proposed program.
- Describe the space costs, including those involving a rental expense; their importance in the proposed program; and how costs were determined.
- For travel expenses, describe the purpose of the travel and justify the cost.
- For utilities, telephones, and other operational expenses, list each item and how the cost for each item was determined.

## 5. **Doing Business Data Form**

The proposer should complete the Doing Business Data Form (11) and return it with the proposal. The submission of a Doing Business Data Form that is not accurate and complete may result in appropriate sanctions.

## 6. Acknowledgment of Addenda

The Acknowledgment of Addenda form (Attachment 12) serves as the proposer's acknowledgment of the receipt of addenda to this RFP which may have been issued by DYCD prior to the Proposal Due Date and Time. The proposer should complete this form as instructed on the form.

### B. Proposal Package Contents ("Checklist")

The Proposal Package should contain the following materials. Proposers should utilize this section as a "checklist" to assure completeness prior to submitting their proposals to DYCD.

1. The Proposal package should include **one original set and eight duplicate sets** of the documents listed below in the following order:
  - a. **All competitions**
    - Proposal Summary Form (Attachment 1)
    - Multiple Proposals (Attachment 2)
    - Program Proposal
      - Table of Contents
      - Narrative
      - Resumes or Descriptions of Qualifications for Key Staff Positions
      - Organizational Chart
      - Audit Report or Certified Financial Statement or a statement as to why no report or statement is available
      - References for the Proposer
    - Price Proposal
      - Budget Justification
  - b. **Service Option I and Service Option II, Competition 1**
    - Corporate Governance Certification (Attachment 3)
    - Proposed Instructional Services FY12 (Attachment 4)
    - Linkage Agreement Form(s) (Attachment 7)
  - c. **Service Option I**
    - Previous Program Performance for Adult Literacy Services Programs (Attachment 5A)
    - Projected Program Performance for Adult Literacy Services Programs (Attachment 6A)
    - Annual Budget Worksheet (Attachment 8)
    - Proposal Budget Summary Form for Adult Literacy Services Programs (Attachment 9A)
  - d. **Service Option II, Competition 1**
    - Previous Program Performance for Young Adult Literacy Services Programs (Attachment 5B)
    - Projected Program Performance for Young Adult Literacy Services Programs (Attachment 6B)
  - e. **Service Option II, Competition 1 and Service Option II, Competition 2**
    - Proposal Budget Summary Form for Young Adult Literacy Services Programs (Attachment 9B)

2. One original of the Doing Business Data Form (Attachment 11) should be placed in a sealed inner envelope.

3. Acknowledgment of Addenda Form (Attachment 12)

For each proposal submitted, enclose the documents listed above in a sealed envelope and hand deliver to DYCD Office of Contract Procurement, attention: Michael Owh, Agency Chief Contracting Officer. Label the envelope with the following:

- The title and PIN of this RFP
- The service option and competition
- The proposer's name and address
- The name, title, address, and phone number of the authorized agency contact person

## **SECTION V: PROPOSAL EVALUATION AND CONTRACT AWARD PROCEDURES**

### **A. Evaluation Procedures**

All proposals accepted by DYCD will be reviewed to determine whether they are responsive or nonresponsive to the requirements of this RFP. Proposals which DYCD determines to be nonresponsive will be rejected. DYCD's Evaluation Committees will evaluate and rate all remaining proposals based on the Evaluation Criteria prescribed below. DYCD reserves the right to conduct site visits, to conduct interviews, or to request that proposers make presentations, as deemed applicable and appropriate. Although DYCD may conduct discussions with proposers submitting acceptable proposals, it reserves the right to award contracts on the basis of initial proposals received, without discussions; therefore, the proposer's initial proposal should contain its best programmatic and price terms.

### **B. Evaluation Criteria**

- Demonstrated quantity and quality of successful relevant experience 30 percent
- Demonstrated level of organizational capability 20 percent
- Quality of proposed program approach 50 percent

### **C. Basis for Contract Award**

Contracts will be awarded to the responsible proposers whose proposals are determined to be the most advantageous to the City, taking into consideration the price and such other factors or criteria which are set forth in this RFP. Within each competition proposals will be ranked in descending order of their overall average technical scores. Awards will be made to the highest rated vendors whose proposals are technically viable and whose prices meet the conditions set forth in the RFP. However,

- **For Service Option I and Service Option II, Competition 1, DYCD** reserves the right to make awards to ensure 1) appropriate distribution of necessary services and programs across geographic areas within the City; and 2) program diversity (that is, programs that vary by factors such as class schedules, instructional methodologies, target population sub-groups, and types of partnerships and collaborations to provide support and follow-up services).
- DYCD reserves the right to award less than the full amount of funding requested and to modify the allocation of funds among competitions in the best interests of the City.
- In the case that a proposer is eligible for more than one contract award from this RFP, DYCD reserves the right to determine, based on the proposer's demonstrated organizational capability and the best interests of the City, respectively, how many and for which program(s) the proposer will be awarded contracts and at what level of services and dollar value.

Contract award shall be subject to:

- **For Service Option I, Competitions 1 and 2, and Service Option II, Competition 1,** demonstration by the selected proposer of not-for-profit incorporation and federal tax exemption under Internal Revenue Code Section 501(c)(3) prior to the contract start date and the availability of funds.
- Demonstration that the proposer has, or will have by the conclusion of negotiations, site control of an appropriate program facility.

## **SECTION VI - GENERAL INFORMATION TO PROPOSERS**

**A. Complaints.** The New York City Comptroller is charged with the audit of contracts in New York City. Any proposer who believes that there has been unfairness, favoritism or impropriety in the proposal process should inform the Comptroller, Office of Contract Administration, 1 Centre Street, Room 835, New York, NY 10007; the telephone number is (212) 669-3000. In addition, the New York City Department of Investigation should be informed of such complaints at its Investigations Division, 80 Maiden Lane, New York, NY 10038; the telephone number is (212) 825-5959.

**B. Applicable Laws.** This Request for Proposals and the resulting contract award(s), if any, unless otherwise stated, are subject to all applicable provisions of New York State Law, the New York City Administrative Code, New York City Charter and New York City Procurement Policy Board (PPB) Rules. A copy of the PPB Rules may be obtained by contacting the PPB at (212) 788-7820.

**C. General Contract Provisions.** Contracts shall be subject to New York City's general contract provisions, in substantially the form that they appear in "Appendix A—General Provisions Governing Contracts for Consultants, Professional and Technical Services" or, if the Agency utilizes other than the formal Appendix A, in substantially the form that they appear in the Agency's general contract provisions. A copy of the applicable document is available through the Authorized Agency Contact Person.

