



## **Request for Proposals**

Vendor to Assist the  
Denver Preschool Program with:  
*Quality Assurance Program*

**Issued: April 9, 2018**

**FUNDING  
QUALITY  
PRESCHOOL  
FOR DENVER**

## **Table of Contents**

SECTION I:	General Information and Background	Page 3
SECTION II:	Scope of Work	Page 7
SECTION III:	Proposal Format	Page 9
SECTION IV:	Criteria Used in Review of RFP Proposals	Page 10
SECTION V:	Proposal Schedule	Page 11
SECTION VI:	Special Considerations	Page 12
APPENDIX:	Appendix Content List	Page 13
APPENDIX A:	Universal Expectations	Page 14
APPENDIX B:	Quality Assurance Program Charter	Page 15
APPENDIX C:	Current QAP Standard Operating Procedures	Page 16
APPENDIX D:	Quality Assurance Process Calendar	Page 18
APPENDIX E:	Sample Quality Assurance Report	Page 21

## Section I – General Information

### RFP Summary

The Denver Preschool Program wishes to retain the services of a qualified organization to manage its Quality Assurance Program (QAP).

The vendor who is awarded this contract will manage the DPP Quality Assurance Program (QAP), the purpose of which is to provide an independent, third-party review of contractor stakeholder compliance with DPP program policies. The overarching objective of the QAP is to apply a systematic approach to evaluate and continuously improve the effectiveness of established DPP program policies. The program emphasizes partnership, collaboration and accountability to ensure positive programmatic outcomes for Denver's children and effective use of tax dollars to its citizens.

### Background

The Denver Preschool Program, initially approved by voters in November 2006 then renewed and expanded by voters in November 2014, provides Denver residents with 4-year-old children with a tuition credit for preschool, and quality improvement supports to classrooms at more than 250 licensed preschool providers. There are approximately 570 DPP classrooms in the City and County of Denver and adjacent cities.

The Denver Preschool Program participants receive tuition credits on a sliding scale based on family income, household size, length of day attending preschool, actual attendance, and the quality rating of the chosen provider. The program is open and voluntary for all Denver 4-year-olds in their last year of preschool prior to kindergarten. Families can choose any licensed preschool provider that contracts with DPP and agrees to participate in a quality rating and improvement system. Through the 2016-2017 school year, the Denver Preschool Program has provided approximately \$92 million in tuition credits to families and over \$13 million in quality improvement funds to providers, has served approximately 46,000 children, and currently serves approximately 5,000 children annually. DPP provided over \$12 million in tuition credit support in the 2016-2017 program year, which runs from September through August.

The program is administered by the Denver Preschool Program, Inc., an independent 501(c)3 created through City ordinance for the sole purpose of managing Denver's dedicated preschool tax. The organization is governed by a Board of Directors appointed by the Mayor of Denver and City Council, and comprised of citizens with experience managing businesses, non-profits and public programs.

### Contract Duration

The term of this contract is for a period of three (3) years commencing on September 1, 2018. The Denver Preschool Program, at its sole option, shall have the unilateral right to extend the contract for up to two (2) additional, successive one-year terms.

**FUNDING  
QUALITY  
PRESCHOOL  
FOR DENVER**

## Contract Budget

The maximum budget for this Contract for each year of the contract is:

Year One: \$135,000  
Year Two: \$155,000  
Year Three: \$175,000

RFP respondents should ensure that their detailed budget proposals are aligned with these budget ceilings. DPP values efficiencies that can reduce costs. As noted in Section IV, Criteria Used in Review of Proposals, the value of the proposed budget can receive up to 15 of 100 total possible points in the scoring of the RFP response. Offerors are encouraged to submit a budget that will provide the highest quality services with the lowest possible cost.

## Inquiries

Unless otherwise noted, prospective contractors may make email inquiries concerning this RFP to obtain clarification of requirements. All responses will be publicly posted in the “About Us” section of the DPP website at the following link:

<https://dpp.org/about-us/employment-contractor-opportunities>

DPP will strive to respond to all inquiries within 48 hours of receipt. No inquiries will be accepted after 1 p.m. on May 4, 2018 and final responses to all inquiries will be posted by May 10, 2018. Please email all inquiries to: Ellen Braun, Deputy Director at [ellen@dpp.org](mailto:ellen@dpp.org).

## Lead Officer

The sole point of contact for purposes of this RFP prior to the award of any contract is the Denver Preschool Program Deputy Director:

Ellen Braun  
Deputy Director  
Denver Preschool Program  
305 Park Ave W, Suite B  
Denver, CO 80205  
[ellen@dpp.org](mailto:ellen@dpp.org)

All communication regarding this RFP must be in writing.

**FUNDING  
QUALITY  
PRESCHOOL  
FOR DENVER**

## Pre-Proposal Conference

A Pre-Proposal Conference will be held on May 3, 2018, beginning at 1 p.m. Mountain Time, at the offices of the Denver Preschool Program, 305 Park Avenue West, Suite B, Denver, CO 80205. Participation at the Pre-Proposal Conference is not mandatory, but all interested Offerors are encouraged to take part in order to facilitate better preparation of their proposals. In addition, attendance may facilitate the Offeror's understanding of RFP requirements. Telephone participation can be accommodated.

In order to assure adequate seating and other accommodations at the Pre-Proposal Conference, it is requested that all attendees notify Ellen Braun of their intention to participate by email ([ellen@dpp.org](mailto:ellen@dpp.org)) by 5 p.m. Mountain Time, April 30, 2018.

## Proposal Due Date

Six (6) bound copies of each complete proposal as well as a PDF copy on a USB Flash Drive must be received by the Denver Preschool Program's Deputy Director at the listed address **no later than 5:00 p.m. (Mountain Time) on June 7, 2018**, in order to be considered:

Ellen Braun  
Deputy Director  
Denver Preschool Program  
305 Park Ave W, Suite B  
Denver, CO 80205

Requests for extension of this date or time will not be granted. Offerors mailing proposals should allow sufficient mail delivery time to ensure timely receipt by the Deputy Director. Proposals received by the Deputy Director after the due date of **June 7, 2018, at 5:00 p.m. (Mountain Time)** will not be considered. Proposals may not be submitted by e-mail or facsimile.

