

Child Signature Program RFA #3

Eligible Applicants

Child Signature Program (CSP) RFA #3 is designed specifically for only those counties that have been participating in CSP 2. It allows counties not currently participating in CSP 1 to apply for two years of Quality Enhancement (QE) funding for classrooms from CSP 2 that meet all the Baseline Criteria and Teacher Qualification requirements to become QE classrooms. Applicant classrooms must serve children from high-risk target populations and include at least 10% special needs children of the total of all children served.

Navigating in this Request for Application

The Request for Application (RFA) for Child Signature Program 3 is presented in seven main sections. To help potential applicants understand how the document is structured, along with the kind of information included in the RFA, the “at a glance” outline below describes the content of each section.

Section I: INTRODUCTION

This section of the RFA provides general background information on First 5 California and the development of the Child Signature Program, from its research base to its foundation, which builds upon successful past and current First 5 California programs.

Section II: GOALS OF THE CHILD SIGNATURE PROGRAM

This section describes what the Child Signature Program attempts to accomplish through its implementation, from its foundational Logic Model and program emphases to its alignment with other Early Childhood Education efforts.

Section III: DESCRIPTION OF THE CHILD SIGNATURE PROGRAM

This section of the RFA provides a detailed description of all aspects of the Child Signature Program, from its quality enhancements and core program elements to staffing requirements and participation criteria.

Section IV: EVALUATION, DATA COLLECTION, AND REPORTING

This section consists primarily of information regarding program evaluation, data collection, and reporting requirements. Additionally, there is information on technical assistance that will be provided through the Early Education Effectiveness Exchange (E4), along with requirements for maintaining levels of eligibility for the classrooms included in the program.

Section V: CHILD SIGNATURE PROGRAM 3 – FUNDING APPLICATION

From the perspective of the applicant, this section contains the most important content of this RFA in that it provides Lead Agencies with the specific information they will need to apply for CSP 3 funding. It covers everything from eligibility requirements and consortia formation to how funding will be applied for specific quality features, including personnel (i.e., Essential Staff). It also includes application procedures, critical dates, and an application checklist.

Section VI: ADDITIONAL INFORMATION AND CRITERIA FOR APPLICATION PROCESS

This section of the RFA contains additional information on the application process and submittal. It covers administrative requirements along with those for staffing, program, target populations, classroom curriculum, parent involvement, and assessments.

Section VII: PROGRAM, ADMINISTRATIVE, AND FISCAL ACCOUNTABILITY

Once a Lead Agency has been approved for funding for CSP 3, there are multiple responsibilities and restrictions regarding how programs funds may be spent. This section includes information regarding the responsibilities of Lead Agencies and participating First 5 County Commissions, allowable and administrative costs, annual audit requirements, compliance issues, use of subcontractors, cash match requirements, and multiple other fiscal considerations that are integral to program implementation and accountability.

I. INTRODUCTION

This section of the RFA provides general background information on First 5 California and the development of the Child Signature Program, from its research base to the program's foundation, which builds upon successful past and current First 5 California programs.

History of First 5 California

In 1998, California voters passed Proposition 10, the California Children and Families Act, which established the California Children and Families Commission (also known as First 5 California) to promote, support, and improve the early development of children from the prenatal stage through five years of age. Since its inception, First 5 California has launched innovative programs and services designed to help young children grow up healthy and do well in school and in life. The promise of First 5 California is to invest in services and programs that directly benefit children and families, build upon past successes and the latest research, and advocate for a sustainable early childhood system for future generations.

Strategic Plan – Signature Program Development

In 2007, First 5 California adopted its current Strategic Plan, which called for convening a workgroup designed to assess the ongoing viability of its programs and to provide recommendations for Measurable Program Goals (MPGs). In July 2009, the workgroup developed a comprehensive preliminary set of MPGs for consideration. Through a statewide public input process, First 5 California staff shared these preliminary MPGs with the early learning community to solicit feedback. At its October 2009 meeting, the State Commission approved the resulting MPGs and early learning program concepts. Staff used these as the foundation for developing Signature Programs designed for three specific program recipients: Child, Teacher, and Parent. Each Signature Program builds upon past and present First 5 California programs with proven track records of effectiveness, such as Comprehensive Approaches to Raising Educational Standards (CARES), CARES Plus, Migrant Education Even Start (MEES), Power of Preschool (PoP), School Readiness, and the Special Needs Project.

Background

Each year, more than half a million babies are born in California. With approximately 2.8 million children under the age of 5, California has more children ages 0 to 5 years than any other state.¹ California also has the largest number of children in the U.S. living in poverty, contributing to a high number of families with limited access to the resources necessary to help children grow up healthy and ready to succeed. The needs of these families are especially acute as funding for early learning programs has been cut dramatically, which limits access and weakens the quality, infrastructure, and services that families rely upon to raise healthy, well-prepared children.

A growing body of research confirms the importance of quality early learning experiences to effectively prepare young children not only for school, but for life. A relevant RAND study²

¹ Census Bureau. California Quick Facts. Retrieved from <http://quickfacts.census.gov/qfd/states/06000.html>

² Karoly, L.A., GhoshDastidar, B., Zellman, G.L., Perlman, M., & Fernyhough, L (2008). *Prepared to learn: The nature and quality of early care and education for preschool-age children in California*. Santa Monica, CA: RAND Corporation.

indicates that quality early care and education are still lacking throughout California despite First 5 California's unrelenting efforts to increase and improve early learning programs. In addition, many children who need quality programs most often do not have access to them. Even though California's fiscal situation is gradually recovering, the need for services remains high, especially for at-risk children.

A child who is considered to be "at-risk" and who does not receive quality early learning and care and education faces the likelihood of a life filled with disadvantages. At-risk children are 50 percent more likely to be placed in special-education classes, 25 percent more likely to drop out of school, 70 percent more likely to be arrested for a violent crime, and 40 percent more likely to become a teen parent.³

Conversely, at-risk children who receive high-quality early care and education benefit greatly, often exceeding national averages on measures of school readiness. In fact, when controlling for risk factors such as maternal education, race, and parents' ages, these gains persist. Kindergarteners who spend their early years in high-quality early care and education programs arrive at elementary school ready to learn and on par with middle-income peers. These children experience the benefits that result from early instruction that includes a focus on language development, literacy, vocabulary growth, and early math skills.⁴ Additionally, children in a high-caliber early learning environment acquire the skills that allow them to develop positive relationships with adults and peers, while they learn to become resilient.

First 5 California's continued commitment to improve quality early learning and care positions the agency as an effective child development champion for children ages 0 through 5. First 5 California will continue to build on and enhance research-based programs while integrating the best of First 5 California programs. Through investments in programs such as the Power of Preschool (PoP) and CARES Plus, First 5 California continues to help meet the growing demand in our state for making quality early learning programs accessible to children and families of greatest need.

Power of Preschool – Building on Success

From 2005 through 2009, First 5 California implemented the PoP program for three- and four-year-olds in low-performing school districts. From its inception as a demonstration project in nine counties, PoP provided quality enhancement funding to raise the standards for public and private preschool programs. To promote quality preschool experiences, local programs were required to meet criteria in four main categories: 1) program, 2) teaching staff, 3) policy and fiscal characteristics, and 4) family partnerships. Participating counties were expected to align their programs with the California Department of Education *Infant/Toddler and Preschool Learning Foundations* and implement the *California Preschool Curriculum Frameworks*. The nine original counties (Los Angeles, Merced, San Diego, San Francisco, San Joaquin, San Mateo, Santa Clara, Ventura, and Yolo) participated in the program to improve child and teacher outcomes – including strong school readiness levels for children, high-quality learning environments, and well-trained teachers.

As a result of the success of PoP, the State Commission approved continued funding for Fiscal Years (FY) 2010-11 and 2011-12 to extend the program and expand services to infants and toddlers wherever possible. Of those eight remaining PoP counties (San Mateo no longer

³ Ounce of Prevention, <http://www.ounceofprevention.org/about/why-early-childhood-investments-work.php>

⁴Ounce of Prevention, <http://www.ounceofprevention.org/about/why-early-childhood-investments-work.php>

participated), four of them (Merced, San Francisco, Ventura, and Yolo) expanded services to infant/toddlers. The PoP program funding authorization ended on June 30, 2012.

Because PoP was designed as a demonstration program, the significant lessons learned were instrumental in the creation of the Child Signature Program (CSP) and policy development. These lessons included:

- The need to be culturally sensitive and effectively address language barriers
- The importance of serving children with special needs
- The value of including:
 - documentation
 - screening
 - data collection
 - reporting requirements for evaluation purposes and improving quality in classrooms
- The need to improve instructional support

The design of the CSP reflects information resulting from several recent evaluations, along with research-based evidence on effective practices to enhance school readiness in early education settings. The 2009 PoP Program Evaluation Report⁵ listed 11 recommended criteria and six areas of improvement for use in the design and evaluation of a high quality preschool program. First 5 California has incorporated all of the recommended criteria and areas of improvement in the design of the CSP.

A more recent evaluation of PoP (2011) conducted by UCLA found PoP preschool and infant/toddler classrooms to be of high quality and that PoP teachers are well-qualified. The evaluation further revealed that despite discrepancies in the methods counties used to calculate their reported Desired Results Developmental Profile (DRDP) scores, the number of children who were at the DRDP developmental level of “Integrating” between the fall and spring assessments showed a dramatic increase in all four measured areas.

Reported challenges included:

- the coordination of services and agreement on how to provide them
- improving services for Dual Language Learners and children with special needs
- engaging school districts and principals struggling to maintain basic school programs

The study also revealed that counties successfully:

- engaged parents
- supported kindergarten transitions
- provided educational opportunities to assess and improve teacher quality

As a result of the success of PoP, the CSP has adopted the PoP program requirements as its baseline for raising quality to a higher level.

Recent results from the national Educare model (see Appendix D) also influenced the design of the CSP. Educare is a promising early childhood education intervention serving infants, toddlers, and preschoolers from low-income families. Educare provides high-quality early care and education within a model that incorporates key indicators of quality derived from best

⁵ **Power of Preschool** Program Evaluation Report, September 2009.

practices and research. These indicators include a well-educated and well-supported staff; a focus on children's social-emotional development as well as language, continuity of care, literacy, and early math skills; reliance on evidence-based practices; and extensive family involvement opportunities and support. Children who enroll in Educare as infants or toddlers enter kindergarten with school readiness and vocabulary scores near the national average—much higher than children from low-income families in other large-scale programs for preschoolers. Early and continued attendance at Educare centers serves to prevent the achievement gap between vulnerable children and advantaged ones. Initiatives are underway in California to build Educare schools in Santa Clara and Los Angeles counties. Educare leaders have provided information and training to five PoP county teams over the past two years and have advised First 5 California on the implementation of selected Educare core features as part of the CSP.