**D. Contract Award.** Contract award is subject to each of the following applicable conditions and any others that may apply: New York City Fair Share Criteria; New York City MacBride Principles Law; submission by the proposer of the requisite New York City Department of Business Services/Division of Labor Services Employment Report and certification by that office; submission by the proposer of the requisite VENDEX Questionnaires/Affidavits of No Change and review of the information contained therein by the New York City Department of Investigation; all other required oversight approvals; applicable provisions of federal, state and local laws and executive orders requiring affirmative action and equal employment opportunity; and Section 6-108.1 of the New York City Administrative Code relating to the Local Based Enterprises program and its implementation rules.

**E. Proposer Appeal Rights.** Pursuant to New York City's Procurement Policy Board Rules, proposers have the right to appeal Agency non-responsiveness determinations and Agency non-responsibility determinations and to protest an Agency's determination regarding the solicitation or award of a contract.

**F. Multi-Year Contracts.** Multi-year contracts are subject to modification or cancellation if adequate funds are not appropriated to the Agency to support continuation of performance in any City fiscal year succeeding the first fiscal year and/or if the contractor's performance is not satisfactory. The Agency will notify the contractor as soon as is practicable that the funds are, or are not, available for the continuation of the multi-year contract for each succeeding City fiscal year. In the event of cancellation, the contractor will be reimbursed for those costs, if any, which are so provided for in the contract.

**G. Prompt Payment Policy.** Pursuant to the New York City's Procurement Policy Board Rules, it is the policy of the City to process contract payments efficiently and expeditiously.

**H. Prices Irrevocable.** Prices proposed by the proposer shall be irrevocable until contract award, unless the proposal is withdrawn. Proposals may only be withdrawn by submitting a written request to the Agency prior to contract award but after the expiration of 90 days after the opening of proposals. This shall not limit the discretion of the Agency to request proposers to revise proposed prices through the submission of best and final offers and/or the conduct of negotiations.

**I. Confidential, Proprietary Information or Trade Secrets.** Proposers should give specific attention to the identification of those portions of their proposals that they deem to be confidential, proprietary information or trade secrets and provide any justification of why such materials, upon request, should not be disclosed by the City. Such information must be easily separable from the non-confidential sections of the proposal. All information not so identified may be disclosed by the City.

**J. RFP Postponement/Cancellation.** The Agency reserves the right to postpone or cancel this RFP, in whole or in part, and to reject all proposals.

**K. Proposer Costs.** Proposers will not be reimbursed for any costs incurred to prepare proposals.

**L. Vendex Fees.** Pursuant to PPB Rule 2-08(f)(2), the contractor will be charged a fee for the administration of the Vendex system, including the Vendor Name Check Process, if a Vendor Name Check review is required to be conducted by the Department of Investigation. The contractor shall also be required to pay the applicable fees for any of its subcontractors for which Vendor Name Check reviews are required. The fee(s) will be deducted from payments made to the contractor under the contract. For contracts with an estimated value of less than or equal to \$1,000,000, the fee will be \$175. For contracts with an estimated value of greater than \$1,000,000, the fee will be \$350. The estimated value for each contract resulting from this RFP is estimated to be (less than or equal to \$1million) (above \$1million).

**M. Charter Section 312(a) Certification.**

The Agency has determined that the contract(s) to be awarded through this Request for Proposals will not directly result in the displacement of any New York City employee.



Agency Chief Contracting Officer

2/14/2011

Date

**Message from the New York City Vendor Enrollment Center- Get on mailing lists for New York City contract opportunities! Submit a NYC-FMS Vendor Application – Call (212) 857-1680**



## **APPENDIX A: Average Daily Attendance (ADA) Requirements**

### **ABE and BENL Classes**

| <b>NRS Level</b> | <b>Grade Level Equivalent</b> | <b>ADA</b> |
|------------------|-------------------------------|------------|
| ABE Level I      | 0-1.9                         | 8-12       |
| ABE Level II     | 2-3.9                         | 8-12       |
| ABE Level III    | 4-5.9                         | 10-14      |
| ABE Level IV     | 6-8.9                         | 15-20      |
| ABE Level V      | 9-10.9                        | 15-20      |
| ABE Level VI     | 11-12.9                       | 15-20      |

### **ESOL Classes**

| <b>NRS Level</b>                         | <b>BEST PLUS</b>     | <b>ADA</b> |
|--|----------------------|------------|
| Beginning ESOL Literacy                  | 400 points and below | 15-20      |
| Low Beginning ESOL                       | 401-417 points       | 15-20      |
| High Beginning ESOL                      | 418-438 points       | 15-20      |
| Low Intermediate ESOL                    | 439-472 points       | 15-20      |
| High Intermediate ESOL                   | 473-506 points       | 15-20      |
| Advanced ESOL                            | 507-540 points       | 15-20      |
| High Advanced ESOL/ Transitioning to ABE | 541 points and above | 15-20      |

### **ESOL B (ESOL Literacy) Classes**

| <b>NRS Level</b>             | <b>BEST PLUS</b>     | <b>ADA</b> |
|------------------------------|----------------------|------------|
| Beginning ESOL Literacy – IB | 400 points and below | 8-12       |
| Low Beginning ESOL – IIB     | 401-417 points       | 10-14      |
| High Beginning ESOL – IIIB   | 418-438 points       | 10-14      |

## **APPENDIX B: Testing Requirements**

### **ABE, BENL, and Mathematics**

| <b>NRS Level</b>                          | <b>Grade Level Equivalent</b> | <b>Test</b>                             |
|---|-------------------------------|---|
| Beginning ABE Literacy – Level I          | 0-1.9                         | Informal Reading Inventory or TABE 9/10 |
| Beginning ABE - Level II                  | 2-3.9                         | Informal Reading Inventory or TABE 9/10 |
| Low Intermediate ABE - Level III          | 4-5.9                         | TABE Form 9/10                          |
| High Intermediate ABE - Level IV          | 6-8.9                         | TABE Form 9/10                          |
| Low Adult Secondary Education - Level V   | 9-10.9                        | TABE Form 9/10                          |
| High Adult Secondary Education - Level VI | 11-12.9                       | GED Practice Test* and TABE 9/10        |

\*The GED Practice Test is administered at this level for program purposes, not for NRS reporting requirements. Rather than Educational Gain, the expected outcome for this level is the NRS Outcome Measure #4: Attainment of GED or secondary school diploma.