## Oral Presentation

Offerors may be invited to make oral presentations to occur in July 2018. These presentations must be presented verbally as well as in writing. Written materials will become part of the Offeror's proposal and are binding if the contract is awarded. The Deputy Director will notify Offerors of the time and place of oral presentations by June 29, 2018.

**FUNDING  
QUALITY  
PRESCHOOL  
FOR DENVER**

## Mandatory Contractual Terms

By submitting an offer in response to this RFP, an Offeror, if selected for award, shall be deemed to have accepted the terms of this RFP as well as the terms below:

- Employer's Liability Insurance: The Offeror shall maintain Employer's Liability Insurance with limits of \$100,000 for each bodily injury occurrence claim, \$100,000 for each bodily injury caused by disease claim, and \$500,000 aggregate for all bodily injuries caused by disease claims.
- General Liability Insurance: The Offeror shall maintain limits of \$1,000,000 for each occurrence claim, \$1,000,000 for each personal and advertising injury claim, \$2,000,000 products and completed operations for each occurrence, and \$2,000,000 policy aggregate. The Denver Preschool Program and the City of Denver must be named as additionally insured on the firm's liability insurance.
- Worker's Compensation: The Offeror shall maintain coverage as required by statute for each of its business locations.
- Audit requirements: Each year the Denver Preschool Program is required to participate in an independent financial audit of our program. As a contractor to the Program, the selected vendor will be required to have their Denver Preschool Program-related operations participate in this audit process.

## Section II – Scope of Work

### Scope of Work - Minimum Requirements

The Denver Preschool Program is interested in proposals for a service provider to manage the quality assurance program. The general scope of work for the QAP follows a

**FUNDING  
QUALITY  
PRESCHOOL  
FOR DENVER**

random sample of the DPP student population from the application process through the payment of tuition credits to preschool providers. To achieve this objective, the QAP reviews documentation for student attendance, proof of residency, program participation levels, and payment amounts; from DPP to providers, and from providers to parents.

The scope of work of the QAP Consultant is to determine whether the organization's network of risk management, control, and governance processes, as designed and represented by management, is adequate and functioning in a manner to ensure:

- Significant financial, managerial, and operating information is accurate, reliable, and timely.
- DPP, provider and contractor actions are in compliance with policies, standards, procedures, and applicable laws and regulations.
- Program policies are adhered to.
- Quality and continuous improvement are fostered in the organization's control process.
- Opportunities for improving management control, compliance, and achieving the organization's objectives are identified during reviews (when applicable).
- Review findings are communicated to the appropriate level of management and governance.

The QAP cycle will recur every month throughout the school year (September - August); at least two preschools per cycle and a minimum of five children per preschool, this amounts to the review of roughly 24 preschools and 120 students per school year. Additional quality assurance requests will be made including one to three forced audits and QAPs for schools joining DPP for the first time (on average six new providers each year).

### **General Requirements**

- Should a subcontracting organization be utilized for any component of this RFP, the roles and capabilities of that partner organization should be fully defined within your organization's submission.
- Manage an ongoing plan for continuous improvement of processes and services.
- Develop, track and maintain relevant program policies and standard operating procedures.
- The Offeror will deliver services in an efficient and effective manner. As a manager of a City contract, the Denver Preschool Program operates within a culture of financial accountability and will hold the Offeror to similar standards.
- Participate in ongoing in-person meetings and work to manage a cohesive relationship with DPP staff.

**FUNDING  
QUALITY  
PRESCHOOL  
FOR DENVER**



- Participate in and make presentations to DPP's Board of Directors and DPP program committees, and prepare ad hoc reports upon request.

### **Reporting, Access, and Sharing**

- Deliver activity and outcomes reports to Program staff to include (but not limited to):
  - Findings report for each school selected in the QAP process.
  - Annual report to summarize key themes and findings.
- Review and assess data and reports on an ongoing basis and proactively highlight trends, insights, and potential solutions to Program staff; work with Program staff to implement solutions.
- Respond to ad hoc report requests from Program staff.

### **Information Management Systems**

- Within the quality assurance process, sensitive information is provided to the contractor by Denver Preschool Program preschool providers and other contractors. As such, the successful vendor will prove to the Denver Preschool Program that they are able to receive and manage all Program-related conversations and materials in a secure location, separate from other business functions within the organization.
- Create and manage secure electronic document storage, accessible to authorized users in various locations.

## **Section III – Proposal Format**

Please provide one original document plus six (6) copies. Submissions should include:

- A cover sheet providing the name of the firm, contact information, MBE/WBE/DBE participation and any Denver office presence.

**FUNDING  
QUALITY  
PRESCHOOL  
FOR DENVER**



- Table of Contents
- Executive Summary: The Offeror shall condense and highlight the contents of the Proposal/Work Plan, providing a broad understanding of the entire proposal. (2 page limit)
- Corporate information including history, financial stability, length of time in business and areas of specialty. The same information should be presented for any subcontracting organization. (2 page limit per organization)
- Organizational qualifications and experience, including previous clients and similar project examples with contact information. The same information should be presented for any subcontracting organization. (2 page limit per organization)
- Two letters of support from current or prior clients.
- Work Plan: Define how the Offeror intends to develop and manage the scope of work including (6 page limit for Required Scope of Work):
  - Clear outline of proposed activities and timeline to manage the contract transition (if appropriate). Key assumptions and roles of staff and organizations (if subcontracting any component) should be clearly identified.
  - Description of technical and organizational infrastructure and ongoing management that will implement and support ongoing contract work. Roles of staff and organizations (if subcontracting any component) should be clearly identified.
- Experience and proposed staffing to include (4 page limit per organization):
  - Biographies of organization leadership.
  - Staff lead for this contract.
  - The staff members who would interface regularly with Denver Preschool Program staff, contractors and preschool providers.
  - The proportion of each person's time that will be dedicated to serving the Denver Preschool Program.
  - If positions are currently unstaffed, please identify the skills as well as the traits you would seek in successful candidates.
  - If subcontracting, the organization should be clearly identified.
- Line-item budget detailing one-time costs, ongoing costs, any required infrastructure costs and ongoing costs for the Required Scope of Work.