II. GOALS OF THE CHILD SIGNATURE PROGRAM

This section describes what the Child Signature Program (CSP) is designed to accomplish through its implementation, from its foundational Logic Model and program emphases to its alignment with other Early Childhood Education (ECE) efforts.

In targeting the program to children ages 0 to 5, their teachers, and families living in elementary school catchment areas with Academic Performance Index (API) scores in deciles 1-3, First 5 California has designed the CSP with the following key goals:

- Children at greatest risk for school failure will enter school with the skills to be successful.
- Targeted children and families will have access to quality early learning programs.
- Teacher effectiveness in working with culturally and linguistically diverse children ages 0 to 5 will be optimized.
- Teacher effectiveness in working with special needs children ages 0 to 5 will be optimized.
- Parents will have the knowledge and skills to successfully advocate for their child's education.
- Parents will be knowledgeable and involved in their children's age-appropriate cognitive and behavioral development.

The CSP is designed to meet the aforementioned goals for children, teachers, and families by building on lessons learned about improving quality, integrating First 5 California's Principles on Equity, and aligning with other research-based ECE quality efforts.

Builds on Lessons Learned

The CSP is designed to enhance the quality components that were integral to the original PoP program. At its core, the CSP incorporates three research-based Program Elements:

- **Instructional Strategies and Teacher-Child Interactions**
- **Social-emotional Development**
- **Parent Involvement and Support**

Through CSP, First 5 California has provided all 58 counties the opportunity to increase quality in early learning programs for children ages 0 to 5 in identified early care and education (ECE) centers where the educational divide is greatest (i.e., neighborhoods in catchment areas of elementary schools with Academic Performance Index [API] scores in deciles 1-3).

In order to meet the goals of the Child Signature Program, as described above, the various program and training strands of the CSP were initiated through a series of three Requests for Application (RFA). The chart below and Visual 1 provides a brief overview of all three RFAs for the Child Signature Program:

Table A
Summary of CSP RFA #1, #2 & #3

RFA	Date	Title and Description
#1	Released February 17, 2012	<p>Quality Enhancement of PoP Designed to enhance quality in the existing eight counties that previously received PoP Bridge FY 2011-12 funding through the incorporation of three CSP Program Elements: Instructional Strategies and Teacher-Child Interactions, Social-Emotional Development, and Parent Involvement and Support. These enhancements are facilitated through the work of Essential Staff consisting of the Program Coordinator, Local Evaluator, Early Education Expert, Mental Health Specialist/Resource and, Family Support Specialist. RFA #1 requires matching funds from counties.</p>
#2	Released March 2012	<p>Readiness Assessment and Quality Improvement Designed to provide all 58 counties the opportunity to increase quality in early learning programs for children of greatest need ages 0 to 5.</p> <p>Participating classrooms were required to complete a Readiness Assessment to determine if they met the CSP baseline criteria and teacher/provider qualifications. Training and technical assistance will be provided by the Early Learning System Specialist and the Early Education Effectiveness Exchange (E4).</p> <p>RFA #2 did <u>not</u> require matching funds from counties.</p>
#3	Spring 2013 (This RFA)	<p>Quality Enhancement of Eligible CSP 2 Classrooms (This Document) Designed to allow counties not currently participating in CSP 1 to apply for two years of Quality Enhancement funding for classrooms who meet Teacher/Provider Qualifications (Appendix M) at the First 5 Quality level and CSP Baseline Criteria, e.g., Content Areas 1, 2 and 3 of the RA (Appendix B). The content of RFA #3 is similar to that of RFA #1 (in terms of quality enhancements for qualifying classrooms) and will require matching funds from counties.</p> <p>CSP 1 counties are not eligible to apply for RFA #3.</p>

III. DESCRIPTION OF THE CHILD SIGNATURE PROGRAM

This section of the RFA provides a detailed description of all aspects of the Child Signature Program which Lead Agencies (For purposes of this RFA, a Lead Agency refers to an applicant First 5 county or the lead county for a county consortium.), must implement from its Mandatory Quality Enhancement Program Requirements, CSP Program Elements, to CSP Essential Staff requirements and participation criteria. (Note: The CSP Program Elements, which are the foundation of the program, are described in Part C of this Section.)

A. Mandatory Quality Enhancement Program Requirements

As described in Section I, research confirms that outcomes from early learning are stronger when **quality** in the classroom is improved, particularly around classroom management, instruction, and emotional support. The CSP builds evidence-based strategies from Power of Preschool (PoP) program and aligns with the goals of First 5 California's Teacher Signature Program, CARES Plus. This alignment capitalizes on First 5 California's current investment in improving child outcomes by strengthening the quality of teacher-child interactions and classroom instruction. The CSP design also draws on First 5 California's current partnership with the Educare quality early learning model (described in Appendix D), which serves children from infancy to kindergarten entry.

Under this RFA, the CSP will create quality enhanced early learning classrooms by requiring Lead Agencies to implement the Quality Enhanced Program Requirements, including three primary CSP Program Elements which are described in Part C of this Section and are designed to:

- Incorporate core, research-based program features informed by evidence to enhance **quality**
- Emphasize **program improvement**, informed by data and feedback
- Use **evaluation** to inform future investments

B. Overarching Design Principles of the CSP

In addition to the three CSP Program Elements, the following five overarching design principles, support program implementation, and Lead Agencies must incorporate them into the operation of the CSP at the county and classroom level:

1. Research-Based Practices

Participating Lead Agencies must agree to use research-based practices in CSP, including:

- The collection and use of data for reflective practices that support improvements in child and teacher outcomes
- The participation in the statewide evaluation of the program as described in Section IV, B
- The selection and deployment of a Local Evaluator, whose role includes the collection and analysis of data for providing feedback and coaching to teachers as described in Section IV

2. Data Collection Systems to Support Improvement and Reporting

First 5 California offers the ability to monitor and improve outcomes for children and teachers in an ongoing manner, along with the ability to determine the effectiveness and impact of the CSP data collection and reporting. Specifically, the requirements for CSP counties will include the collection and reporting of the identified child- and classroom-level data at intervals designed to support activities to enhance teacher effectiveness. Moreover, in order to understand variation in outcomes and effectiveness of different models, curricula, and implementation approaches, First 5 California will provide more detailed guidelines for the collection of data and require the use of measurement tools that are uniform across CSP counties. Data security procedures will be established to ensure confidentiality. Individually identifiable data will not be accessible to the public, nor will any individually identifiable data be transmitted to First 5 California or the statewide evaluator or included in any reports.

3. Culturally and Linguistically Appropriate Strategies, as described in First 5 California's Principles on Equity

First 5 California Children and Families Commission adopted its *Principles on Equity* on October 18, 2001 (revised April 2008), with a commitment to meet the diverse needs of the state's children and families. All counties participating in the CSP must comply with the *Principles on Equity*. By implementing the *Principles*, CSP classrooms will ensure that curricula and instructional strategies, communication, community-based services, and all aspects of the CSP incorporate practices that are culturally and linguistically appropriate for the population served.

The *Principles on Equity* address four major areas, each of which must be incorporated in the local CSP program as addressed in Appendix H:

- Inclusive Governance and Participation
- Access to Services
- Legislative and Regulatory Mandates
- Results-based Accountability

4. CSP Program Elements Aligned with California Department of Education Curriculum documents

As its foundation, the CSP incorporates three primary Program Elements: a) teacher and classroom quality improvement; b) children's social-emotional development; and c) parental engagement (all as further described in Section C of this Section). The three CSP Program Elements are research-based and have been used in Educare, Head Start, and other recognized early learning programs to enhance quality. The CSP Program Elements also are aligned with the California Department of Education *Infant/Toddler Learning and Development Foundations, California Infant/Toddler Curriculum Framework, and/or California Preschool Learning Foundations, and California Preschool Curriculum Framework*. Local program alignment with these key curriculum documents will guide counties' selection of curricula, strategies, and instructional materials, and will align with and support the implementation of the CSP Program Elements. (Alignment of CSP Program Elements is as applicable, according to the type of classroom Infant/Toddler or Preschool).

5. Essential Staff for the CSP

Lead agencies will be required to hire new staff or increase the responsibilities of existing staff to implementing and carry out the three CSP Program Elements. These CSP

Essential Staff will be required to work individually and in teams, along with teachers and administrators as appropriate. Professionals who have worked in the planning and delivery of services to children and families in multi-disciplinary environments tend to be most effective in understanding and addressing the needs of children who are culturally diverse and/or have special needs.

The CSP Essential Staff required to implement the CSP Program Elements include:

- the **Program Coordinator (PC)**
- the **Early Education Expert (EEE)**
- the **Family Support Specialist (FSS)**
- the **Mental Health Specialist (MHS)/Resource(s)**
- the **Local Evaluator (LE)**

Program Coordinator: The Program Coordinator will provide oversight to the CSP Essential Staff and be responsible for compliance with the overall program requirements. The PC will work with or supervise the EEE and the FSS. However, it is possible that the EEE and FSS may work within another agency contracted by the Lead Agency to deliver the services; in those instances, the staff may receive supervision from someone else in that agency. If that is the case, then the PC must assure that the other agency is in agreement with and supportive of the role that the person will play in the CSP program implementation to ensure that they fulfill the responsibilities of the position. The PC is also responsible for ensuring that all participating classrooms meet the CSP Baseline Criteria (Appendix B) and the Teacher/ Provider Qualifications Quality Levels (Appendix M) throughout the term of the Agreement, and that all participating classrooms implement the Mandatory Quality Enhanced Program Requirements (Appendix B).

Early Education Expert: This position facilitates full and effective implementation of the CSP Program Elements and evidence-based instructional practices by providing staff with instructional leadership through the design, delivery, and coordination of intensive professional development; education program development and improvement; facilitation of interdisciplinary collaboration; and administrative support.

Family Support Specialist: This position will develop and maintain relationships with families and ensure that they receive comprehensive services through their participation in the CSP. Comprehensive services include health and social services, services for children with disabilities, early childhood and education services, and a range of parent-engagement training opportunities at the site. The FSS is also responsible for conducting community outreach efforts to identify and develop relationships with community-based organizations that provide other needed services to families.

Both the EEE and FSS positions will use LE-collected data, as described below, sharing it with program and classroom staff to inform instruction and shape activities to improve quality.

Mental Health Specialist: This position will address the CSP requirements of the Social-Emotional Development Program Element. The MHS, *per se*, is not a “new” required position in that Lead Agencies may already have resources for individuals who cover the MHS roles

and responsibilities. Nevertheless, the implementation of this CSP Program Element requires:

- collecting/sharing data with program staff and the FSS
- collaborating and coordinating services for families
- working with the classroom teacher on strategies for addressing the social-emotional needs of children
- working with the Local Evaluator

Local Evaluator: This may be an existing position in the Lead Agency that will take on an expanded scope of work in CSP RFA #3, including the sharing of data with the CSP Essential Staff, including the Program Coordinator, Early Education Expert, Family Support Specialist and Mental Health Specialist.