### **ESOL**

| <b>NRS Level</b>                        | <b>Score</b>         | <b>Test</b> |
|---|----------------------|-------------|
| Beginning ESOL Literacy                 | 400 points and below | BEST PLUS   |
| Low Beginning ESOL                      | 401-417 points       | BEST PLUS   |
| High Beginning ESOL                     | 418-438 points       | BEST PLUS   |
| Low Intermediate ESOL                   | 439-472 points       | BEST PLUS   |
| High Intermediate ESOL                  | 473-506 points       | BEST PLUS   |
| Advanced ESOL                           | 507-540 points       | BEST PLUS   |
| High Advanced ESOL/Transitioning to ABE | 541 points and above | BEST PLUS   |

## **ABE or Mathematics Testing**

The program would use the following procedures for testing all students:

- a. Administer the TABE locator to determine the appropriate form of the TABE test to be administered.
- b. Administer the TABE test in reading and mathematics to determine the appropriate level of instruction and for subsequent achievement testing. Report all pre-test and post-test achievement scores as described in "Reporting Requirements." For students likely to score below the grade level equivalent of 3.9 on the TABE, the program may utilize an Informal Reading Inventory (IRI) or the TABE for placement and evaluation progress.
- c. Give the achievement test as a pre-test within the first 12 instructional hours:
  - for students likely to score from 0-1.9 (Beginning ABE Literacy – Level I) or from 2-3.9 (Beginning Adult Basic Education – Level II) as indicated by the locator, programs may administer an Informal Reading Inventory (IRI) or the TABE. When an IRI achievement testing indicates that the student is likely to score above 3.9, the appropriate TABE achievement test specified in the chart above should be administered.
  - for students likely to score from 4-5.9 (Low Intermediate Basic Education – Level III) and from 6-8.9 (High Intermediate Basic Education – Level IV), as indicated by the locator, administer the TABE.
- d. Give the achievement test as a post-test using a different form of the appropriate test:
  - for each student in a class that meets for nine or fewer hours per week, post-test at the end of each 100 instructional hours;
  - for each student in a class that meets ten or more hours per week, post-test at the end of each 200 instructional hours; and
  - for each student in a tutorial program, post-test at least every 50 student contact hours.

The use of standardized tests should be only one component of a more complete range of procedures for assessing progress. The program should integrate standardized tests with other procedures such as portfolio assessments, tests designed by the instructor, and project assignments throughout the instructional program.

## **BENL Testing**

The program would use the following procedures for testing all students:

- a. All BENL programs would use an appropriate locator/placement instrument. A copy of the instrument along with an English translation should be attached to the proposal.
- b. For Spanish BENL achievement testing, use the TABE Español.
- c. For BENL programs in other native languages, use an achievement test selected by the program. A copy of the test, with an English translation, should be attached to the proposal.

- d. Give the achievement test as a post-test using a different form of the appropriate test:
- for each student in a class that meets for nine or fewer hours per week, post-test at the end of each 100 instructional hours;
  - for each student in a class that meets ten or more hours per week, post-test at the end of each 200 instructional hours; and
  - for each student in a tutorial program, post-test at least every 50 student contact hours.

### **ESOL Testing**

The program would utilize the following procedures for testing all students:

- a. Give an oral locator test to ESOL students before placing them in class.

For students not literate in their native languages, administer a native language literacy screening instrument<sup>7</sup> to identify students to be placed in ESOL-B (ESOL Literacy) or BENL.

- b. Give the BEST PLUS Test as a pre-test:
- test all students who are in a class when it starts within the first 24 instructional hours;
  - test each student who enters a class after the class starting date within 18 instructional hours of entry into the class.
- c. Give the BEST PLUS Test as a post-test:
- re-test each student in a class that meets nine or fewer hours per week at the end of each 100 instructional hours;
  - re-test each student in a class that meets ten or more hours per week at the end of each 200 instructional hours; and
  - re-test each student in a tutorial program at least every 50 student contact hours.
- d. Report all pre-test and post-test achievement scores as described in "Reporting Requirements."
- e. The BEST PLUS Test should be only one component of a more complete range of procedures for assessing progress. The program should integrate standardized tests with other procedures such as portfolio assessments, tests designed by the instructor, and project assignments throughout the instructional program.

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<sup>7</sup> For further information on native language literacy screening instruments, contact the Regional Adult Education Network.

## APPENDIX C: Minimum Federal Annual Achievement Standards for FY12

### ABE (Level Completion)

| Level                                  | Fiscal Year<br>2012 |
|--|---------------------|
| 1. Beginning ABE Literacy              | 55%                 |
| 2. Beginning ABE                       | 51%                 |
| 3. Low Intermediate ABE                | 48%                 |
| 4. High Intermediate ABE               | 41%                 |
| 5. Low Adult Secondary Adult Education | 48%                 |

### ESOL (Level Completion)

| Level                                      | Fiscal Year<br>2012 |
|--|---------------------|
| 1. Beginning ESOL Literacy                 | 49%                 |
| 2. Beginning ESOL                          | 65%                 |
| 3. Low Intermediate ESOL                   | 64%                 |
| 4. High Intermediate ESOL                  | 56%                 |
| 5. Low Advanced ESOL                       | 53%                 |
| 6. High Advanced ESOL                      | 46%                 |
| 7. High Advanced ESOL/Transitioning to ABE | 46%                 |

### Minimum Standards for Placement

| Outcome<br>Measure | Fiscal Year<br>2012 |
|--------------------|---------------------|
| Obtains employment | 55%                 |
| Retains employment | 55%                 |

### Minimum Standards for Secondary Level Completion

| Outcome<br>Measure  | Fiscal Year<br>2012 |
|---|---------------------|
| Percent of adults referred to GED test who successfully pass the test | 70%                 |
| Placement in post-secondary education or other education or training  | 70%                 |

# ATTACHMENT 1: Proposal Summary Form

Proposing Organization: \_\_\_\_\_ EIN: \_\_\_\_\_

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

City State Zip Code  
 Contact Name: \_\_\_\_\_ Title: \_\_\_\_\_

Contact E-mail: \_\_\_\_\_

Telephone: \_\_\_\_\_ Fax: \_\_\_\_\_

| <b>Proposed Service Option</b>   |  |                                |                             |                                   |
|--|--|--------------------------------|-----------------------------|-----------------------------------|
| Indicate one service option/competition only; list DYCD funding request and rate |  |                                |                             |                                   |
| <input type="checkbox"/>   | <b>Service Option I: Adult Literacy Services</b><br><i>Adult Basic Education/General Education Development (ABE/GED)</i>                             | <b>Instructional Hour Rate</b> | <b>DYCD funding request</b> | <b>In-kind /Cash Contribution</b> |
|  |  |                                |                             |                                   |
| <input type="checkbox"/>   | <b>Service Option I: Adult Literacy Services</b><br><i>Basic Education in the Native Language/English to Speakers of Other Languages (BENL/ESOL)</i> | <b>Instructional Hour Rate</b> | <b>DYCD funding request</b> | <b>In-kind /Cash Contribution</b> |
|  |  |                                |                             |                                   |
| <input type="checkbox"/>   | <b>Service Option II: Young Adult Literacy Services</b><br><i>Pre-GED Instruction</i>  | <b>Price Per Participant</b>   |                             | <b>DYCD funding request</b>       |
|  |  |                                |                             |                                   |
| <input type="checkbox"/>   | <b>Service Option II: Young Adult Literacy Services</b><br><i>Technical Assistance</i>   | <b>Hourly Rate</b>             |                             | <b>DYCD funding request</b>       |
|  |  |                                |                             |                                   |