## Section IV – Criteria Used in Review of Request for Proposals

The following criteria will be used in screening, ranking and selection of the successful firm:

Criteria	Maximum Points
Transition or Continuity Plan	5
Denver-based Company	10
MBE/WBE/DBE Designation	5
Qualifications / Experience	15
Demonstrated Capability of Executing the Scope of Work	20
Value of Detailed Proposed Budget	15
Scope of Work Implementation Plan	30
<b>Total Points</b>	<b>100</b>

**FUNDING  
QUALITY  
PRESCHOOL  
FOR DENVER**

## Section V – Proposal Schedule

RFP issued:	April 9, 2018
RSVP for pre-proposal conference	April 27, 2018
Pre-proposal conference	May 3, 2018 (1:00 p.m. Mountain Time)
Final responses to questions posted	May 10, 2018
Proposals due:	June 7, 2018 (5:00 p.m. Mountain Time)
Notice of Oral Presentations	June 29, 2018
Oral presentations:	July, 2018 (Date, Time, and Location to be Determined)
Contract awarded:	August 1, 2018
Service launch:	September 1, 2018

**FUNDING  
QUALITY  
PRESCHOOL  
FOR DENVER**

## Section VI – Special Considerations

1. The RFP does not commit the Denver Preschool Program to procure or award a contract for all or a portion of the scope of work described.
2. Denver Preschool Program reserves the right to negotiate the contract terms related to payment, scope of work, timeline and the performance of the work tasks.
3. Denver Preschool Program reserves the right to reasonably request additional information or clarification of information provided in the responses without changing the terms of the RFP.
4. Proposers shall respond to the RFP at their own expense.
5. The proposal must be signed by a person authorized to sign on behalf of the Proponent and to bind the Submitter to statements made in response to this Request for Proposal.
6. Documents submitted pursuant to this RFP will be subject to the Colorado Open Records Act, C.R.S. §§ 24-72-201, et. seq. Information clearly marked as confidential and proprietary will be kept confidential by Denver Preschool Program, unless otherwise provided by law. The Colorado Open Records Act provides that “Trade secrets, privileged information, and confidential commercial, financial, geological, or geophysical data furnished by any person” to a state agency will not be produced in response to an open records request. Denver Preschool Program will notify the Submitter if a request is made for such information, so that the Submitter may take any action it deems necessary to defend the request. The Submitter shall be the entity responsible for defending against Colorado Open Records Act disclosures for any records claimed by the Submitted to be confidential and proprietary.

**FUNDING  
QUALITY  
PRESCHOOL  
FOR DENVER**

## Appendix

- A. Universal Expectations
- B. Quality Assurance Program Charter
- C. Current QAP Standard Operating Procedures
- D. Quality Assurance Process Calendar
- E. Sample Quality Assurance Report

**FUNDING  
QUALITY  
PRESCHOOL  
FOR DENVER**

## **A. Universal Expectations**

- All conduct under the contract shall be in the best interest of the Denver Preschool Program.
- Adhere to DPP Branding Guidelines, as appropriate.
- Represent DPP in a positive and friendly manner during any contact with DPP Providers, families, and/or partners.

### **• Family and Preschool Provider Communications**

- Correspondence: email and phone calls: When communicating with a prospective or enrolled family, as well as DPP Preschool Providers regarding DPP-specific activities, any contracted staff must acknowledge they are calling on behalf of the Denver Preschool Program.

### **• Collaboration with Other DPP Contractors**

- DPP's quality assurance contractor must work collaboratively with other DPP contractors, including but not limited to:
  - DPP's enrollment and evaluation contractor in the collection and review of records necessary for each QAP.
  - DPP's providers in obtaining necessary information for each QAP.
  - DPP's quality improvement contractors in obtaining necessary information for each QAP.

**FUNDING  
QUALITY  
PRESCHOOL  
FOR DENVER**

## **B. Quality Assurance Program Charter**

### **Program Objectives:**

The mission of the Denver Preschool Program (DPP) Quality Assurance Program (QAP) is to provide independent, third-party review of stakeholder compliance with DPP program policies. The overarching objective of the QAP is to apply a systematic approach to evaluate and continuously improve the effectiveness of established DPP program policies. The program will emphasize partnership, collaboration and accountability to insure positive programmatic outcomes for Denver's children and effective use of tax dollars to its citizens.

The general scope of work for the Quality Assurance Program will follow a random sample of the DPP population from the application process through the payment of tuition credits to providers. To achieve this objective, the QA program will review documentation for student attendance, proof of residency, program participation levels, and payment amounts; from DPP to providers, and from providers to parents.

### **Role:**

The Quality Assurance Program is approved by the Board of Directors as part of the program oversight function. Its responsibilities are defined by the Board Designated Committee, which will be comprised of DPP staff, designated board members and community members.

The Board Designated Committee is also responsible for selecting a qualified Quality Assurance Consultant with the appropriate qualifications and program understanding to deliver unbiased third-party compliance review services. The selection process for the QA Consultant will comply with all relevant DPP procurement policies.

The Quality Assurance (QA) Consultant will display the highest level of professional integrity in his or her approach to implementing the QAP and will adhere to recognized standards and processes that are pre-approved by the Quality Assurance Committee.

### **Authority:**

The QA Consultant is authorized to utilize the following general categories of information:

- Provider records as allowed by signed Provider Agreement and applicable federal, state and local laws.
- Full access to DPP staff and the Quality Assurance committee.
- Ability to allocate resources (within pre-determined program budget), set frequencies, select subjects, determine scopes of work, and apply the techniques required to accomplish program objectives.
- Obtain the necessary assistance of DPP staff and relevant contractors in organizations where they perform reviews.

**FUNDING  
QUALITY  
PRESCHOOL  
FOR DENVER**



**Organizational Status:**

The Quality Assurance Consultant shall report administratively to DPP's Deputy Director and functionally to the Quality Assurance Committee. Additionally, the Board Designated Committee and QA Consultant will provide QA Program updates to the full DPP Board of Director's on an as needed basis.

**Independence:**

All quality assurance activities shall remain free of any personal conflict of interest or influence by any element in the organization, as related to matters of participant selection, scope procedures, frequency, timing, or report content in order to permit maintenance of an independent and objective mental attitude necessary in rendering reports. The QA Consultant shall have no direct operational authority over any of the activities that the QA Consultant reviews.