Success of the CSP will depend on the expertise, skills, and effectiveness of all individuals who fulfill the duties of the CSP Essential Staff positions. Recommended job descriptions identifying the minimum required education, knowledge, and skills for the EEE, FSS, and LE are provided as Appendices G1, G2 & G3 to this RFA. However, hiring qualified individuals is just the first step to implementing these key roles. The ability to successfully connect with classroom staff and families is imperative. The ability of CSP Essential Staff to provide continuous support, professional development, and encouragement throughout the two years of CSP 3 also is essential for optimal outcomes and success of the program. Assistance and support should be available and secured locally, in addition to that provided statewide through the E4. (See Part D.)

First 5 California staff is cognizant that due to the ratio of CSP Essential Staff to the number of children/families/classrooms, Lead Agencies may not be able to hire full-time CSP Essential Staff for eligible CSP 2 classrooms. Please refer to Section V, Funding for Essential Staff Positions for the breakdown of funding provided by First 5 California for each essential staff member.

C. CSP Program Elements – Foundation of the Child Signature Program

As referenced earlier, at its foundation, the CSP includes three primary, research-based Program Elements:

- 1. Instructional Strategies and Teacher-Child Interaction**
- 2. Social-Emotional Development**
- 3. Parent Involvement and Support**

The decision to include a focus on these specific CSP Program Elements was influenced by the First 5 County Commission Input Survey (September, 2011); evaluations of Educare, Head Start, and other recognized early learning programs; as well as evaluations of classroom quality enhancement programs. Implementing these CSP Program Elements will require: increased oversight by the Program Coordinator of the new activities; an increased level of involvement of the Local Evaluator with program staff to make data use a more integral part of program improvement; and the creation of new positions or expansion in responsibilities of existing positions, as described above.

Below are detailed descriptions of the content, goals, and activities integral to each of the CSP Program Elements, along with the roles and responsibilities of the Essential Staff required to implement them. (First 5 California will provide support to CSP Essential Staff through the E4 as described in Section III.)

1. Instructional Strategies and Teacher-Child Interactions

The purpose of this Program Element is to improve the development of language, literacy, and early math skills in children ages 0 to 5 in early care and education programs. This will be achieved through quality improvement activities proven to increase teachers' instructional skills and increase children's outcomes in language, literacy, and early math skills. Required areas of emphasis include (a) a stronger curricular focus on language/literacy and early math skills; (b) a targeted focus on Dual Language Learners (DLL); (c) a targeted focus on children with special needs; and (d) the use of the **Early Education Expert (EEE)** who, using classroom data collected by the **Local Evaluator (LE)**, provides support and professional development to classroom teaching staff.

Instructional strategies that can be funded in order to address this strong curricular focus on language/literacy and early math skills include:

- evidence-based developmentally, culturally, and linguistically appropriate curricula
- training on those curricula and materials, and
- training on the assessments used with children, as appropriate

Effective strategies and instructional support for teaching DLLs include the purchase and use of professional development materials, along with training and/or mentoring from DLL experts. Funding these activities will support teachers in the education of DLLs ages 0 to 5.

Selection and use of curricula must be articulated in the Lead Agency's application and must be approved in writing by First 5 California. Acceptable curricula include those listed in Appendix K (or other curricula that counties can demonstrate are evidence-based and grounded in scientific research).

In addition, instructional strategies must include, whenever possible, the age and developmentally appropriate integration of nutrition education, movement, and physical activities. In the classroom, staff must model healthy food choices and provide age-appropriate nutritional information that supports a healthy lifestyle. Portion sizes should be age-appropriate, and safe drinking water should be available and accessible at all times. Similarly, health concepts such as hygiene, dental and vision care, food safety, injury prevention, and general health and well-being should be incorporated into the daily curriculum.

Influenced by the Educare model and by several studies of "coaching" and "consultation" for quality enhancement, CSP funding will enable participating counties to employ EEEs to support and assist teachers of infants, toddlers, and preschoolers to improve their classroom practices, using objectively gathered classroom quality observation data. EEEs must meet minimum qualifications as outlined in Appendix G1, carry a caseload of no more than 10 classrooms simultaneously, and must interact regularly with the LE. For optimum effectiveness in working with DLL children, the EEE must possess the cultural

competency, background, and knowledge of effective strategies designed for DLL children ages 0 through 5. In situations where this is not possible, the use of consultants/experts to support teacher quality with DLLs must be employed. The EEE will be responsible for reviewing and understanding the assessment data, observing classrooms, encouraging reflective practices, and providing direct feedback and coaching to individual teachers on strategies promoting oral language, vocabulary, early literacy, and math. The EEE also will collaborate and coordinate with the FSS and MHS.

Many First 5 county commissions currently employ LEs who provide a range of services. For purposes of the CSP, the role of the LE may need to be broadened and/or level of effort increased to ensure the required collaboration between those responsible for collecting the required data and the EEE. The LE must work with the EEE to provide ongoing data collection and analysis designed to identify gaps and show where instructional or other critical improvements are needed. In addition to providing reports to the local program, the LE will participate in the statewide evaluation by providing data that can be summarized across participating counties. (See Appendix G3 for description.)

2. Social-Emotional Development

High-quality and state curriculum-aligned instructional strategies are critical to the CSP model. However, young children will have difficulty benefiting from even the best curriculum if they are not emotionally ready to learn and engage. The goal of this Program Element is to improve the social-emotional development and behavioral skills of children ages 0 to 5 in early care and education programs through the implementation of classroom programs and practices proven to improve teachers' classroom management skills and interactions with children, and that have been shown to support children's social-emotional and behavioral outcomes.

Specific areas of emphasis in this Program Element include (a) interventions that are theory- and research-based, (b) activities that are age-appropriate and culturally and linguistically appropriate, (c) inclusion of parents in the development of their child's social-emotional well-being, and (d) collaboration with local mental health service providers.

As in Program Element 1, Social-Emotional Development strategies may also be implemented by EEEs who have the skills and ability to support the professional development of teaching staff in this area, along with cognitive and language development. Well-qualified individuals may be able to effectively support teachers in all areas of child development. Alternatively, some communities may already have access to mental health agencies that include specialists in diagnosing and treating, or helping teachers address, issues or delays in the social-emotional development of children ages 0 through 5. Although titles vary, these individuals are sometimes referred to as **Mental Health Specialist (MHS)**. Contracting with mental health agencies for MHS support and/or professional development may be a cost-effective and pragmatic approach that can help link early childhood programs more closely with appropriate community resources. Regardless of the personnel who deliver services for this Program Element, any work with the MHS/MHS resources or services must be coordinated with CSP Essential Staff. For this Program Element, each child must have:

1. a completed screening and assessment, as appropriate
2. documentation showing that parents are involved in the process
3. documentation of referrals and follow-up for services, as appropriate

Other means to address this Program Element include the purchase of – and/or training of teachers on – specific early childhood curricula designed to help prevent challenging behaviors and assist teachers to deal effectively with those behaviors. As above, the curricula must be developmentally appropriate and align with the CDE *Infant/Toddler Learning and Development Foundations*, *California Infant/Toddler Curriculum Framework*, and/or *California Preschool Learning Foundations*, and *Preschool Curriculum Framework* requirements. Screening each child must be completed annually, and assessments should take place as warranted.

3. Parent Involvement and Support

The goal of this Program Element is to increase parent knowledge, interest, involvement, and ability to advocate for their child's early learning and later success in school. The primary approach for implementing the tenets of this Program Element will be through the addition of the **Family Support Specialist (FSS)**. (See Appendix G2.) Each FSS will have a caseload of 30 or fewer families. The FSS will also be expected to work with the **Mental Health Specialists (MHS)**, if available, and/or other staff fulfilling the responsibilities as described above under the Social-Emotional Program Element, provide resources, and collaborate regarding services/referrals, as needed.

Influenced by the Educare model and other parent involvement approaches, the primary responsibilities of the FSS (who is preferably on-site) fall into the following major areas:

- Provide parents with information about their child's growth and development, and encourage parent involvement in these areas.
- Provide parents with information and resources that promote optimal health and well-being, including nutrition and physical activity.
- Promote and enhance the parent/child relationship.
- Encourage parents' involvement and advocacy in the education and early care environment of their child.
- Provide parents with the knowledge and skills to successfully advocate for their child's education.
- Work with parents to develop a **Family Partnership Agreement** identifying the strengths and concerns of the family and prioritizing the family's goals for the parent and child (samples found in Form 8).
- Provide parents with information regarding child health and injury prevention, healthy food choices (i.e., decrease consumption of high fructose, fat, and fast food, etc.), and benefits of increased physical activity.
- Educate parents on the dangers of secondhand smoke to children and provide tobacco cessation resources.

The FSS will be required to complete First 5 California's on-line tobacco training titled, *Kids and Smoke Don't Mix; A Tobacco Training for Child Care Providers and Preschool Teachers*. The FSS will be required annually to review with parents at a minimum the content of First 5 California's on-line tobacco training.

The FSS will collaborate and coordinate with the teaching staff and parents to foster strong positive relationships among children, families, and staff. The FSS will be knowledgeable of local community organizations and their respective services and resources, and will facilitate referrals such as health, dental, mental health, social services, and legal, and follow-up to ensure needed services have been received.

D. Early Education Effectiveness Exchange – Training and Technical Assistance

To support CSP quality enhancement and expansion, First 5 California is funding a “learning and improvement academy” called the Early Education Effectiveness Exchange (E4). The E4 is designed to provide specific training and technical assistance to facilitate quality improvement in early learning classrooms and centers participating in the CSP. The E4 will include training and technical assistance for CSP 3 counties on the implementation of the Program Elements. The E4 will collaborate with Program Coordinators (PCs) to broker appropriate training and technical assistance using a variety of modalities (on-site, face-to-face and “go-to” meetings, Webinars, on-line, etc.) as appropriate, and maintain an interactive and informational training and technical assistance website. The E4 also will recruit CSP 1 PCs to serve as mentors for CSP 3 PCs. The CSP 1 PCs will share knowledge and provide expertise to the CSP 3 classrooms in implementing quality in CSP 3 classrooms through the CSP Essential Staff and CSP Program Elements.

E. Staff Criteria

All CSP Essential Staff, along with administrators and CSP 3 classroom staff, as appropriate, must:

- Participate in the training and technical assistance that will be provided by the Early Education Effectiveness Exchange (E4) designed to support the CSP (see Part D), including annual statewide meetings for CSP Essential Staff, continuous program improvement, Webinars or “go-to meetings’ on applicable topics and, based on the RA results, develop trainings to address these needs as financially feasible and appropriate.
- Conduct regular assessments that will identify assets, challenges, and gaps in community resources and systems. The assessment data will aid in identifying needs, designing programs and approaches, and setting benchmarks and goals.
- Collect classroom and site level data to support First 5 California evaluation activities. Appendix C provides an overview of the data collection and evaluation requirements for the CSP.
- Conduct or coordinate the administration of child, teacher, and environmental assessments as described in Appendix C.
- Establish a mentor relationship from one of the previous PoP counties to provide mentoring, guidance, support, and technical assistance (coordinated by the E4) during Years 1 and 2 of CSP 3.
- Complete the on-line training titled *Kids and Smoke Don’t Mix*. This training must be completed by December 31, 2013.