| <b>Program Site Locations:</b>   |                                    |
|--|------------------------------------|
| Please complete the following for each site of the proposed program (Attach additional pages as necessary) |                                    |
| Proposed Site 1:   | <b>Planned enrollment at site:</b> |
| Address:   |                                    |
| Proposed Site 2:   | <b>Planned enrollment at site:</b> |
| Address:   |                                    |

Has the proposer submitted more than one proposal in response to this RFP?  Yes  No  
 If yes, complete Attachment 2, Multiple Proposals.

Is the response printed on both sides, on recycled paper containing the minimum percentage of recovered fiber content as requested by the City in the instructions to this solicitation?  Yes  No

**Authorized Representative Signature:** \_\_\_\_\_ **Title:** \_\_\_\_\_  
**Date:** \_\_\_\_\_

## **ATTACHMENT 2: Multiple Proposals**

Has the proposer submitted more than one proposal in response to this RFP.  **Yes**  **No**  
If yes, how many? \_\_\_\_\_

Indicate the personnel who will manage the additional programmatic and administrative (fiscal and personnel) oversight if more than one contract is awarded.

| Title | Full-Time Equivalent<br>(100% = 35 hours/week) |
|-------|--|
| _____ | _____  |
| _____ | _____  |
| _____ | _____  |
| _____ | _____  |

If submitting more than one proposal, what funding sources will cover the above costs?

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

## **ATTACHMENT 3: Corporate Governance Certification**

To enter into a contract with DYCD, each organization must certify that its organizational capability is sufficient to support the services it has contracted to provide. To certify, complete the form below, including the attached list of the members of the Board of Directors, with the name, title, address, telephone number, and e-mail address of each member.

---

---

I, \_\_\_\_\_, am the Chairperson of the Board of \_\_\_\_\_ (“Proposer”), an organization that has proposed to provide certain youth or community development services. I hereby certify that the Proposer:

1. Is governed by a Board of Directors, whose names and addresses are fully and accurately set forth on the attached list.
2. Maintains its corporate books and records, including minutes of each meeting, at the Proposer address stated on the Proposal Summary Form (Attachment 1 of this RFP).
3. Has held in the past 12 months \_\_\_\_\_ meetings of the Board of Directors at which a quorum was present.
4. Reviews, at least annually, at a meeting of the Board of Directors and has reviewed in the past 12 months each of the following topics:
  - a. Executive compensation
  - b. Internal controls, including financial controls
  - c. Audits
  - d. Program operations and outcomes.

**Name of Organization (Print)**

---

**Name of Board Chairperson (Print)**

---

**Signature of Board Chairperson**

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Sworn to before me this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_.

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NOTARY PUBLIC



# BOARD OF DIRECTORS

Name of Organization: \_\_\_\_\_

| Board Member Name | Board Position | Business Address/Phone | E-Mail Address |
|-------------------|----------------|------------------------|----------------|
|                   |                |                        |                |
|                   |                |                        |                |
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|                   |                |                        |                |

(Attach additional pages if needed.)

## **ATTACHMENT 4: Proposed Instructional Services FY12**

| <b>Type of Instruction</b> | <b>Number of Classes</b> | <b>Number of Tutorials*</b> | <b>No. of Inst. Hrs.</b> | <b>No. of Students</b> |
|----------------------------|--------------------------|-----------------------------|--------------------------|------------------------|
| <b>ABE</b>                 |                          |                             |                          |                        |
| I. (0-1.9)                 |                          |                             |                          |                        |
| II. (2-3.9)                |                          |                             |                          |                        |
| III. (4-5.9)               |                          |                             |                          |                        |
| IV. (6-8.9)                |                          |                             |                          |                        |
| <b>GED</b>                 |                          |                             |                          |                        |
| <b>BENL</b>                |                          |                             |                          |                        |
| I. (0-1.9)                 |                          |                             |                          |                        |
| II. (2-3.9)                |                          |                             |                          |                        |
| III. (4-5.9)               |                          |                             |                          |                        |
| IV. (6-8.9)                |                          |                             |                          |                        |
| <b>ESOL</b>                |                          |                             |                          |                        |
| I.                         |                          |                             |                          |                        |
| II.                        |                          |                             |                          |                        |
| III.                       |                          |                             |                          |                        |
| IV.                        |                          |                             |                          |                        |
| V.                         |                          |                             |                          |                        |
| VI.                        |                          |                             |                          |                        |
| <b>ESOL-B</b>              |                          |                             |                          |                        |
| I.                         |                          |                             |                          |                        |
| II.                        |                          |                             |                          |                        |
| III.                       |                          |                             |                          |                        |
| <b>MATH</b>                |                          |                             |                          |                        |
| I. (0-1.9)                 |                          |                             |                          |                        |
| II. (2-3.9)                |                          |                             |                          |                        |
| III. (4-5.9)               |                          |                             |                          |                        |
| IV. (6-8.9)                |                          |                             |                          |                        |
| <b>GRAND TOTALS</b>        |                          |                             |                          |                        |

\*If a program provides tutorial classes, the number of equivalent instructional hours (EIH) must be calculated as follows:  
a. Determine the number of tutorial hours by multiplying the length of tutoring sessions by the total number of sessions;  
b. Calculate contact hours (CH) by multiplying the average daily attendance by tutor hours;  
c. Calculate EIH using the following formulas:

ABE, BENL, Math (0-3.9): EIH = CH divided by 8  
ABE, BENL, Math (4-8.9): EIH = CH divided by 10  
All others: EIH = CH divided by 15