**Periodic Assessment:**

The QA Consultant and Board Designated Committee should periodically assess whether the purpose, authority, and responsibility, as defined in this charter, continues to adequately enable the quality assurance program to accomplish its objectives. The result of this periodic assessment should be communicated and modified as necessary by the Board of Directors.

## **C. Current QAP Standard Operating Procedures**

**Scope:**

The scope of work of the QA Consultant is to determine whether the organization's network of risk management, control, and governance processes, as designed and represented by management, is adequate and functioning in a manner to ensure:

- Significant financial, managerial, and operating information is accurate, reliable, and timely.
- DPP, provider and contractor actions are in compliance with policies, standards, procedures, and applicable laws and regulations.
- Program policies are adhered to.
- Quality and continuous improvement are fostered in the organization's control process.
- Opportunities for improving management control, compliance, and achieving the organization's objectives are identified during reviews (when applicable).
- Review findings are communicated to the appropriate level of management and governance.

**FUNDING  
QUALITY  
PRESCHOOL  
FOR DENVER**

## **Responsibilities:**

*Quality Assurance Committee* – Responsible for Quality Assurance Program governance.

*Chief Executive Officer* – Responsible for approving remedy/cure recommendations.

*Deputy Director* – Responsible for QA Report review and remedy/cure recommendations and ongoing program oversight.

*Quality Assurance Consultant* – Responsible for process implementation

## **QA Program Planning:**

Annually, the QA Consultant shall submit to the Deputy Director a summary of the QA Program work schedule and budget for the following fiscal year. The QA Program work schedule is to be developed based on a prioritization of the program universe using a risk-based methodology. Any significant deviation from the formally approved work schedule shall be communicated and approved by the Board Designated Committee prior to initiating quality assurance activities.

## **Reporting:**

A written Quality Assurance Report will be prepared and issued by the QA Consultant following the conclusion of each quality assurance review and will be distributed as appropriate. This report will utilize a standard format to ensure that reported conclusions and opinions are supported with adequate, competent, and sufficient documentation.

The QA Consultant may provide additional information, as appropriate, to supplement and/or qualify specific findings and recommendations.

After submittal to the Quality Assurance Committee, the Committee may request, at its sole discretion, additional information to support the conclusions and findings presented in the draft QA Report. Depending on the nature of such a request, impacted parties shall respond to the information request within 30 calendar days to insure completion of the final QA Report in a timely manner.

The Board Designated Committee shall be responsible for appropriate follow-up on findings and recommendations presented in the QA Report.

Additionally, the Board Designated Committee shall approve the conceptual framework pertaining to the appropriate course of action with regards to Quality Assurance Review findings. Significant findings will remain in an open issues file until cleared by the Board Designated Committee.

**FUNDING  
QUALITY  
PRESCHOOL  
FOR DENVER**

## D. Quality Assurance Process Calendar

Step	Action																					
1.	Select random sample of students for quality assurance review.																					
2.	Selected students are entered into QA Review Tracking Tool.																					
3.	<p>Document request is distributed for selected random sample.</p> <table><tr><td><u>What is included</u></td><td><u>Who receives request</u></td></tr><tr><td>1. Introductory letter from DPP</td><td>1. Customer Service Provider</td></tr><tr><td>2. Procedure description from QA Consultant including deadline for action and response</td><td>2. Ratings agency</td></tr><tr><td>3. Checklist for required documents (<i>unique for each organization</i>)</td><td>3. ECE Provider</td></tr></table>	<u>What is included</u>	<u>Who receives request</u>	1. Introductory letter from DPP	1. Customer Service Provider	2. Procedure description from QA Consultant including deadline for action and response	2. Ratings agency	3. Checklist for required documents ( <i>unique for each organization</i> )	3. ECE Provider													
<u>What is included</u>	<u>Who receives request</u>																					
1. Introductory letter from DPP	1. Customer Service Provider																					
2. Procedure description from QA Consultant including deadline for action and response	2. Ratings agency																					
3. Checklist for required documents ( <i>unique for each organization</i> )	3. ECE Provider																					
4.	<p>Request documents are returned to QA Consultant via mail or fax from relevant organizations. Required documents are:</p> <table><tr><td><u>MetrixIQ</u></td><td><u>Providers</u></td><td><u>Qualistar/DECC</u></td></tr><tr><td>1. Submitted attendance</td><td>1. Daily schedule</td><td>1. Provider agreement</td></tr><tr><td>2. Proof of income</td><td>2. Attendance sheets</td><td>2. Copy of current insurance certificate</td></tr><tr><td>3. Proof of residency</td><td>3. Copy of parents bill</td><td>3. Tuition rates</td></tr><tr><td>4. Completed application</td><td>4. Current address for child</td><td>4. Current Colorado Shines rating</td></tr><tr><td>5. Enrollment letter</td><td>5. Copy of daily sign-in sheets</td><td>5. Daily schedule</td></tr><tr><td>6. Copy of payment notification e-mail</td><td>6. DPP Acceptance letter</td><td></td></tr></table>	<u>MetrixIQ</u>	<u>Providers</u>	<u>Qualistar/DECC</u>	1. Submitted attendance	1. Daily schedule	1. Provider agreement	2. Proof of income	2. Attendance sheets	2. Copy of current insurance certificate	3. Proof of residency	3. Copy of parents bill	3. Tuition rates	4. Completed application	4. Current address for child	4. Current Colorado Shines rating	5. Enrollment letter	5. Copy of daily sign-in sheets	5. Daily schedule	6. Copy of payment notification e-mail	6. DPP Acceptance letter	
<u>MetrixIQ</u>	<u>Providers</u>	<u>Qualistar/DECC</u>																				
1. Submitted attendance	1. Daily schedule	1. Provider agreement																				
2. Proof of income	2. Attendance sheets	2. Copy of current insurance certificate																				
3. Proof of residency	3. Copy of parents bill	3. Tuition rates																				
4. Completed application	4. Current address for child	4. Current Colorado Shines rating																				
5. Enrollment letter	5. Copy of daily sign-in sheets	5. Daily schedule																				
6. Copy of payment notification e-mail	6. DPP Acceptance letter																					
5.	<p>Data compilation</p> <p>5.1 Information is organized and compiled by QA Consultant.</p> <p>5.2 Information is review for completeness and understanding.</p> <p>5.3 Determines if sufficient information provided to complete QA Review.</p>																					