IV. EVALUATION, DATA COLLECTION, AND REPORTING

Program evaluation is a key component of the Child Signature Program. This section addresses program evaluation, data collection, and reporting requirements. Additionally, the Early Education Effectiveness Exchange (E4) is described, along with requirements for maintaining levels of eligibility for the classrooms included in the program.

A. Evaluation Overview

The evaluation of the Child Signature Program is designed to measure the effectiveness of classroom-level quality enhancements. The logic model for the CSP and its evaluation is depicted in Visual 3. The logic model describes the program focus, program inputs, the program model, program objectives, and ultimate goals.

The ultimate evaluation questions shaping the program are:

1. Does high quality early care and education eliminate or reduce achievement gaps for at-risk young children?
2. Does high quality early care and education improve lifetime academic achievement and associated life success?

Because ultimate goals are long-term and difficult to measure, the program evaluation focuses on near-term processes and outcomes for the program. Specific hypotheses are that quality enhancements such as CSP Essential Staff, increased parental involvement and outreach, increased developmental screening activities, enhanced classroom interactions, and enhanced classroom environments will translate to better outcomes for at-risk children.

The CSP program evaluation focuses on eleven specific questions outlined in Attachment C, categorized into outcome and process questions. Outcome questions focus on different groups and target populations (e.g., teachers and staff, parents, children with special needs, dual language learners, etc.). Process measures examine how well CSP functions, how well it is serving the public and target populations, and its cost effectiveness. The eleven outcomes and process questions from Appendix C are as follows:

Outcome Questions

- Are classroom environments in CSP sites improving and meeting target quality criteria?
- Are teachers in CSP classrooms using effective teaching and classroom interaction strategies?
- Are high-risk young children who participate in CSP demonstrating improvement in their readiness to succeed at kindergarten entry?
- Is the developmental status of high risk young children who participate in CSP sites improving over time?
- Are children with special needs and Dual Language Learners (DLLs) making developmental gains?
- Are parents included in and satisfied with CSP?

Process Questions

- Are conditions that lead to and support quality early care and education increasing among programs that participate in CSP?
- What strategies and services most effectively promote positive outcomes for children?
- Are some strategies more effective for DLLs or children with special needs?

- Are children with special needs being identified and receiving services as appropriate?
- What are the most effective outreach strategies for parents?

Data collected during the program are structured to answer the evaluation questions above. More specific child outcomes will be examined through the work of a contracted statewide evaluator (see Appendix C). Children, parents, and teachers in CSP 3 classrooms may be sampled for additional evaluation activities conducted by the statewide evaluator.

B. Evaluation Activities

Classrooms participating in CSP 3 must:

- Participate fully in the statewide evaluation and any research studies developed by First 5 California to demonstrate program outcomes.
- Develop and submit a plan in the CSP RFA #3 application that demonstrates coordination between the LE and EEE regarding collection and analysis of classroom data for continuous classroom improvement.
- Collect and report evaluation-related data. Appendix C provides an overview of the data collection and evaluation requirements for the CSP. Beginning FY 2013-14, all Lead Agencies will be required to enter CSP data into the First 5 California CSP Data Profile System. The final due date for submitting the data is July 31 of each year. For the first program year, FY 2013-14, the final data submission due date will be July 31, 2014. For the second year, FY 2014-15, the final data submission due date will be July 31, 2015.

The CSP Data Collection Guidebook provides additional detail on the data collection required to support First 5 California's statewide evaluation of Child Signature Program (CSP). Specifically, the Guidebook covers important features of evaluation design, data collection procedures, and reporting timelines. The main categories of evaluation-related data that will be collected and submitted with the online CSP data system include:

- Site Information
- Classroom Information
- Teacher Demographics
- Child Demographics
- Environment Rating Scales (ERS) instruments:
 - ECERS
 - ITERS
 - FCCERS
- Classroom Assessment Scoring System (*CLASS™*) instruments
 - *CLASS™* Pre-K
 - *CLASS™* Toddler
 - *CLASS™* Infant (when available)
- Desired Results Developmental Profile (DRDP) instruments
 - DRDP-PS
 - DRDP-IT
 - DRDP access
 - DRDP Parent Survey
- Staff narrative regarding efforts for improving classroom quality

C. Committee for Protection of Human Subjects (CPHS) Requirements

Evaluation activities of the Child Signature Program receive oversight by the Committee for the Protection of Human Subjects (CPHS), the state government institutional review board. Lead agencies must abide by the requirements approved by CPHS and detailed in this RFA. First 5 California annually submits the Child Signature Program evaluation protocol for review and approval by CPHS. During its annual review during the term of CSP 3, CPHS may require revisions to existing protocol forms and procedures. In accepting funding under RFA #3, Lead Agencies must agree to abide to any future revisions to the protocol. First 5 California will notify Lead Agencies of any updates to forms and procedures as required by CPHS.

Key provisions of the current evaluation protocol approved by CPHS that must be observed by Lead Agencies include:

1. In classrooms, provide to teachers and parents the Opt-Out and Non-Medical Research Bill of Rights documents. These documents are available in English and Spanish. (Forms 9-14, attached).

The consent process for the evaluation of CSP follows an Opt-Out model. In this type of consent model, all participants in a program are also considered evaluation subjects until they choose to opt out. This differs from a traditional informed consent process where study participants are asked to consent, by signing an informed consent form, to have information collected about them for the study. In the opt-out model, CSP participants are assumed to have already consented to evaluation activities by enrolling and taking part in the program. Both teachers in CSP evaluation classrooms and parents of students in CSP evaluation classrooms will be given the opportunity to opt out.

“Opt-out” has a specific meaning under the evaluation protocol approved by CPHS. Since CSP is a government program, and since the evaluation of CSP is low risk to participants, First 5 California can require that data be collected about program participants. Opting out does not mean that data will not be collected. Opting out means that the data collected from participants cannot be shared with other researchers or agencies outside of First 5 California. Data will be collected about CSP participants regardless of whether they opt out or not. This is an important point to make to CSP participants. The current versions of CSP Teacher and Parent Opt-Out forms are intended to make this idea clear.

Lead Agencies should provide opt-out forms to all teachers and parents of students in CSP classrooms around August of each year. It is imperative that these forms be distributed as soon as possible. Evaluation activities cannot commence and no data can be collected until opt-out forms are distributed. If a teacher opts out or parents opt out on behalf of their children, the signed and dated Teacher or Parent Opt-Out form must be returned to First 5 California. To aid the tracking of participants who have opted out, a space has been provided on the Opt-Out forms for Lead Agencies to indicate the county, site name (or ID), and classroom name (or ID). If any participant (teacher or parent) opts out, the entire classroom to which they are associated will be suppressed for purposes of data sharing as described above. CSP Parent and Teacher Opt-Out forms can be found on First 5 California’s website:
<http://www.cfc.ca.gov/evaluation/reportingtools.asp>

2. Ensure no misuse of data related to program participation or evaluation of the Child Signature Program. It is the firm policy of First 5 California, and a requirement of CPHS, that data such as *CLASS*TM observations or other information may not be used for individual evaluation of teachers, including personnel actions such as promotion, retention, or discipline. The purpose of CSP evaluation is to assess the aggregate effects of public investment in improving the quality of early care and education. In addition, personal information about children, parents or teachers collected under this CSP is protected by the Information Practices Act, and must be safeguarded pursuant to state law and First 5 requirements designed to prevent unauthorized use of or access to such information.
3. Immediately notify First 5 California management in the event of any adverse event or unanticipated problem with regard to teachers, parents, or children as the result of program evaluation activities. First 5 California is required to report these events and problems within 48 hours to the Committee for the Protection of Human Subjects. Adverse events or unanticipated problems include but are not limited to:
 - Use of evaluation data for personnel review of individual teachers rather than program evaluation.
 - Theft, loss, or breach of program evaluation data. A breach is defined as access to evaluation data by non-approved program persons.
 - Unauthorized use of or access to personal information of children, parents or teachers.
 - Injury or other adverse outcomes for program participants as a result of program participation.
4. Meet data security requirements as described in the CPHS Data Security Requirements document. The document is available here:
www.oshpd.ca.gov/Boards/CPHS/DataSecurityRequirements.pdf

The CPHS document outlines three safeguard strategies to be followed: administrative, physical, and electronic. The most sensitive data to protect are Personally Identifiable Data (PID) defined as eighteen (18) identifiers listed in the glossary of the document. The statewide CSP evaluation effort does not collect personally identifiable data. However, if local evaluators are collecting such information (e.g., names, addresses) as part of their evaluation activities, these data must be protected.

D. Technical Assistance and Support

First 5 California has contracted with WestEd to provide the Early Education Effectiveness Exchange (E4) training and technical assistance to support the CSP. The E4 training and technical assistance is available to support classrooms in CSP 1, CSP 2, and CSP 3.

The E4 will provide targeted local, regional, and statewide training and technical assistance as identified in the annual training plan using a variety of modalities as appropriate. The E4 will maintain an interactive and informational training and technical assistance website. Mentor relationships between participants in CSP 3 and CSP 1 will be facilitated by the E4. The E4 also will collaborate with the PCs to broker appropriate training and technical assistance for programs and to provide support for continuous program improvement.

E. Maintain Level of Eligibility

All classrooms that are deemed eligible to participate in CSP 3 at the time of application must commit to maintain the level of quality through the baseline criteria and mandatory quality enhancement program requirements in Appendix B, including but not limited teacher qualifications and documentation of the Readiness Assessment content areas 1, 2, and 3.

Lead Agencies must also maintain the CSP Essential Staff and implement the Quality Enhancements at the required level. Failure to do so may subject the Lead Agency to reduced funding and/or elimination of one or more classrooms in the program.

Classrooms approved for funding must remain in the program for the two-year term of the program. If a classroom drops out, substitutions will not be allowed and the Lead Agency allocation will be adjusted to reflect the deletion of the classroom.

F. CSP Reports and Data Submission

In addition to the evaluation and assessment reports described in Section D, Part 7 and Appendix C, Lead Agencies funded through this RFA #3 are required to submit the following reports and data:

FY 2013-14 Reports and Data (First Year of Program Operation Only)

Quarterly CSP Progress Reports: Lead Agencies must submit quarterly progress reports during Year 1 of CSP 3 for approval by First 5 California. The progress reports should demonstrate continuous classroom improvement toward achieving CSP program goals. These reports shall summarize program implementation strategies, documented actions to improve quality in classrooms, local trainings provided and attended, strengths and challenges, and actions taken to correct those challenges. Additionally, Lead Agencies must report any changes to the Staffing Plan. The Quarterly CSP Progress Reports schedule follows:

<u>Program Period</u>	<u>Due Date</u>
July – September	October 31, 2013
October – December	January 31, 2014
January – March	April 30, 2014
April – June	July 31, 2014

Site/Classroom Profile Updates and Evaluation Data: Lead Agencies are required to submit at the time of application Site/Classroom Profiles using First 5 California's online reporting system, and to update the demographic information semi-annually. Appendix L lists the data elements of the online system that Lead Agencies are required to use.