## **ATTACHMENT 5A: Previous Program Performance for Adult Literacy Services Programs**

**PLEASE INDICATE THE PROGRAM TYPES INCLUDED IN THE DATA BELOW (CHECK ALL THAT APPLY):**  ABE  GED  BENL  ESOL

| INDICATOR   | FY 10           |
|---|-----------------|
| <b>a. Number and percent of students promoted from one instructional level to another</b>   | # _____ % _____ |
| <b>b. Number and percent of students post-tested</b>  | # _____ % _____ |
| <b>c. Number and percent of program exitors* who identified “entered employment” as a goal and achieved that goal</b>               | # _____ % _____ |
| <b>d. Number and percent of program exitors* who identified “retained employment” as a goal and achieved that goal</b>              | # _____ % _____ |
| <b>e. Number and percent of program exitors* who identified “earned secondary credential” as a goal and achieved that goal</b>      | # _____ % _____ |
| <b>f. Number and percent of program exitors* who identified “entered post-secondary education” as a goal and achieved that goal</b> | # _____ % _____ |
| <b>g. Projected number of instructional hours and percent achieved</b>  | # _____ % _____ |
| <b>h. Projected number of contact hours and percent achieved</b>  | # _____ % _____ |

\*Note that the term “program exitors” refers to students who both exited the program and responded to the NRS survey. Students who exited the program, but did not respond to the survey are not included in the count.

**ATTACHMENT 5B: Previous Pre-GED Program Performance for  
Young Adult Literacy Services Programs**

| INDICATOR   | FY 10           |
|---|-----------------|
| a. Number and percent of students promoted from one grade level equivalent to another | # _____ % _____ |
| b. Number of students promoted from a pre-GED to a GED class                          | # _____ % _____ |
| c. Number and percent of students who gained at least one grade level in numeracy.    | # _____ % _____ |
| d. Number and percent of students who gained at least one grade level in literacy.    | # _____ % _____ |
| e. Projected number of instructional hours and percent achieved                       | # _____ % _____ |
| f. Projected number of contact hours and percent achieved                             | # _____ % _____ |

## **ATTACHMENT 6A: Projected Program Performance for Adult Literacy Services Programs**

| INDICATOR   | FY 12           |
|---|-----------------|
| <b>a. Number and percent of students promoted from one instructional level to another</b>                             | # _____ % _____ |
| <b>b. Number and percent of students post-tested</b>  | # _____ % _____ |
| <b>c. Number and percent of program exitors who identified “entered employment” as a goal and achieved that goal</b>  | # _____ % _____ |
| <b>d. Number and percent of program exitors who identified “entered GED program” as a goal and achieved that goal</b> | # _____ % _____ |
| <b>e. Projected number of instructional hours and percent achieved</b>  | # _____ % _____ |
| <b>f. Projected number of contact hours and percent achieved</b>  | # _____ % _____ |

**ATTACHMENT 6B: Projected Program Performance for  
Young Adult Literacy Services**

**Programs**

| INDICATOR   | FY 12           |
|---|-----------------|
| a. Number and percent of students promoted from one grade level equivalent to another | # _____ % _____ |
| b. Number and percent of students post-tested   | # _____ % _____ |
| d. Projected number of instructional hours and percent achieved                       | # _____ % _____ |
| e. Projected number of contact hours and percent achieved                             | # _____ % _____ |

# ATTACHMENT 7: Linkage Agreement Form

**Proposer:** \_\_\_\_\_

**INSTRUCTIONS:** This agreement is demonstration of a commitment to integrate service delivery through working relationships with other organizations. It is not a consultant agreement. Provide one Linkage Agreement for each organization with which you will be working. Duplicate this form as needed.

Pursuant to the proposal submitted by \_\_\_\_\_ in  
(Proposing Organization)

response to the Adult Literacy Services/Young Adult Literacy Services Request for Proposals from the Department of Youth and Community Development, the proposer, if funded, will establish programmatic linkage with \_\_\_\_\_ in the form and manner described below.  
(Linked Organization)

Describe the proposed programmatic linkage, including how referrals and follow-up services for individuals will be maintained.

Proposing Organization:

\_\_\_\_\_  
Authorized Representative  
\_\_\_\_\_  
Title  
\_\_\_\_\_  
Signature  
\_\_\_\_\_  
Date

Linked Organization:

\_\_\_\_\_  
Authorized Representative  
\_\_\_\_\_  
Title  
\_\_\_\_\_  
Signature  
\_\_\_\_\_  
Work Address  
\_\_\_\_\_  
Work Telephone Number  
\_\_\_\_\_  
Date

## ATTACHMENT 8: Annual Budget Worksheet

*Complete for Service Option I only.*

| Type of Instruction                     | Number of Instructional Hours Offered | Instructional Hour Rate | TOTAL<br>(Column 2 x Column 3) |
|---|---------------------------------------|-------------------------|--------------------------------|
| ABE 0-5.9 with part-time teacher        |                                       |                         |                                |
| ABE 0-5.9 with full-time teacher        |                                       |                         |                                |
| ABE 6-8.9 with part-time teacher        |                                       |                         |                                |
| ABE 6-8.9 with full-time teacher        |                                       |                         |                                |
| GED with part-time teacher              |                                       |                         |                                |
| GED with full-time teacher              |                                       |                         |                                |
| BENL 0-5.9 with part-time teacher       |                                       |                         |                                |
| BENL 0-5.9 with full-time teacher       |                                       |                         |                                |
| BENL 6-8.9 with part-time teacher       |                                       |                         |                                |
| BENL 6-8.9 with full-time teacher       |                                       |                         |                                |
| Math 0-5.9 with part-time teacher       |                                       |                         |                                |
| Math 0-5.9 with full-time teacher       |                                       |                         |                                |
| Math 6-8.9 with part-time teacher       |                                       |                         |                                |
| Math 6-8.9 with full-time teacher       |                                       |                         |                                |
| ESOL I-VII with part-time teacher       |                                       |                         |                                |
| ESOL I-VII with full-time teacher       |                                       |                         |                                |
| ESOL IB/IIB/IIIB with part-time teacher |                                       |                         |                                |
| ESOL IB/IIB/IIIB with full-time teacher |                                       |                         |                                |
| <b>TOTAL</b>                            |                                       |                         |                                |