FUNDIN  
QUALIT  
PRESCHO

**FUNDING  
QUALITY  
PRESCHOOL  
FOR DENVER**

6.	<p><u><i>If data is NOT sufficient:</i></u></p> <ol style="list-style-type: none"> <li>1. QA Consultant notifies DPP of deficiency.</li> <li>2. DPP issues follow-up letter.</li> <li>3. DPP place follow-up phone call.</li> <li>4. DPP issues ‘final notice’ for compliance.</li> <li>5. Legal notice issued by counsel.</li> <li>6. Payment withheld until compliance.</li> </ol>	<p><u><i>If data is sufficient:</i></u></p> <ol style="list-style-type: none"> <li>1. Move to Step 7</li> </ol>
7.	<p>Quality Assurance Review is initiated</p> <p>7.1 Clarification questions are issued, if applicable.</p> <p>7.2 Parent verification is requested, if applicable.</p>	
8.	<p>Quality Assurance Report submitted.</p> <p>8.1 Electronic submittal to Manager.</p>	

### End of QA Consultant role in Quality Assurance Review

9.	DPP Deputy Director and appropriate staff review QA Report.								
10.	DPP submits <i>Quality Improvement Recommendation</i> to President and CEO for internal approval. Recommendations are:  <table><tr><td><u><i>No Action</i></u></td><td><u><i>Schedule Informational Meeting</i></u></td><td><u><i>More Information Needed</i></u></td></tr><tr><td>1. Report review concludes that selected student is in compliance with all DPP program policies.</td><td>1. Report review concludes that minor compliance issues exist with selected student.</td><td>1. Report concludes that compliance issues exist with selected student, but cannot identify root cause without additional information.</td></tr></table>			<u><i>No Action</i></u>	<u><i>Schedule Informational Meeting</i></u>	<u><i>More Information Needed</i></u>	1. Report review concludes that selected student is in compliance with all DPP program policies.	1. Report review concludes that minor compliance issues exist with selected student.	1. Report concludes that compliance issues exist with selected student, but cannot identify root cause without additional information.
<u><i>No Action</i></u>	<u><i>Schedule Informational Meeting</i></u>	<u><i>More Information Needed</i></u>							
1. Report review concludes that selected student is in compliance with all DPP program policies.	1. Report review concludes that minor compliance issues exist with selected student.	1. Report concludes that compliance issues exist with selected student, but cannot identify root cause without additional information.							
11.	Deputy Director reviews Quality Improvement Recommendation and either recommends CEO approval or denial.  <table><tr><td><u><i>If Denied:</i></u></td><td><u><i>If Approved:</i></u></td></tr><tr><td>1. CEO provides reason for denial. 2. Staff address CEO concern and resubmits recommendation.</td><td>1. Move to Step 12.</td></tr></table>			<u><i>If Denied:</i></u>	<u><i>If Approved:</i></u>	1. CEO provides reason for denial. 2. Staff address CEO concern and resubmits recommendation.	1. Move to Step 12.		
<u><i>If Denied:</i></u>	<u><i>If Approved:</i></u>								
1. CEO provides reason for denial. 2. Staff address CEO concern and resubmits recommendation.	1. Move to Step 12.								

FUNDIN  
QUALIT  
PRESCHO

12.	DPP staff implement recommendation as outlined below:		
	<u><i>No Action</i></u>	<u><i>Schedule Informational Meeting</i></u>	<u><i>More Information Needed</i></u>
	<ol style="list-style-type: none"> <li>1. Report review concludes that selected student is in compliance with all DPP program policies.</li> <li>2. QAP commendation letter sent to all review participants noting unqualified QA Review.</li> </ol>	<ol style="list-style-type: none"> <li>1. Report review concludes that minor compliance issues exist with selected student.</li> <li>2. DPP requests meeting with QA Review participant(s) to review findings and clarify DPP program policies.</li> <li>3. DPP issues letter acknowledging QA Review findings, quality improvement meeting, and review <i>closure</i>.</li> </ol>	<ol style="list-style-type: none"> <li>1. DPP review concludes that compliance issues exist with selected student, but cannot identify root cause without additional information.</li> <li>2. DPP issues request for additional information to discern root cause and identify response timeline.</li> <li>3. Depending on review of additional information and root cause conclusions, outcome <i>may</i> result in withheld tuition credit payments and legal termination.</li> </ol>
13.	QAP Review Tracking Tool submitted to staff and Board Designated Committee.		
14.	Board Designated Committee reports to full DPP Board of Directors on an as needed basis.		

## E. Sample Quality Assurance Report

### DENVER PRESCHOOL PROGRAM QUALITY ASSURANCE REPORT



**DATE: August 4, 2017**

**Prepared for:**

Denver Preschool Program  
**Attn: Ellen Braun, Deputy Director**  
305 Park Avenue West, Suite 305B  
Denver, CO 80205

**Prepared by:**



**ACCURACY STATEMENT:** [REDACTED] committed to quality and has made every reasonable attempt to ensure the accuracy and reliability of information contained in this report. All methods, processes and concepts have been approved by the Denver Preschool Program Quality Assurance Committee. As the conclusions derived in this report are dependent upon information prepared and supplied by third parties, there is no expressed or assumed guarantee that the information contained herein is without error or omission.

**FUNDING  
QUALITY  
PRESCHOOL  
FOR DENVER**

## SUMMARY

Based on risk-adjusted random selection criteria, [REDACTED] was selected on May 10, 2017 to participate in the DPP Quality Assurance Program. School officials were informed of their selection via e-mail on May 25, 2017, along with a request for documentation.

This report summarizes the spectrum of DPP's eligibility determination, enrollment process, and payment accuracy - including document retention and contractor compliance with the quality assurance document request. Through an objective analysis, the report attempts to highlight any inconsistencies and/or areas for further research or policy discussion in the aspects of the program mentioned above. It concludes with a discussion of any deficiencies and/or potential opportunities for improvement discovered through the quality assurance review process.

## DOCUMENT REQUEST COMPLIANCE

The school, MetrixIQ, DECC and Qualistar all responded to the document request in a timely fashion, unless noted otherwise. **Table 1** details the documents requested of – and subsequently submitted by – each organization for the specified children. At the conclusion of this quality assurance report, the report and all supporting documents are forwarded to DPP, MetrixIQ, DECC and the school in electronic format.