Before submitting the RFA application to First 5 California, each applicant Lead Agency **must submit a request** for a login name and password for up to three designated data system users. They will have the authority to access and enter data into the CSP Data Profile System.

Submit requests to the CSP mailbox at csp@ccfc.ca.gov. The subject heading should state **"CSP 3 Login Information."** First 5 California Information Technology staff will send the Lead Agency the login information.

The Site/Classroom Profile Updates and Evaluation Data schedule will be:

<u>Program Period</u>	<u>Due Date</u>
July - December	January 31, 2014
January - June	July 31, 2014

FY 2014-15 Reports and Data

Semi-Annual Program Progress Reports: All new CSP Program Elements of CSP 3 should be in place and fully implemented by the end of the first fiscal year (Year 1) of the program (June 30, 2014). Reporting for Year 2 will consist of maintenance of effort activities. The Semi-Annual Program Progress Report schedule follows:

<u>Program Period</u>	<u>Due Date</u>
July - December	January 31, 2015
January - June	July 31, 2015

Site/Classroom Profile Updates and Evaluation Data: Lead Agencies are required to submit at the time of application Site/Classroom Profiles using First 5 California's online reporting system, and to update the demographic information semi-annually. Appendix L lists the data elements of the online system that counties will be required to use.

The Site/Classroom Profile Updates and Evaluation Data schedule will be:

<u>Program Period</u>	<u>Due Date</u>
July - December	January 31, 2015
January - June	July 31, 2015

G. CSP Data Collection and Reporting Calendar

The Fall and Spring cycles of profile and evaluation data collection and reporting are summarized in the table below:

**Table 2
 CSP Data Collection and Reporting Calendar**

Data to be collected and reported	
Fall Cycle (July-December)	Spring Cycle (January-June)
<p>Classroom Data</p> <ul style="list-style-type: none"> • Classroom demographics • Teacher data • Quality Essential Staff (QES) • Funding • Ratios • ERS global score • Developmental screening and assessment activity 	<p>Classroom Data</p> <ul style="list-style-type: none"> • Classroom demographics • Teacher data • Quality improvement narrative • Quality Essential Staff (QES) • Funding • Ratios • ERS global score • Developmental screening and assessment activity <p>Site Data</p> <ul style="list-style-type: none"> • Outreach and support activity • DRDP <i>access</i> aggregate data • DRDP Parent Survey aggregate data
<p>Assessment Results</p> <ul style="list-style-type: none"> • DRDP Fall aggregate data • ECERS, ITERS, FCCERS item level scores for each subscale 	<p>Assessment Results</p> <ul style="list-style-type: none"> • DRDP Spring aggregate data • CLASSTM dimension and domain level scores
<p>Data Submission Deadline</p> <ul style="list-style-type: none"> • January 31 following the Fall cycle 	<p>Data Submission Deadline</p> <ul style="list-style-type: none"> • July 31 following the Spring cycle

V. CHILD SIGNATURE PROGRAM (CSP) 3 – FUNDING APPLICATION

From the perspective of the applicant, **this section contains the most important content of this RFA in that it provides Lead Agencies with the information they will need to apply for CSP funding.** It covers everything from eligibility requirements and consortia formation to how funding will be applied for specific quality program features. It includes application procedures, critical dates, and an application checklist. (For purposes of this RFA, a Lead Agency refers to an applicant First 5 county or the lead county for a county consortium.)

CSP RFA #3

CSP RFA #3 is designed specifically for only those counties that have been participating in CSP 2. It allows counties not currently participating in CSP 1 to apply for two years of Quality Enhancement (QE) funding for classrooms from CSP 2 that meet all the Baseline Criteria and Teacher Qualification requirements to become QE classrooms. (See Section III – “Description of the Child Signature Program” for specific details regarding all aspects of the program.) The content of CSP RFA #3 is similar to that of CSP RFA #1 in terms of QE classroom requirements, and will require, at a minimum, a one-to-one match in funds from participating counties.

The table below outlines the categories from the baseline criteria that must be met by classrooms in order to qualify for CSP 3:

Table C
CSP Baseline Criteria Requirement Categories

<ul style="list-style-type: none"> • Target Population • Diversity • Age • Parent Fees • Screening • Length of Day • Curriculum • Articulation • Teacher/Provider: Child Ratio • Maximum Group size 	<ul style="list-style-type: none"> • Health Education • Food • Nutrition Education • Tobacco Education • Physical Activity • Transition Support • Teacher/Provider Qualifications Requirement • Environmental Rating Scales revised (ECERS-R) • ECERS-F and ITERS 	<ul style="list-style-type: none"> • Classroom Assessment • Scoring System (CLASS™) • DRDP 2010 • Principles on Equity • Evaluation • Budget • Families • Connections
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For more detail on the Baseline Criteria, see Appendix B.

Description of Eligible Participants and Requirements

First 5 California recognizes the need for making high quality early learning programs available and accessible to children and families of greatest need. Toward that end, CSP 3 will focus on providing qualifying classrooms in CSP 2 counties the opportunity to increase quality in early learning programs serving children ages 0 to 5 of highest risk.

This RFA will accomplish two major purposes:

1. Allow qualifying classrooms that meet CSP Baseline Criteria and Teacher/Provider Qualifications to participate in CSP 3, and
2. Further increase the quality of education and care offered in these classrooms by implementing the Program Elements and the hiring of Essential Staff.

To qualify for CSP 3, classrooms from applicant counties must meet all the requirements in Content Areas 1, 2, and 3 of the Readiness Assessment, which include:

- CSP Baseline Criteria (Appendix B)
- Teacher/Provider Qualifications (Appendix M)
- Evidence of implementing the components of the Principles on Equity, and
- Evidence of leadership, governance, and infrastructure requirements necessary to support improved quality.

(Note: Several counties have Early Migrant Education classrooms operating on an alternate school schedule that may have precluded them from completing the Readiness Assessment prior to the CSP application due date. Counties may include those classrooms in their applications if they anticipate that those classrooms will meet the criteria. However, the Readiness Assessment results for those classrooms will have to be verified before a Lead Agency's application can be fully approved.)

Participation by a Consortium

For purposes of CSP RFA #3, a "consortium" is described as a First 5 county commission in partnership with another neighboring First 5 county commission, where both county commissions propose classrooms which meet the qualifying criteria to participate in CSP 3.

Existing Consortium

An existing CSP 2 county consortium may apply for funding under CSP RFA #3 if it meets the qualifying criteria. The lead county for a consortium formed under CSP 2 will be responsible for submitting the CSP RFA #3 application as the single applicant to serve as the Lead Agency for the consortium under CSP 3. As the Lead Agency, the lead county will be responsible for programmatic, fiscal and administrative accountability of all consortium partners.

Forming a New Consortium

CSP 2 counties may form a new consortium with neighboring counties who may have similar circumstances and if each applicant county classroom meets the qualifying criteria. The consortium must select a lead county and the lead will be responsible for submitting a single application. As the Lead Agency, the lead county will be responsible for programmatic, fiscal and administrative accountability of all consortium partners.

Sharing CSP Essential Staff Positions

A county applying for CSP RFA #3 may want to share a CSP Essential Staff position (e.g., EEE or FSS) with another county that does not have the minimum number of classrooms or families in its own county. For such counties, each county must submit an individual application to serve as Lead Agency for its county, and state the percentage of time the shared position will be used by the applying county and partner county. The position funded by First 5 California cannot exceed more than 100% of a time base. The applicant county must also be able to justify why it is more reasonable to share a position than to hire a part-time position for the applicant county

only. The justification must include the time base, salary, and the feasibility of the shared position with time spent in the classroom, travel time, and geographic needs.

Eligible Applicants for CSP 3

Applications may be submitted by counties willing to serve as Lead Agency under this RFA #3. As provided in the CSP Fiscal Glossary, a Lead Agency is a successful applicant designated to act as the administrative and fiscal entity for the CSP. The Lead Agency must provide direct services. The Lead Agency must provide assurances that are accurate and current and ensure that complete records will be kept and that the program will follow all fiscal reporting and auditing standards required by First 5 California.

Further, only those Lead Agencies for “non-PoP” counties currently participating under contract with First 5 California for CSP 2 funding are eligible to apply for CSP 3 through this RFA. CSP 2 counties in CSP 1 are not eligible for CSP 3. If a county chooses to include Family Child Care (FCC) or non-traditional license exempt providers in the application, the applicant must articulate specifically how it will support and monitor these providers to meet all the mandatory criteria for participation in the CSP 3.

Target Populations

Funding for CSP 3 is targeted for classrooms serving children ages 0 to 5 who are at greatest risk of falling behind in their overall development, as well as children from additional categories that include:

- Infant/toddlers ages 0 to 3 who meet income eligibility based on the schedule of Family Income Ceilings used by CDE, as referenced in Appendix E
- Live in the catchment areas of schools with API rankings at or below the 3rd decile
- Reside in a home where a language other than English is used as the primary means of communication (Dual Language Learners [DLL])
- Have been identified as having Special Needs (SN)
- Live in a household where a parent is employed as a seasonal migrant worker

For preschool children, income eligibility does not apply. Eligibility is determined based on whether the child resides in a low-performing school attendance area and meets the specific target population as described above.

Lead Agencies must collect appropriate documentation of family income and size to make the determination of family income eligibility, consistent with the methodology set forth in the Funding Terms and Conditions for applicable CDE child care and development programs. Lead Agencies must retain this documentation for audit purposes. The Funding Terms and Conditions for CDE child care and development programs are available at:

<http://www.cde.ca.gov/fg/aa/cd/ftc2011.asp>

Classrooms that participated in CSP 2 that meet the eligibility requirements of this RFA and are Head Start, Early Head Start, Migrant Child Care, or State Preschool that have strict eligibility requirements targeting low-income high risk children are all eligible for participation in RFA # 3 regardless of the API for the site location.

Funding for Lead Agencies

Through this application process, First 5 California will fund (and Lead Agencies must match funds) for up to 34 qualifying classrooms at the levels indicated below. A Lead Agency is eligible for First 5 California funds **up to**:

- \$50,000 per year for each classroom. (\$100,000 total for two years and a maximum of 34 classrooms)
- \$100,000 for one FTE Program Coordinator per year
- \$ 90,000 for one FTE Local Evaluator per year
- \$ 95,000 per FTE Early Education Expert per year (number of EEE to be determined by number of classrooms)
- \$ 65,000 per FTE Family Support Specialist per year (number of FSS to be determined by number of families served)
- \$ 90,000 per FTE Mental Health Specialist per year (number of MHS be determined by duties, caseload, etc., maximum of four)

In addition to the funding listed above, and to incentivize Lead Agencies to include classrooms with infants and/or toddlers, an additional \$1,000 per toddler and \$2,000 per infant will be available through this RFA to offset the high cost of caring for infant/toddlers. (See Section VI, 3, 3.1.) The \$50,000 per year for each classroom (\$100,000 total for two years) also applies to infant/toddler classrooms even though the class size may be smaller than preschool classrooms.