## **ATTACHMENT 9A: Proposal Budget Summary Form for Adult Literacy Services Programs**

|                      |  |             |  |
|----------------------|--|-------------|--|
| <b>Organization:</b> |  | <b>EIN:</b> |  |
|----------------------|--|-------------|--|

| Account Code                         | Category                                    | DYCD Funding Request | In-kind/Cash Contribution |
|--------------------------------------|---|----------------------|---------------------------|
| <b>Personnel Services</b>            |   |                      |                           |
| 1100                                 | <b>Salaries and Wages</b>                   | \$                   | \$                        |
|                                      | <b>Full Time:</b>                           | \$                   |                           |
|                                      | <b>Part Time:</b>                           | \$                   |                           |
| 1200                                 | <b>Fringe Benefits</b>                      | \$                   | \$                        |
| 1300                                 | <b>Central Insurance Program</b>            | \$                   | \$                        |
|                                      | <b>Total Personnel Services:</b>            | \$                   | \$                        |
| <b>Non-Staff Services</b>            |   |                      |                           |
| 2100                                 | <b>Consultants</b>                          | \$                   | \$                        |
| 2200                                 | <b>Subcontractors</b>                       | \$                   | \$                        |
| 2300                                 | <b>Stipends</b>                             | \$                   | \$                        |
| 2400                                 | <b>Vendors</b>                              | \$                   | \$                        |
|                                      | <b>Total Non-Staff Services:</b>            | \$                   | \$                        |
| <b>Other Than Personnel Services</b> |   |                      |                           |
| 3100                                 | <b>Consumable Supplies</b>                  | \$                   |                           |
| 3200                                 | <b>Equipment Purchases</b>                  | \$                   | \$                        |
| 3300                                 | <b>Equipment Other</b>                      | \$                   | \$                        |
| 3400                                 | <b>Space Costs</b>                          | \$                   | \$                        |
| 3500                                 | <b>Travel</b>                               | \$                   | \$                        |
| 3600                                 | <b>Utilities &amp; Telephone</b>            | \$                   | \$                        |
| 3700                                 | <b>Other Operational Costs</b>              | \$                   | \$                        |
|                                      | <b>Other Costs:</b>                         | \$                   |                           |
|                                      | <b>Indirect Costs:</b>                      | \$                   |                           |
| 3800                                 | <b>Fiscal Agent Services</b>                | \$                   | \$                        |
|                                      | <b>Total Other Than Personnel Services:</b> | \$                   | \$                        |
|                                      | <b>Total DYCD Funding Request:</b>          | \$                   |                           |
|                                      | <b>Total In-kind/Cash Contribution:</b>     |                      | \$                        |
|                                      | <b>Total Program Cost:</b>                  |                      | \$                        |

## **ATTACHMENT 9B: Proposal Budget Summary Form for Young Adult Literacy Services**

|                      |  |             |  |
|----------------------|--|-------------|--|
| <b>Organization:</b> |  | <b>EIN:</b> |  |
|----------------------|--|-------------|--|

| Account Code                         | Category                                    | DYCD Funding Request: |
|--------------------------------------|---|-----------------------|
| <b>Personnel Services</b>            |   |                       |
| 1100                                 | <b>Salaries and Wages</b>                   | \$                    |
|                                      | <b>Full Time:</b>                           | \$                    |
|                                      | <b>Part Time:</b>                           | \$                    |
| 1200                                 | <b>Fringe Benefits</b>                      | \$                    |
| 1300                                 | <b>Central Insurance Program</b>            | \$                    |
|                                      | <b>Total Personnel Services:</b>            | \$                    |
| <b>Non-Staff Services</b>            |   |                       |
| 2100                                 | <b>Consultants</b>                          | \$                    |
| 2200                                 | <b>Subcontractors</b>                       | \$                    |
| 2300                                 | <b>Stipends</b>                             | \$                    |
| 2400                                 | <b>Vendors</b>                              | \$                    |
|                                      | <b>Total Non-Staff Services:</b>            | \$                    |
| <b>Other Than Personnel Services</b> |   |                       |
| 3100                                 | <b>Consumable Supplies</b>                  | \$                    |
| 3200                                 | <b>Equipment Purchases</b>                  | \$                    |
| 3300                                 | <b>Equipment Other</b>                      | \$                    |
| 3400                                 | <b>Space Costs</b>                          | \$                    |
| 3500                                 | <b>Travel</b>                               | \$                    |
| 3600                                 | <b>Utilities &amp; Telephone</b>            | \$                    |
| 3700                                 | <b>Other Operational Costs</b>              | \$                    |
|                                      | <b>Other Costs:</b>                         | \$                    |
|                                      | <b>Indirect Costs:</b>                      | \$                    |
| 3800                                 | <b>Fiscal Agent Services</b>                | \$                    |
|                                      | <b>Total Other Than Personnel Services:</b> | \$                    |
|                                      | <b>Total DYCD Funding Request:</b>          | \$                    |

# **ATTACHMENT 10: Proposal Budget Summary Category Definitions**

## **Personnel Services**

### **1100 Salaries and Wages**

- The Salaries are divided into two categories:
  - Full Time employees: Persons who work 35 hours or more per week
  - Part Time employees: Persons who work fewer than 35 hours per week

### **1200 Fringe Benefits**

- Fringe Benefits must include FICA. Charges to Fringe Benefits may also include unemployment insurance, worker's compensation, disability, pension, life insurance and medical coverage as per your policies. Enter the Fringe Benefit rate as indicated on the budget summary page. Fringe rates must not be less than 7.65% or exceed 30% of total salaries. If the contractor uses the Fiscal Agent, the minimum rate for Fringe Benefits is 12.65%.

### **1300 Central Insurance Program (CIP)**

- Proposers without general liability insurance at the time of selection have the option of purchasing insurance through CIP or other sources. CIP includes general liability, special accident, property insurance (equipment), worker's compensation, and disability, at a cost of 4.5% of the total program cost. CIP only covers DYCD-funded programs and activities. All funded programs must have general liability insurance of \$1 million, with a certificate naming DYCD and the City of New York as additional insureds, if they do not participate in CIP.

## **Non-Staff Services**

### **2100 Consultants**

- Typically, independent individuals with professional or technical skills retained to perform specific tasks or complete projects related to the program that cannot be accomplished by regular staff. A consultant cannot be a salaried employee.

### **2200 Subcontractors**

- Typically, independent nonprofit entities retained to perform program services. A subcontract will be part of the DYCD contract and will be registered with the NYC Comptroller. Each Subcontractor's EIN must be listed on the subcontract and on its budget.

### **2300 Stipends**

- An incentive allowance ONLY for the benefit of a participant or client.

### **2400 Vendors**

- An independent business entity retained to provide non-program services. Examples: Cleaning services, security, and accounting services.

## **Other than Personnel Services**

### **3100 Consumable Supplies**

- Supplies that are not lasting or permanent in nature, such as office, program, and/or maintenance supplies.

### **3200 Equipment Purchases**

- Purchases of equipment that is durable or permanent, such as furniture, printers, calculators, telephones, computers. All equipment and furniture purchased with DYCD funds at a cost of \$500 or more become the property of The City of New York/DYCD. If the program is terminated, all such items must be returned to DYCD.