In **Table 1**, below, as well as in **Table 6** later, a check mark (✓) indicates that the document listed to the left was provided by the source(s) identified in the corresponding columns. An “X” indicates that it was not supplied. An “\*” signifies that there is a note below the table regarding this item.

**FUNDING  
QUALITY  
PRESCHOOL  
FOR DENVER**



**Table 1**

	69653			70237			71785		
March, 2017	Mtrx	DECC &QS	PS	Mtrx	DECC &QS	PS	Mtrx	DECC &QS	PS
Daily Schedule - Student			✓			✓			✓
Attendance Sheets <sup>1</sup>	✓		✓	✓		✓	✓		✓
Copy of Parents Monthly Bill <sup>2</sup>			X			X			*
Current Address	✓		✓	✓		✓	✓		✓
Sign-in Sheets			✓			✓			✓
Signed Provider Agreement(s) <sup>7</sup>		✓			✓			✓	
Provider Insurance Certificate		✓			✓			✓	
Provider Tuition Rates		✓			✓			✓	
Star Rating Certificate <sup>3</sup>		*			*			*	
Daily Schedule - Provider <sup>4</sup>		✓			✓			✓	
Proof of Income	✓			✓			✓		
Proof of Residency	✓			✓			✓		
Proof of Age	✓			✓			✓		
Completed & Signed Application	✓			✓			✓		
Acceptance Letter <sup>5</sup>	✓		✓	✓		X	✓		✓
Payment Notification <sup>6</sup>	✓			✓			✓		
Database Screenshot	✓			✓			✓		

<sup>1</sup> Attendance reports for DPS children are contained in the DPS billing statement.

<sup>2</sup> Not required for DPS students eligible for free/reduced lunch program.

<sup>3</sup> Also included in acceptance letter and monthly payment file.

<sup>4</sup> Only applicable for Qualistar for faith-based providers.

<sup>5</sup> For DPS children, enrollment letters are sent by DPS.

<sup>6</sup> Payment reports for DPS children are contained in the DPS billing statement.

<sup>7</sup> Not required for DPS.

**Legend**

Mtrx = MetrixIQ Advisors, LLC, the customer service contractor

DECC = the Denver Early Childhood Council

QS = Qualistar

PS = the relevant Preschool identified at the top left of this table

**FUNDING  
QUALITY  
PRESCHOOL  
FOR DENVER**

## Notes to Table 1

- **No family invoices were provided. Upon follow-up, the school indicated that families were advised of their shares in person.**

### ELIGIBILITY

**COMPLETED APPLICATION** – A completed and signed application must be submitted to DPP in order to begin the application process. The major information categories are listed below. This is not intended as a complete list for every application field, only a summary listing of the primary information needed to process an application.

It is important to note that as long as an application has enough information to contact the parent or guardian, the customer service provider is required to make reasonable efforts to contact the parent to request additional information to complete the application. ██████████ reviewed the applications and related documents and determined whether the information was provided. **Table 6** shows the result of that examination as well as data obtained from other sources.

**RESIDENCY** - Per ordinance, all children receiving DPP tuition credit payments must be City & County of Denver residents. DPP enforces this mandate by requiring applicant families to submit proof of residency that may include any of the following documents:

- Copy of current lease
- Proof of home ownership
- Gas bill
- Water bill
- Electric bill
- Cable bill

These documents are typically submitted along with the application packet. The residency document is then validated at [www.denvergov.org](http://www.denvergov.org). In the event that adequate proof of residency is not provided, the customer service vendor will contact the family and attempt to obtain appropriate documentation. If MetrixIQ is unable to do so, the child will not be approved for the program.

After an examination of the documents listed in Table 1, ██████████ has determined residency for the respective students from the sources listed in **Table 2**.

**FUNDING  
QUALITY  
PRESCHOOL  
FOR DENVER**

**Table 2**

Application #	Residence Document Type	Address
69653	Xcel Energy	Denver Address Provided
70237	Affidavit	Denver Address Provided
71785	Affidavit	Denver Address Provided

Notes to Table 2

- For two students, the address information was an affidavit from a grandparent.

**AGE REQUIREMENT** – As with residency, city ordinance stipulates that DPP tuition credits may only be issued to children in their final year of school prior to kindergarten. Accordingly, most DPP-eligible children are 4-years-old.

Parental choice, however, does play a role and in some cases children may be either three or five years old. In these cases a letter from the provider is required to validate the situation. Regardless of age, DPP tuition credits are only available to any given child for one school year.

Typical forms of documentation accepted by DPP as proof of age are:

- Birth certificate
- Baptismal record
- Passport
- Hospital birth record

The results of this age determination are listed in **Table 3**.

**Table 3**

Application #	Age Document Type	Birthday	Age as of 10/1/16
69653	Birth Certificate	5/1/2012	4.42
70237	Birth Certificate	8/5/2012	4.16
71785	Birth Certificate	2/20/2012	4.61

**FUNDING  
QUALITY  
PRESCHOOL  
FOR DENVER**

**HOUSEHOLD SIZE and PROOF OF INCOME** – While not required for program eligibility, DPP is mandated to means-test all children applying for DPP tuition credits. Consequently, there is a significant financial incentive for families to provide proof of income, since low-income families receive a larger benefit than high-income families. If no documentation is submitted, the family will qualify for the lowest income category (“opt out”). Family size is self-reported on the application.

The means test utilized by DPP to determine the Income Tier Level is a function of income and family size. The scale has six total tier levels (including “opt out”), with Tier 1 applying to the lowest income children. To calculate which Tier a family falls into, proof of income for one month must be provided along with household size, which is self-reported on the DPP application. (Income and tier calculations are detailed in subsequent sections.) **Table 4** reflects the types of documents provided as part of the application process.

Acceptable income verification includes:

- Current pay stubs
- Wage or earnings statement
- Tax return
- Income Affidavit

**Table 4**

Application #	Income Document Type	Household Size
69653	Affidavit	5
70237	Affidavit	3
71785	Affidavit	5

## ENROLLMENT AND ACCEPTANCE PROCESS

**ENROLLMENT NOTIFICATION** – Once a prospective DPP student’s application is complete, the customer service vendor verifies all the information and calculates the estimated monthly tuition credit for the child. The customer service vendor then generates an acceptance letter for the child and sends it via USPS to the address of record, with a copy to the preschool.