Lead Agencies may choose to fund more than 34 classrooms, but must do so with local funding at or above the classroom and Essential Staff ratio established for First 5 California funded classrooms. **First 5 California will fund only up to 34 classrooms.**

Lead Agencies may be eligible to receive services for the E4 for up to 34 additional **county-funded** classrooms beyond the 34 classrooms supported with First 5 California funding (maximum of 68 total classrooms per county). The **county-funded** classrooms must be funded at or above the classroom-to-funding ratio referenced above. **County-funded** classrooms must be included as part of the RFA #3 application and those classrooms must comply with all RFA #3 requirements to receive support/resources from the E4.

The inclusion of additional county-funded classrooms is entirely at the discretion of the county. If the county decides to include **county-funded** classrooms as part of the their application for RFA #3, the classrooms must submit **two** Form 3Fs, one for First 5 California funded classrooms and one for **county-funded** classrooms. For "**county-funded classrooms**", at the top of Form 3F above county name, add "**county-funded classrooms**" handwritten or typed.

Applicants applying for CSP RFA #3 must submit, at the time of application, Budget Forms using FTE equivalent and salary/benefit information contained in Table D. Applicants must submit a complete budget showing state, local, and total funding as part of the application (Forms 3A-3G). If approved, First 5 California will reimburse up to half of the total budget not to exceed the amounts established above, provided the county matches at no less than one-to-one; the other half will be paid for by the county. If a county chooses to match more than one-to-one (overmatch), First 5 California will reimburse only up to half of the allocated one-to-one match.

The applying county must list on Forms 3A-3G as applicable:

- Number of classrooms
- Name and address of each classroom
- Number of CSP Essential Staff
- Number of positions for each job classification (CSP Essential Staff)
- Time base (FTE)
- Salary amount
- Number of infants to be served (if applicable)
- Number of toddlers to be served (if applicable)
- Quality materials (curriculum, assessment, etc.)
- Office space (rental or lease only)
- Office equipment (computers, printers, etc.)
- Travel
- Training
- Cost of annual audit

If selected, counties will be eligible for two years of RFA #3 funding to implement the design principles, quality enhancements, and program elements, all of which are foundational to the CSP quality enhanced model (see Section III., Description of the Child Signature Program). CSP 2 counties awarded RFA #3 funding may have their funding for CSP 2 reduced based on the remaining number of centers and classrooms (non-QE) continuing into year two and three of CSP 2. (In other words, classrooms moving into CSP 3 will be covered under funding from RFA #3 and no longer funded under RFA #2).

Funding for CSP Essential Staff Positions

Because of the uniqueness of size, geography, and demographics of the CSP 2 applicant classrooms/counties, and the time base for CSP Essential Staff positions, funding recommendations for each position are listed below by percentage of time base, with the exception of the Mental Health Specialist. For the CSP Essential Staff positions below that do not contain a time base, counties must submit a request for an amount, up to the dollar amount listed, and provide the number of positions. The request must provide a time base, case load, number of positions required, and justification for the amount requested.

Table D
Funding Formulas for CSP Essential Staff Positions

Program Coordinator (PC):\$100,000 maximum salary for one FTE position

Number of Classrooms	PC FTE	Salary/Benefits- Program Coordinator (PC)
1-11 classrooms	.35	\$35,000
12-23 classrooms	.75	\$75,000
24>34 classrooms	1.0	\$100,000

Early Education Expert (EEE): (May be multiple positions)

Number of Classrooms	EEE FTE	Salary/Benefits
1-3 classrooms	.33	\$31,666
4-7 classrooms	.66	\$63,333
8-10 classrooms	1.0	\$95,000

Family Support Specialist (FSS): (May be multiple positions)

Number of Families	FSS FTE	Salary/Benefits
Up to10 families	.33	\$22,000
11-20 families	.66	\$43,000
21-30 families	1.0	\$65,000

Local Evaluator: \$90,000 maximum salary for one FTE position

# Classrooms	LE FTE	Salary/Benefits
1-8 classrooms	.25	\$22,500
9-10 classrooms	.50	\$45,000
11-20 classrooms	.75	\$67,500
21>34 classrooms	1.0	\$90,000

Mental Health Specialist: First 5 California did not set a time base for the MHS position (see Section VI, 2. for recommended leveraging options.) In addition to the other Essential Staff positions, a county may request up to \$90,000 for a full time position.

Quality Enhancements: In addition to the funds needed for all CSP Essential Staff positions, a county may request up to a base amount of \$100,000 (\$50,000 annually) for each qualifying classroom, provided the county matches dollar for dollar the requested amount (also outlined on page 27). These funds may be used for travel, training, office space, and quality enhancement materials. The request must include justification that supports its use to promote the Program Elements and is directly related to the core RFA #3 program requirements. (Please see Reimbursement Terms for non-allowable costs in Section VII.)

How to Apply for Funding

A. Request for Application #3 Information Session

One CSP RFA #3 Information Session/Conference Call will be held to review the content of this RFA with potential applicants and to address questions. The call will provide the opportunity to ask questions and receive information regarding the content of this RFA. The date, time, and location for the session are listed below.

Any county/agency submitting an application is encouraged to participate in this RFA #3 Information Session/Conference Call.

CSP RFA #3 Information Session/Conference Call

Date: April 23, 2013

Time: 10:00 am – 12:00 pm

Dial-in number: 1-800-593-8919

Passcode: 16489

Questions regarding this RFA will be answered during the information session/conference call. Additional questions regarding this RFA will be accepted **by e-mail, in writing, or by fax through Friday, May 3, 2013.** Please use “CSP RFA #3 Question” as the subject heading and send all questions to First 5 California:

E-mail: csp@ccfc.ca.gov or

Fax: (916) 263-1360

B. Application Eligibility Period

The funding period covers July 1, 2013, through June 30, 2015, and shall operate on a state fiscal-year basis (July 1 through June 30).

C. Application Procedures and Processes

Applications must be developed and submitted in accordance with the terms described herein.

1. Application Due Date

First 5 California must receive the CSP RFA #3 Application package by **May 20, 2013 at 5:00 p.m.** Application packages received later than 5:00 p.m. on May 20, 2013 will not be accepted or reviewed.

2. Application Submission Requirements

The Application package must be submitted as follows:

- One original signed application;
- Three (3) copies of the original application (total of four hard copies); and
- An electronic version of the application sent to csp@ccfc.ca.gov with the title “XX County CSP RFA #3 Application” as the Subject Header.

Applications must be complete when submitted. First 5 California holds no responsibility for the receipt or handling of applications that are not hand-delivered or received by the deadline and/or are incomplete. Applicants are encouraged to use express, certified, or registered mail, return receipt requested to confirm the date First 5 California receives the application.

Mail or hand-deliver applications to:

First 5 California
CSP RFA #3 Application
2389 Gateway Oaks Drive, Suite 260
Sacramento, CA 95833

All applicants agree that by submitting an application, they authorize First 5 California to verify all claimed information.

- The original application shall include an original signature in **blue** ink.
- The application must be in 12-point Arial or Times New Roman, with one-inch margins on standard, white 8 ½ x 11-inch paper.
- Applications must be stapled in the upper left-hand corner. Do not use binders, covers, folders, or sleeves.
- The program narrative section is not to exceed 20 pages. First 5 California requests that information in the application be thorough, yet as concise as possible. Do not attach additional pages or information not requested in the application.
- Required Site/Classroom Profile data must be entered through the First 5 California online Web page and copies included with the application. These documents are not part of the 20 page limit.
- Complete a Program Funds Budget and Program Budget Narrative (Forms 3A-3G) for the entire funding period of the program. The budget narrative should present detailed justification of all expenditures and describe any additional funding sources and amounts that will contribute to the program.

D. Sequence of Application Components

Each application must be assembled in the order outlined below and number responses accordingly. Each component must be present for the application to be considered complete. Please use the Application Checklist (Form 1) to guide the assembly of the completed application. Applications not in the sequence requested will not be accepted.

All new CSP Program Elements **must** be in place and fully implemented by the **end of the first fiscal year** of the program (June 30, 2014). Reporting for year 2 will consist of maintenance of effort activities. Reports must be submitted January 31 and July 31 for fiscal years 2013-14, and 2014-15.

Form 1: Application Checklist

The completed Application Checklist assists applicants in the correct organization and sequencing of the application response. Completion of the checklist is optional and not a

required part of the application response. However, completion of this Checklist will support compliance with the application submission requirements.

Form 2: Application Cover Sheet

This is the first form of the application package and contains the required signature (in blue ink) of the authorized representative for the Lead Agency.

Form 3: CSP Essential Staff and Program Elements Budget

Essential Staff and Program Elements Budget (All Years). This form will include budgets for two years including the match used by the First 5 County.

- Form 3A: Program Funds Budget (All Years)
- Form 3B: Program Funds Budget FY 2013-14
- Form 3C: Staffing Plan FY 2013-14
- Form 3D: Program Funds Budget FY 2014-15
- Form 3E: Staffing Plan FY 2014-15
- Form 3F: QE Classrooms Profile Information
- Form 3G: Program Budget Narrative

These forms follow Form 2, Application Cover Page, in the application and are presented in alphabetical order (i.e., 3A, 3B, etc.). These forms detail the proposed FY 2013-14 and FY 2014-15 CSP Essential Staff and Elements, materials, budgets, etc.

On Form 3G, Applicants must insert the First 5 County Commission's name from the drop down list and provide a narrative description that explains the expenditures proposed. Include description of the Essential Staff, Infants and Toddlers served, all items under Operating Costs, and any proposed subcontractors used for program implementation.

The CSP Program Funds budget pages are in addition to and not included in the program narrative 20-page limit.

Form 4: CSP Cash Match Certification

This form follows Form 3G, Program Funds Budget Narrative, in the application and provides descriptive information and certifications from the county commission and other funding partners to confirm compliance with the cash match requirement for the CSP. Cash match funds may include funds from Head Start or other federal funds, Proposition 10 county tax revenue disbursements, and other gifts, grants and funds invested by a local partner. No other state funds may be used for this matching requirement.

Form 5: Program Narrative and Description (20-page maximum)

The Program Narrative and Description section is limited to 20 pages and follows Form 4, CSP Cash Match Certification in the Application.

In preparation of the narrative section of this Application, please refer to Section V, of this RFA.