### **3300 Equipment Other**

- The rental, lease, repair, and maintenance of office/program equipment utilized in the program's operation. This category also includes Computer Software.

**3400 Space Costs**

- Public School: Opening fees and room rentals paid to the Department of Education (DOE) or
- Space Cost/Other: All other rent paid by a program for all sites utilized by that program. It also includes all related charges associated with the use of the site such as minor repairs and maintenance costs. No renovation or construction projects can be budgeted or paid for with DYCD program funds.
- After being selected, all contractors charging for space cost are required to submit a Space Cost/Cost Allocation Plan. In addition, you will be required to submit a copy of your lease, DOE permit, or month-to-month rental agreement at the time of the budget submission.

**3500 Travel**

- Local travel (i.e., bus and subway fares) by the employees of the program to and from sites that are being used for day-to-day program functions. Expenditures for employees who use their personal automobile for business are reimbursed a maximum of \$0.28 per mile plus tolls. Charge to this account all participant-related travel, such as bus trips and local travel.

**3600 Utilities & Telephone**

- Utilities & Telephone costs associated with the proposed program.

**3700 Other Operational Costs**

- This category is separated into two subcategories:
  - **3710 Other Costs:** Items such as audit costs, postage, printing and publications, subscriptions, Internet fees, etc. Also includes any other operating costs that cannot be classified in any other category. In addition, includes costs associated with and for the benefit of the participants such as food, refreshments, entrance fees, awards, T-shirts, uniforms, and sporting equipment. This category also includes general liability insurance for contractors not in the Central Insurance Program.
  - **3720 Indirect Costs:** The purpose of Indirect Costs is to capture overhead costs incurred by a contractor operating several programs. The maximum allowable rate is 10 percent of the total budget.

**3800 Fiscal Agent Services**

- All contractors now have the option of purchasing the services of the Fiscal Agent. A contractor may also be required by DYCD to have its funds administered by the Fiscal Agent. An agency that chooses or is mandated to utilize the Fiscal Agent must have all DYCD contracts administered by the Fiscal Agent. The following is a brief description of services that will be offered by the Fiscal Agent: Establish financial records, maintain and report on available budget balance, verify invoices, provide payroll services and personnel reporting, be responsible for the timely filing and payments of employment-related taxes, and maintain an Accounts Payable and Ledger system in accordance with generally accepted accounting practices and procedures.
- Fiscal Agent services will be charged from your total budgeted amount at this scale:

| <u>Budget \$ Value</u> | <u>Fiscal Agent Services Fee</u> |
|------------------------|----------------------------------|
| \$ 0 - \$ 25,000       | \$1,200                          |
| \$ 25,001 - \$ 50,000  | \$3,500                          |
| \$ 50,001 - \$100,000  | \$5,100                          |
| \$100,001 - \$250,000  | \$7,100                          |
| Over \$250,001         | \$10,000                         |



# Doing Business Data Form

| To be completed by the City Agency prior to distribution |                                     |                                   |   |
|--|-------------------------------------|-----------------------------------|---|
| Agency: _____  |                                     | Transaction ID: _____             |   |
| Check One:   | Transaction Type (check one):       |                                   |   |
| <input type="checkbox"/> Proposal                        | <input type="checkbox"/> Concession | <input type="checkbox"/> Contract | <input type="checkbox"/> Economic Development Agreement |
| <input type="checkbox"/> Award                           | <input type="checkbox"/> Franchise  | <input type="checkbox"/> Grant    | <input type="checkbox"/> Pension Investment Contract    |

Any entity receiving, applying for or proposing on an award or agreement must complete a Doing Business Data Form (see Q&A sheet for more information). Please either type responses directly into this fillable form or print answers by hand in black ink, and be sure to fill out the certification box on the last page. **Submission of a complete and accurate form is required for a proposal to be considered responsive or for any entity to receive an award or enter into an agreement.**

This Data Form requires information to be provided on principal officers, owners and senior managers. The name, employer and title of each person identified on the Data Form will be included in a public database of people who do business with the City of New York; no other information reported on this form will be disclosed to the public. **This Data Form is not related to the City's VENDEX requirements.**

**Please return the completed Data Form to the City Agency that supplied it.** Please contact the Doing Business Accountability Project at [DoingBusiness@cityhall.nyc.gov](mailto:DoingBusiness@cityhall.nyc.gov) or 212-788-8104 with any questions regarding this Data Form. Thank you for your cooperation.

## Section 1: Entity Information

Entity Name: \_\_\_\_\_

Entity EIN/TIN: \_\_\_\_\_

### Entity Filing Status (select one):

- Entity has never completed a Doing Business Data Form. *Fill out the entire form.*
- Change from previous Data Form dated \_\_\_\_\_. *Fill out only those sections that have changed, and indicate the name of the persons who no longer hold positions with the entity.*
- No Change from previous Data Form dated \_\_\_\_\_. *Skip to the bottom of the last page.*

Entity is a Non-Profit:       Yes       No

Entity Type:     Corporation (any type)     Joint Venture     LLC     Partnership (any type)  
 Sole Proprietor     Other (specify): \_\_\_\_\_

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

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

Phone : \_\_\_\_\_ Fax : \_\_\_\_\_

E-mail: \_\_\_\_\_

Provide your e-mail address and/or fax number in order to receive notices regarding this form by e-mail or fax.

**Section 2: Principal Officers**

Please fill in the required identification information for each officer listed below. If the entity has no such officer or its equivalent, please check "This position does not exist." If the entity is filing a Change Form and the person listed is replacing someone who was previously disclosed, please check "This person replaced..." and fill in the name of the person being replaced so his/her name can be removed from the *Doing Business Database*, and indicate the date that the change became effective.

**Chief Executive Officer (CEO) or equivalent officer**

This position does not exist

The highest ranking officer or manager, such as the President, Executive Director, Sole Proprietor or Chairperson of the Board.

First Name: \_\_\_\_\_ MI: \_\_\_\_\_ Last: \_\_\_\_\_

Office Title: \_\_\_\_\_

Employer (if not employed by entity): \_\_\_\_\_

Birth Date (mm/dd/yy): \_\_\_\_\_ Home Phone #: \_\_\_\_\_

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

This person replaced former CEO: \_\_\_\_\_ on date: \_\_\_\_\_

**Chief Financial Officer (CFO) or equivalent officer**

This position does not exist

The highest ranking financial officer, such as the Treasurer, Comptroller, Financial Director or VP for Finance.