**Table 5** highlights the key dates as identified in the DPP application and supporting documentation, as well as the number of days between when an application was received by MetrixIQ and when the student was formally notified of program acceptance. The signed application is included in electronic files supplied to the Denver Preschool Program.

**FUNDING  
QUALITY  
PRESCHOOL  
FOR DENVER**

**Table 5**

<b>Application #</b>	<b>Application Signature by Caregiver</b>	<b>Application Received by DPP</b>	<b>Date of Acceptance Letter</b>	<b>Days from Receipt to Acceptance</b>
<b>69653</b>	<b>6/2/2016</b>	<b>8/15/2016</b>	<b>8/16/2016</b>	<b>1</b>
<b>70237</b>	<b>9/13/2016</b>	<b>9/15/2016</b>	<b>9/20/2016</b>	<b>5</b>
<b>71785</b>	<b>3/1/2016</b>	<b>3/24/2016</b>	<b>3/24/2016</b>	<b>0</b>

**DATA CONSISTENCY & COMPLETENESS** – A critical underlying factor in the accuracy and efficiency of DPP transactions is complete information that is consistent across the spectrum of the DPP process owners. **Table 6** summarizes the information that is contained in six of the critical process documents collected for the quality assurance review. Copies of the supplied documents are among the electronic files provided to the Denver Preschool Program.

**FUNDING  
QUALITY  
PRESCHOOL  
FOR DENVER**

Table 6

	Applica- tion	Accept- ance Letter	Income	Age	Current Address	Daily Schedule
<b>69653</b>						
Child's Name	✓	✓		✓		
Guardian Name	✓	✓	✓	✓	✓	
Gender	✓			✓		
Birth Date	✓			✓		
Address	✓	✓	✓		✓	
DPP Quality Rating		✓				
Research Study	✓					
Provider	✓	✓				✓
Signature	✓					
Ethnicity	✓					
Language	✓					
Household Size	✓					
Participation		✓				✓
Tier or Credit Amount		✓				
<b>70237</b>						
Child's Name	✓	✓		✓		
Guardian Name	✓	✓	✓	✓	✓	
Gender	✓			✓		
Birth Date	✓			✓		
Address	✓	✓	✓		*	
DPP Quality Rating		✓				
Research Study	✓					
Provider	✓	✓				✓
Signature	✓					
Ethnicity	✓					
Language	✓					
Household Size	✓					
Participation		✓				✓
Tier or Credit Amount		✓				
<b>71785</b>						
Child's Name	✓	✓		✓		
Guardian Name	✓	✓	✓	✓	✓	
Gender	✓			✓		
Birth date	✓			✓		
Address	✓	✓	✓		*	
DPP Quality Rating		✓				
Research Study	✓					
Provider	✓	✓				✓
Signature	✓					
Ethnicity	✓					
Language	✓					
Household Size	✓					
Participation		✓				✓
Tier or Credit Amount		✓				

**FUNDING  
QUALITY  
PRESCHOOL  
FOR DENVER**

## Notes to Table 6

- For students #70237 and 71785 the proof of residence was an affidavit from the custodial parent's parent.

### ATTENDANCE AND PAYMENT

**ATTENDANCE** – Attendance is recorded at the schools through sign-in sheets. Later it is summarized into an attendance report. **Table 7** provides attendance data from several sources.

**Table 7**

Application #	Absences (Sign-in)	Absences (Attendance Report)	Absences (Payment File)	Discrepancy?	Days Scheduled (Payment File)	Days School Open
69653	0	0	0	NO	22	22
70237	0	0	0	NO	22	22
71785	6	16	16	YES	22	6

**Table 7 (b)**

Avg	Abs	???	<2.5	<5	<7	<7.5	<7.8	<8	8+	Total Days
7.60	0	3	0	0	4	1	4	0	10	22
8.36	0	3	0	0	0	0	0	2	17	22
0.00	6	0	0	0	0	0	0	0	0	6

??? means there was an incomplete sign-in or sign-out

## Notes to Table 7

- For student #71785, the attendance report submitted by the school shows only 6 days attended, while the sign-in sheets show 12 days attended. However, the acceptance letter was only effective for the last six days of the month, and the student did not attend any of those days.

**ATTENDANCE ADJUSTMENT** – DPP policy allows a student to miss seven days of school in a month before there is any adjustment to the tuition credit scale. For any absences greater than seven days, the tuition credit for the month is pro-rated based on the following formula:

**FUNDING  
QUALITY  
PRESCHOOL  
FOR DENVER**



$$\text{Attendance Adjustment} = \frac{\{\text{Scheduled Days} - [(\text{Absences} > 7) - 7]\}}{\text{Scheduled Days}}$$

A related adjustment is also made in the event that a part-day, full-day or extended-day student enrolls or terminates mid-month, or changes provider site. In these cases, the earlier attendance policy does not apply, and the following formula is used to calculate the pro-rated adjustment to the monthly tuition credit:

$$\begin{aligned} \text{Start/End Date Adjustment Amount}^1 &= (\text{monthly tuition credit rate}) \\ &\times ((\text{days in month} + 1 - \text{start date}) / \text{days in month}) \\ &\times (\text{days attended} / \text{days scheduled}) \end{aligned}$$

<sup>1</sup> For end date adjustment, do not add 1 to days in month.

**Table 8** reflects the attendance findings as well as any adjustments for absence and/or mid-month commencement or termination.

**Table 8**

Application #	Mid-Month Start Date	Mid-Month End Date	Mid-Month Adjustment (Pay File)	Mid-Month Adjustment (QAP)	Absence Adjustment (Pay File)	Absence Adjustment (QAP)
69653	NO	NO	NO	NO	NO	NO
70237	NO	NO	NO	NO	NO	NO
71785	YES	NO	YES	YES	YES	YES

**INCOME DETERMINATION** – Family income is a major determinant of tier assignment, and thus the amount of the tuition credit awarded. **Table 9** compares the monthly income volunteered in the application with the calculation of documented income. Annual income is then calculated from total monthly income and applied to the tier determination. Table 9 reflects the income information derived from that application and the income documentation.