On Form 5, Applicants must insert the First 5 County Commission's name in the location indicated in the page header and organize the response in the sequence listed on the following page:

Section A: Program Design and Objectives

The applicant must include in the response to Section A the following:

1. Identify by name and provide the total number of CSP 2 classrooms that will be designated QE and participate in CSP RFA #3.
2. Describe how the county will implement all the QE requirements to every site and classroom listed in number 1 (above) applying for CSP RFA #3.
3. Describe how the county will attempt to include a minimum of one class of infants and toddlers.
4. Identify three to five measurable objectives to demonstrate the following:
 - How local objectives will be aligned with the state objectives
 - How the local program design supports and integrates the three Program Elements into the local CSP
 - How the local program will integrate the *Principles on Equity* in all aspects of the program

Section B: Instructional Strategies and Teacher-Child Interactions

For all QE classrooms, the Applicant must include in the response to Section B the following:

1. Identify the curriculum that will be used in the CSP. If using a curricula other than the Recommended Curricula (Appendix K), provide the following additional information:
 - Describe how the curricula are aligned with the California Department of Education *Infant/Toddler Learning and Development Foundations*, California *Infant/Toddler Curriculum Framework* and/or California *Preschool Learning Foundations*, and California *Preschool Curriculum Framework*.
 - Describe how the curricula are research or evidence based.
 - Request approval for use from First 5 California.
2. Describe how the curriculum improves the development of language/literacy and early math skills in children ages 0 to 5.
3. Describe how the curricula and instructional strategies will meet the needs of DLL.

4. Describe how the curricula and instructional strategies will address the needs of children with special needs.

Note: Curriculum not listed on Appendix K must have final approval from First 5 California before use.

Section C: Social-Emotional Development

The Applicant must include in the response to Section C the following:

1. Describe interventions that will be used to improve the social-emotional development and behavioral skills of children ages 0 to 5. Include in your response activities that are age appropriate and culturally and linguistically appropriate.
2. Describe how the county will integrate parents in the development of their child's social-emotional well-being.
3. Describe collaboration, interface, and coordination with the EEE, LE, MHS, and classroom teacher.
4. Describe the strategies to collaborate and obtain local resources (MHS, other local mental health resources, etc.) to address the social-emotional needs of children and their families.
5. Describe the curricula or training designed to help prevent challenging behaviors and help teachers deal effectively with those behaviors.
6. Describe how the curricula are developmentally appropriate and aligned with the California Department of Education *Infant/Toddler Learning and Development Foundations*, *California Infant/Toddler Curriculum Framework* and/or *California Preschool Learning Foundations*, and *California Preschool Curriculum Framework*.
7. Identify the annual screening tool and assessment and describe how annual screenings and planned assessments will be conducted. Include in your response how parents will be included in the process and how referrals and follow-up for needed services will be made and tracked.

Section D: Parent Involvement and Support

The Applicant must include in the response to Section D the following:

1. Describe how the CSP will create and distribute information to parents about:
 - Their child's growth and development.
 - Optimal health and well-being, including nutrition and physical activity.
 - Promotion of the parent/child relationship.
 - Involvement and advocacy of the education of their child and their child's school.
2. Describe how the CSP will engage parents to develop a Family Partnership Agreement to assist families in identifying goals for building strong parent-child relationships.

Section E: Professional Development

The Applicant must include in the response to Section E the following:

1. Describe how the professional development needs of staff and/or parents will be determined to implement the three Program Elements in classrooms serving target populations.
2. Describe how the professional development needs will be met.

Section F: Target Population and Principles on Equity

The Applicant must include in the response to Section F the following:

1. Describe the process that will be used to identify the Target populations identified in Section V in the RFA.
2. Describe unique outreach plans that will be used to reach target populations in catchment areas.
3. Describe the techniques and strategies that will be implemented to support representative participation of California's culturally and linguistically diverse populations, including teachers.
4. Describe the methods that will be used to track and measure progress in serving target populations and track a culturally and linguistically diverse workforce.
5. Describe how the county will ensure the teacher/child ratio proportionately represents the diversity of the children served.

6. Describe other methods that will be employed to ensure cultural and linguistic responsiveness by the program.

Section G: Local and State Evaluation

The Applicant must include in the response to Section G the following:

1. Beyond the statewide evaluation and the evaluation requirements detailed in this RFA, describe any additional evaluation questions and objectives that will be addressed locally.
2. Describe the plan for integrating the LE and EEE into the CSP design and strategies for integrating the use of data analysis to achieve continuous classroom improvement. Include in the response the frequency of collection and reporting class data.
3. Describe how the classroom will use the information obtained from the assessment tools used and other measures and evaluation results.

E. Review of Applications

The First 5 California staff charged with the oversight of the review process will select a panel to review applications that are submitted according to the previously stated requirements. Applications that do not fully provide a comprehensive overview of the program may be required to provide additional information and program justification before a funding determination can be made.

The applicant must provide any additional information determined necessary by the application review panel within three business days from the date the written request is received by the applicant.

VI. SUMMARY OF KEY PROGRAM REQUIREMENTS

This section of the RFA contains a summary of the required key program and administrative staffing, program, target populations, classroom curriculum, parent involvement, and assessments. Lead Agencies are responsible for **ALL** program, administrative and fiscal requirements as stated in this RFA and the Local Area Agreement (Appendix P). However, this section provides a concise summary of the material requirements.

To receive and maintain funding for Fiscal Years 2013-14 and 2014-15 of the CSP, the CSP RFA #3 applicants must meet and maintain the following administrative, program, and staff criteria:

1. Administrative:

- 1.1 Provide no less than a 1:1 **cash** match (CSP Fiscal Glossary and Section VII.J.)
- 1.2 Provide continuity by serving at least 90% of eligible children ages 0 to 5 in the same targeted catchment areas that were enrolled in the CSP #2 in FY 2012-13.
- 1.3 Assure that any participating ECE classrooms are in the catchment areas of elementary schools with APIs in deciles 1-3 or classrooms with deciles 4-5 that were provided exceptions for participation in CSP 2 (e.g., Head Start, Migrant Child Care, etc.)

2. Staffing:

- 2.1 Hire, redirect, or contract for the CSP Essential Staff positions described in Section V. Counties must have sufficient match funds to implement these Quality Enhancement requirements in every CSP RFA #3 classroom they are applying for. Staff may be shared by classrooms but all positions must be filled per the chart in Table D.
 - 2.1 A Many counties have existing Mental Health positions such as Psychologists, Behavior Specialists, Therapists, etc., or have relationships or partnerships with Mental Health agencies and/or resources. If applicants do not have a partnership with a Mental Health agency and/or other Mental Health resources, they are encouraged to do so in order to leverage funding. An applicant may choose to enhance existing position(s) as part of this RFA. If leveraging opportunities are not available, an applicant may request up to \$90,000 for a full-time position and, with proper justification (duties, caseload, education, need, numbers of classrooms, etc.), request up to 4 positions.
- 2.2 All classrooms that participate in CSP 3 are required at a minimum to maintain the current CSP 2 "CSP Baseline Criteria" and "Teacher/Provider Qualifications" at the First 5 Quality Level for the two-year term of the program. If for any reason the minimum requirement(s) in a classroom fall below the criteria, the Lead Agency must submit an improvement plan listing:
 - Criteria not met
 - Steps taken to meet criteria

- How the program will monitor progress
- How the classroom is advancing to achieve full compliance with the criteria
- Deadline for meeting the criteria

The Lead Agency must bring the classroom(s) into compliance within six months or the classroom will be dropped from the program and the Lead Agency's total allocation will be adjusted accordingly.

- 2.3 If a classroom discontinues participation in the CSP 3 program, the Lead Agency must provide written notification to First 5 California **immediately**. The Lead Agency must submit a budget amendment and adjustments in reimbursement will be made as applicable on a case by case basis.
- 2.4 Additionally, all staff participating in a CSP funded classroom must complete the on-line training titled, "*Kids and Smoke Don't Mix*" If classroom staff has taken the training through CARES Plus or another First 5 California program, to be accepted, the training must have been taken within the past 24 months from execution of the Local Area Agreement. Staff must take the training individually and must print out a certificate of completion. The Lead Agency must maintain a printout listing staff that has completed the tobacco training.
- 2.5 If a Lead Agency chooses to hire more CSP Essential Staff than meets the application criteria or have the Essential Staff perform duties other than are specified in the attached Job Descriptions, Lead Agencies must do so at their own expense.

3. Program:

- 3.1 **OPTIONAL & STRONGLY ENCOURAGED:** Include Infants and Toddlers. Lead Agencies are encouraged to serve at least one classroom within the county – and preferably more – with no fewer than eight (8) infants and toddlers in high quality environments. The need for high quality infant/toddler care is dire. To incentivize Lead Agencies to include classrooms with infants and/or toddlers, an additional \$3,000 per toddler and \$4000 per infant will be available, over the funding amount requested for Essential Staff, Elements and materials, through this RFA to offset the cost of caring for infant/toddlers. The teacher/child maximum ratio is 1:4 infants, and 1:4 toddlers (can be 1:6 with toddler license). Classrooms with fewer than 4 infant/toddlers do not qualify as a full classroom.
- 3.2 Incorporate the three CSP Program Elements (Instructional Strategies and Teacher-Child Interactions, Social-Emotional Development, and Parent Involvement and Support), as described in Section III.C.
- 3.3 Align the local CSP 3 program with the major domains articulated for use with infant/toddlers and preschool, as described in the California Department of Education *Infant/Toddler Learning and Development Foundations*, *California Infant/Toddler Curriculum Framework*, and/or *California Preschool Learning Foundations*, and *California Preschool Curriculum Framework*.
- 3.4 Provide nurturing and caring relationships with children.

- 3.5 Develop strong family partnerships.
- 3.6 Provide culturally sensitive care.
- 3.7 Provide environments and materials that enrich learning and development.
- 3.8 Encourage well child visits through age five.
- 3.9 Provide screenings and assessments as described in Appendix C.

4. Target Populations:

- 4.1 As outlined in Section VI, serve children ages 0 to 5 with diverse languages and cultures and abilities:
 - Hire knowledgeable staff that is proportionately reflective of the cultural and linguistic diversity of the children in the classroom
 - Create a plan that demonstrates continuous outreach and retention of a diverse workforce that reflects the diversity of California's children
 - Provide justification and submit to First 5 California for approval in cases where the diversity of teachers/providers does not proportionately reflect the diversity of the children and families served (i.e., unavailability of qualified staff).
- 4.2 Serve children with special needs in order to:
 - Ensure equal access to all CSP Program Elements and services
 - Encourage well child visits through age five
 - Ensure access to comprehensive assessments
 - Provide other relevant resources and/or services

Coordinate and collaborate with other service providers such as regional centers, etc. (Just as with Head Start, at least 10% of all children served must be special needs children.)