First Name: \_\_\_\_\_ MI: \_\_\_\_\_ Last: \_\_\_\_\_

Office Title: \_\_\_\_\_

Employer (if not employed by entity): \_\_\_\_\_

Birth Date (mm/dd/yy): \_\_\_\_\_ Home Phone #: \_\_\_\_\_

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

This person replaced former CFO: \_\_\_\_\_ on date: \_\_\_\_\_

**Chief Operating Officer (COO) or equivalent officer**

This position does not exist

The highest ranking operational officer, such as the Chief Planning Officer, Director of Operations or VP for Operations.

First Name: \_\_\_\_\_ MI: \_\_\_\_\_ Last: \_\_\_\_\_

Office Title: \_\_\_\_\_

Employer (if not employed by entity): \_\_\_\_\_

Birth Date (mm/dd/yy): \_\_\_\_\_ Home Phone #: \_\_\_\_\_

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

This person replaced former COO: \_\_\_\_\_ on date: \_\_\_\_\_

For information or assistance, call the Doing Business Accountability Project at 212-788-8104.

**Section 3: Principal Owners**

Please fill in the required identification information for all individuals who, through stock shares, partnership agreements or other means, **own or control 10% or more of the entity**. If no individual owners exist, please check the appropriate box to indicate why and skip to the next page. If the entity is owned by other companies, those companies do **not** need to be listed. If an owner was identified on the previous page, fill in his/her name and write "See above." If the entity is filing a Change Form, list any individuals who are no longer owners at the bottom of this page. If more space is needed, attach additional pages labeled "Additional Owners."

**There are no owners listed because (select one):**

- The entity is not-for-profit
- There are no individual owners
- No individual owner holds 10% or more shares in the entity
- Other (explain): \_\_\_\_\_

**Principal Owners (who own or control 10% or more of the entity):**

First Name: \_\_\_\_\_ MI: \_\_\_\_\_ Last: \_\_\_\_\_

Office Title: \_\_\_\_\_

Employer (if not employed by entity): \_\_\_\_\_

Birth Date (mm/dd/yy): \_\_\_\_\_ Home Phone #: \_\_\_\_\_

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

First Name: \_\_\_\_\_ MI: \_\_\_\_\_ Last: \_\_\_\_\_

Office Title: \_\_\_\_\_

Employer (if not employed by entity): \_\_\_\_\_

Birth Date (mm/dd/yy): \_\_\_\_\_ Home Phone #: \_\_\_\_\_

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

First Name: \_\_\_\_\_ MI: \_\_\_\_\_ Last: \_\_\_\_\_

Office Title: \_\_\_\_\_

Employer (if not employed by entity): \_\_\_\_\_

Birth Date (mm/dd/yy): \_\_\_\_\_ Home Phone #: \_\_\_\_\_

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

**Remove the following previously-reported Principal Owners:**

Name: \_\_\_\_\_ Removal Date: \_\_\_\_\_

Name: \_\_\_\_\_ Removal Date: \_\_\_\_\_

Name: \_\_\_\_\_ Removal Date: \_\_\_\_\_

**Section 4: Senior Managers**

Please fill in the required identification information for all senior managers who oversee any of the entity's relevant transactions with the City (e.g., contract managers if this form is for a contract award/proposal, grant managers if for a grant, etc.). Senior managers include anyone who, either by title or duties, has substantial discretion and high-level oversight regarding the solicitation, letting or administration of any transaction with the City. **At least one senior manager must be listed, or the Data Form will be considered incomplete.** If a senior manager has been identified on a previous page, fill in his/her name and write "See above." If the entity is filing a Change Form, list individuals who are no longer senior managers at the bottom of this section. If more space is needed, attach additional pages labeled "Additional Senior Managers."

**Senior Managers:**

First Name: \_\_\_\_\_ MI: \_\_\_\_\_ Last: \_\_\_\_\_

Office Title: \_\_\_\_\_

Employer (if not employed by entity): \_\_\_\_\_

Birth Date (mm/dd/yy): \_\_\_\_\_ Home Phone #: \_\_\_\_\_

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

First Name: \_\_\_\_\_ MI: \_\_\_\_\_ Last: \_\_\_\_\_

Office Title: \_\_\_\_\_

Employer (if not employed by entity): \_\_\_\_\_

Birth Date (mm/dd/yy): \_\_\_\_\_ Home Phone #: \_\_\_\_\_

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

First Name: \_\_\_\_\_ MI: \_\_\_\_\_ Last: \_\_\_\_\_

Office Title: \_\_\_\_\_

Employer (if not employed by entity): \_\_\_\_\_

Birth Date (mm/dd/yy): \_\_\_\_\_ Home Phone #: \_\_\_\_\_

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

**Remove the following previously-reported Senior Managers:**

Name: \_\_\_\_\_ Removal Date: \_\_\_\_\_

Name: \_\_\_\_\_ Removal Date: \_\_\_\_\_

**Certification**

I certify that the information submitted on these four pages and \_\_\_\_\_ additional pages is accurate and complete. I understand that willful or fraudulent submission of a materially false statement may result in the entity being found non-responsible and therefore denied future City awards.

Name: \_\_\_\_\_

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

Entity Name: \_\_\_\_\_

Title: \_\_\_\_\_ Work Phone #: \_\_\_\_\_

**Return the completed Data Form to the agency that supplied it.**

For information or assistance, call the Doing Business Accountability Project at 212-788-8104.



## ATTACHMENT 12: Acknowledgement of Addenda

RFP TITLE: ADULT LITERACY SERVICES  
YOUNG ADULT LITERACY SERVICES

PIN: 260112ALITRFP

Proposer: \_\_\_\_\_

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### COMPLETE PART I OR PART II, WHICHEVER IS APPLICABLE.

PART I: List below the dates of issuance for **each addendum received** in connection with this RFP:

ADDENDUM #1 DATED: \_\_\_\_\_, 20\_\_

ADDENDUM #2 DATED: \_\_\_\_\_, 20\_\_

ADDENDUM #3 DATED: \_\_\_\_\_, 20\_\_

ADDENDUM #4 DATED: \_\_\_\_\_, 20\_\_

ADDENDUM #5 DATED: \_\_\_\_\_, 20\_\_

ADDENDUM #6 DATED: \_\_\_\_\_, 20\_\_

ADDENDUM #7 DATED: \_\_\_\_\_, 20\_\_

ADDENDUM #8 DATED: \_\_\_\_\_, 20\_\_

PART II: Check, if applicable.

\_\_\_\_\_ NO ADDENDUM WAS RECEIVED IN CONNECTION WITH THIS RFP.

DATE \_\_\_\_/\_\_\_\_/\_\_\_\_

PROPOSER (NAME): \_\_\_\_\_

PROPOSER (SIGNATURE): \_\_\_\_\_