**Table 9**

Application #	Monthly Income (Application)	Monthly Income (Documented)	Annual Income (Documented)
69653	\$1,300	\$1,300	\$15,600
70237	\$357	\$357	\$4,284
71785	\$1,240	\$1,240	\$14,880

**FUNDING  
QUALITY  
PRESCHOOL  
FOR DENVER**

## Notes to Table 9

- For students #70237 and 71785, income provided was via a personal affidavit of monthly income.

**TIER DETERMINATION** – Ultimately, the tuition credit is determined from a combination of the annual income, family size, participation level and the DPS quality rating for the school. **Table 10** reflects the data utilized for tier assignment, the customer service provider's tier determination, and the tier assignment by the Flahive Group LLC. Provider tuition rates are collected and provided by DECC.

**Table 10**

Application #	Household Size	DPP Classroom Rating	Participation Level	Annual Income	Tier (Pay File)	Tier (QAP)
69653	5	3	ED	\$15,600	1	1
70237	3	3	ED	\$4,284	1	1
71785	5	3	ED	\$14,880	1	1

**PAYMENT CALCULATION** – In the current program year, the DPP methodology for calculating monthly student tuition credits is based on paying the **lesser** of either the Provider Tuition Rate, or the Net Provider Payment amount, which is derived as follows:

$$\begin{aligned} &\text{Awarded Tuition Credit} - \text{Absence Adjustment and/or Start/End Date Adjustment} \\ &= \text{Net Provider Payment} \end{aligned}$$

As discussed earlier in the report, the awarded tuition credit is a function of family size, income level, participation level, and the provider's DPP quality rating. Table 9 shows the income calculation and Table 10 depicts the tuition credit calculation for each of the selected students. **Table 11** begins with the tuition credit using the data in Table 10, applies any adjustments for absence and/or mid-month start/end, and calculates the net provider payment due for the student and period in question. Any difference between the QAP findings and those of the customer service provider are also calculated.

**Table 11**

Application #	Tuition Credit (Payment File)	Mid-Month & Absence Adj (Payment File)	Net Provider Payment (Pay File)	Tuition Credit (QAP)	Mid-Month & Absence Adj (QAP)	Adjusted Provider Payment (QAP)	Difference
69653	\$551.00	100%	\$551.00	\$551.00	100%	\$551.00	\$0.00
70237	\$551.00	100%	\$551.00	\$551.00	100%	\$551.00	\$0.00
71785	\$551.00	7.04%	\$38.78	\$551.00	0%	\$0.00	\$38.78

Notes to Table 11

- For student #71785, actual attendance, beginning with the approved start date, was zero. While the student attended the school for 12 days based on sign-ins, they ALL preceded the approval date.

**TUITION COST SHARING** – DPP tuition credits do not cover the full cost of tuition at DPP sites. Depending on family income, there may be a family share, a DPP share, and other sources (Head Start, Denver Public Schools, etc.). Table 12 below indicates the cost sharing for each student in the QAP review for this school.

**Table 12**

Application Number	69653	70237	71785	Comments
Applicable Tuition	\$840.00	\$840.00	\$840.00	
Family Payment	\$14.04	\$102.15	\$0.00	
DPP Tuition Subsidy	\$551.00	\$482.85	\$38.78	
Colorado Child Care Assistance Program (CCCAP)	\$570.96	\$599.85	\$0.00	
DPS (CPP, Mil Levy, E-Care)	\$370.00	\$0.00	\$370.00	
Head Start				
Other Public Sources *				
Other Sources *				
<b>TOTAL PAYMENTS:</b>	<b>\$1,506.00</b>	<b>\$1,184.85</b>	<b>\$408.78</b>	
<i>Difference:</i>	<i>-\$666.00</i>	<i>-\$344.85</i>	<i>\$431.22</i>	

**FUNDING  
QUALITY  
PRESCHOOL  
FOR DENVER**

#### Notes to Table 12

- For students #69653 and #70237, total payments far exceeded the posted tuition amount.
- For student #70237, the school displays a DPP credit of \$482.85, yet MetrixIQ shows no credit reduction and the sign-in sheets do not indicate sufficient absences to warrant a reduction from the agreed \$551 credit paid.
- For student #71785, I asked the school to explain why there was no family payment and thus insufficient payments to cover the posted tuition. The reply is that the family was experiencing some financial difficulties and they were not charged.

**PROVIDER REPORTS** – DPP policy requires the customer service provider to send a monthly report to every provider to complete the information loop and provide supporting documentation for tuition credit payments made the prior month. **Table 13** provides that comparison.

**Table 13**

Application #	Acceptance Letter Amount	Payment File Amount	Difference (if any)
69653	\$551.00	\$551.00	\$0.00
70237	\$551.00	\$551.00	\$0.00
71785	\$551.00	\$551.00	\$0.00

**FUNDING  
QUALITY  
PRESCHOOL  
FOR DENVER**

## CONCLUSION

The DPP Quality Assurance program was implemented with the overarching goal of conducting a cross-functional assessment of the Denver Preschool Program to evaluate its effectiveness in fulfilling its statutory mission of helping Denver's children access high-quality early childhood education. With that in mind, the sample review of this provider objectively demonstrates that DPP and its affiliates are largely achieving this mission.

In keeping with DPP's commitment to continuous improvement, the development of this report yielded the following observations for DPP to consider as it evaluates program policy:

### PAYOR ALLOCATION IRREGULARITIES

- **For students #69653 and #70237, total payments far exceeded the posted tuition amount.**
- **For student #70237, the school displays a DPP credit of \$482.85, yet MetrixIQ shows no credit reduction and the sign-in sheets do not indicate sufficient absences to warrant a reduction from the agreed \$551 credit paid.**
- **For student #71785, I asked the school to explain why there was no family payment and thus insufficient payments to cover the posted tuition. The reply is that the family was experiencing some financial difficulties and they were not charged.**

### ATTENDANCE

- **For student #71785, the attendance report submitted by the school shows only 6 days attended, while the sign-in sheets show 12 days attended.**
- **For student #71785, actual attendance, beginning with the approved start date, was zero. While the student attended the school for 12 days based on sign-ins, they ALL preceded the approval date.**

### OTHER

- **No family invoices were provided. Upon follow-up, the school indicated that families were advised of their shares in person.**

**\*\* End of Report \*\***

**FUNDING  
QUALITY  
PRESCHOOL  
FOR DENVER**