5. Classroom Curriculum

- 5.1 Use approved "developmentally, culturally, and linguistically appropriate curricula" defined as those aligned with the California Department of Education *Infant/Toddler Learning and Development Foundations, California Infant/Toddler Curriculum Framework, and/or California Preschool Learning Foundations, and California Preschool Curriculum Framework*. (See Appendix K.)
- 5.2 Incorporate physical activity in all aspects of the regular curricula (at least 30 minutes per day per ECERS guidelines for half-day programs less than 4 hours per day), and at least 60 minutes per day for programs operating greater than 4 hours per day. (See Appendix B.)
- 5.3 Ensure that all teachers participating in CSP 3 meet the First 5 "Quality Level" educational requirements through the two year term of the program and provide appropriate documentation in the semi-annual reports.

6. Parent Involvement and Support

- 6.1 Develop and implement a plan to support diverse parent and family partnerships and parent involvement in all aspects of the program, including leadership in program design, participation, implementation, and evaluation. The plan must:
 - a. Provide parents with resources and education to facilitate their ability to support their child's development.
 - b. Contain approaches effective in reaching parents of children ages 0 to 5, including children with disabilities and other special needs, Dual Language Learners (DLL), and migrant families.
 - c. Assure that all parents of diverse groups, particularly those who have been traditionally underrepresented and underserved, are actively engaged and involved and have an equal voice in defining needs and providing solutions
 - d. Use culturally and linguistically relevant methods of communication and community outreach to locate and serve diverse groups by including community organizations, formal and informal networks, and other communication vehicles.
- 6.2 Create a plan that identifies and describes how the program will promote and support the development of emerging parent and community leaders.
- 6.3 Hold a minimum of two individual parent conferences per year that are at least three to four months apart.
- 6.4 In collaboration with parents, complete an annual Family Partnership Agreement that encourages and promotes positive developmental outcomes for their child.
- 6.5 Educate parents on the dangers of secondhand smoke to children through the use of parent-focused tobacco trainings and other tobacco cessation resources, and review resources annually.

7. Assessment and Evaluation

- 7.1 Use the *CLASSTM* and ERS family of instruments as applicable. QE classrooms are required to complete one assessment of each tool listed below per year each fiscal year:
 - ERS Tool: Classrooms will be required to submit the applicable ERS results to the State Evaluation contractor for FYs 2013-14 and 2014-15
 - *CLASSTM* Tool: The *CLASSTM* assessment tool will be completed in both FYs 2013-14 and FY 2014-15.
- 7.2 CSP #2 applicant classrooms must achieve a score equal to or greater than the following each FY of funding:
 - 5 on ERS on the aggregate across indicators
 - 5 on *CLASSTM* Emotional Support domain Pre-K Tool
 - 3 on *CLASSTM* Classroom Organization domain Pre-K Tool
 - 2.75 on *CLASSTM* Instructional Support domain Pre-K Tool
 - Submit score for *CLASSTM* Toddler-Tool

Applicant must submit ERS and CLASSTM scores as part of the CSP RFA #3 application Form 5 Program Narrative. Refer to the “CSP Data Evaluation Guidebook” for additional information.

For classrooms whose scores during the course of the program fall below the aforementioned thresholds, the Lead Agency will be required to submit a plan in the quarterly/semi-annual report detailing the process to bring each classroom up to the required level or better and provide the documentation detailing the change.

- 7.3 Complete an environment rating scale by a reliable rater; an annual program self-assessment; the development and implementation of an annual plan for each program provider consistent with Title 5; and participate in the external review process.
- 7.4 Complete the CDE Desired Results and Developmental Profile 2010 PS, Desired Results and Developmental Profile IT, Desired Results and Developmental Profile Access, as appropriate, and the DRDP Parent Survey.

VII. PROGRAM, ADMINISTRATIVE, AND FISCAL ACCOUNTABILITY

Once a Lead Agency has been approved for funding for CSP 3, there are multiple responsibilities and restrictions regarding how funds may be spent. This section includes information regarding the responsibilities of participating Lead Agencies, allowable and administrative costs, annual audit requirements, compliance issues, use of subcontractors, cash match requirements, and multiple other fiscal considerations that are integral to program implementation and accountability.

The CSP Fiscal Glossary (Appendix F) and the Sample Local Area Agreement (Appendix P) and the Standard Provisions for Local Area Agreements (Appendix Q) are located at the end of this RFA. Please refer to those documents for the controlling definitions and descriptions of the program, administrative and fiscal rules governing the award and expenditure of CSP 3 funds from First 5 California. The provisions of this Section are meant to supplement those documents and should be read in harmony with the Fiscal Glossary and the Local Area Agreement.

A. Lead Agency Responsibilities

The Lead Agency shall be responsible for the oversight and administration of the CSP 3, including all program requirements and necessary administrative responsibilities to carry out program requirements and the fiscal responsibility and accountability for state and local funds. **All program, administrative and fiscal responsibilities and requirements described in this RFA are material to the award of CSP funds.** Reimbursement and expenditure claims are contingent on the Lead Agency's performance of and compliance with those responsibilities and requirements.

The Lead Agency's application constitutes its assurances that it will meet all program, administrative and fiscal responsibilities and requirements of the CSP 3 and that it will retain records that substantiates its performance and compliance for monitoring and auditing purposes. The Lead Agency will follow all fiscal accounting, reporting and auditing standards required by First 5 California, including but not limited to applicable sections of the First 5 Financial Management Guide.⁶

If the Lead Agency is found to be out of compliance with a material program, administrative or fiscal requirement, subsequent expenditure reimbursements will be contingent upon the Lead Agency's diligence in achieving the objectives provided by First 5 California in a written corrective action plan. In addition, prior reimbursements may be subject to recovery by the State if required by public contracting rules.

B. Actual and Allowable Costs

CSP 3 funds may be expended only for the purposes detailed in this RFA and consistent with the approved funding application and the Local Area Agreement between First 5 California and the Lead Agency. The Lead Agency will be reimbursed for actual costs that are permissible by the Local Area Agreement and consistent with the approved budget. The Lead Agency may only expend CSP funds received from First 5 California for actual and allowable direct costs dedicated to CSP RFA #3 activities including CSP Essential Staff salaries, materials

⁶ See <http://www.f5ca.org>

(curriculum, assessment, computers, etc.), data collection, the required audit, office space and travel on a reimbursement basis only.

The Lead Agency must maintain accurate fiscal data, in accordance with generally accepted accounting principles and standards for governmental entities and report actual expenditures by budget category on the CSP Request for Reimbursement Forms (Forms 6A and 6B). All invoices or claims must be substantiated by adequate supporting documentation and based on verifiable financial records.

Payrolls must be supported by time and attendance or equivalent records for individual employees. Wages of employees chargeable to more than one program or other cost objective must be supported by appropriate time distribution records. If an employee is multi-funded on a time accounting basis, then the employee's timesheet must indicate the actual amount of time spent in each program per day.

Non-reimbursable direct or indirect costs include:

1. Alcoholic beverages.
2. Consumables (e.g. food and diapers).
3. Materials and supplies (excluding curricula materials).
4. Costs of promotional items and memorabilia including gifts and souvenirs.
5. Costs of advertising and public relations designed solely to promote the governmental unit, First 5 county commission or partners.
6. Bad debts, including losses (whether actual or estimated) arising from uncollectable accounts and other claims, related collection costs and related legal costs.
7. Legal costs incurred in defense of any civil or criminal fraud proceeding; legal expenses for prosecution of claims against the State of California.
8. Costs of entertainment, including amusement, diversion and social activities and any expenses directly associated with such costs (such as tickets to shows or sports events).
9. Capital expenditures for general-purpose equipment, buildings and land (items with a unit cost greater than \$5,000). Unit cost includes all costs required to make the item serviceable, such as taxes, freight, installation costs, site preparations costs, etc.
10. Costs of organized fundraising, including financial campaigns, solicitation of gifts and bequests and similar expenses incurred to raise capital or obtain contributions.
11. Cost of goods or services for the personal use of the Lead Agency and partners' employees regardless of whether the cost is reported as taxable income to the employees.
12. Cost of idle facilities or idle capacity are unallowable except to the extent that:
 - a. They are necessary to meet fluctuations in workload or
 - b. They were necessary when acquired and are now idle because of changes in program requirements, efforts to achieve more economical operations, reorganization, termination or other causes which could not have been reasonably foreseen. Under the exception stated in this subsection, costs of idle facilities are allowable for a reasonable period of time, ordinarily not to exceed one year, depending on the initiative taken to use, lease or dispose of such facilities.
13. Facilities renovations and repairs.
14. Lobbying costs and the cost of certain influencing activities associated with obtaining program funding, grants, contracts, cooperative agreements or loans are not allowable.
15. Out-of-state travel costs are allowable only when the traveler has received prior written approval by First 5 California in direct support of the program objectives.

16. The Lead Agency shall not use current year Agreement funds to pay prior or future year obligations. However, the cost of the annual independent audit may be claimed either in the Agreement period that was the subject of the audit or during the Agreement period in which the audit was completed, whichever period is also reflected on the county year-end financial statements.

C. Administrative Costs

First 5 California will not reimburse administrative and/or indirect costs for the CSP Essential Staff and related expenses. Disallowed costs related to administration may include both direct program charges (First 5 county commission costs related to preparing program plans, developing budgets and monitoring activities or rental or purchase of program –specific office equipment or supplies) and **indirect** charges for general administration of the program (human resource, accounting, procurement and data processing personnel). Any cost, direct or indirect, that supports management of the program is considered administrative in nature.

If the First 5 county commission has more than one First 5 California program, then the method used to allocate administrative costs for those other programs must be documented.

D. Annual Audit

Each Lead Agency receiving and expending CSP funds must undergo an audit and report audited financial information for funds received for CSP utilizing a supplemental schedule provided by First 5 California. The supplemental schedule must be a component of the Lead Agency's annual financial audit. **The audit of the CSP must be conducted by an independent third party.** The audit must include the expenditure of both state and local match funds. The audit will be conducted and records will be maintained in accordance with Government Auditing Standards (GAS) located at the following website <http://www.gao.gov/govaud/ybook.pdf>. The Lead Agency is required to maintain auditable records, which must be made available upon request to representatives of First 5 California or its designee, or the State Auditor for on-site monitoring, reviews, and audits. The audit is due to First 5 California by **November 1 of each year.**

E. Program Compliance Review

CSP compliance reviews will take place not more than once every twelve months. County commissions will be required to participate and produce records on request by First 5 California or the State.

The purposes of a CSP compliance review are:

- To review and analyze the **administration** of the CSP at the county and site levels for participating entities.
- Confirm internal controls and required record keeping is consistent with **program** requirements.
- To provide information and feedback to county commission staff to assist them in taking corrective action, if necessary.

F. Compliance Requirements

The Lead Agency must adhere to the following fiscal and program requirements:

1. Participate fully in evaluation and data collection processes administered by First 5 California and/or its designee.
2. Provide all progress reports and reimbursement requests as requested by First 5 California.
3. Account for revenues and expenditures (both State and local) for the CSP RFA #3 funds separately in the annual financial audit, supplemental schedule.
4. Ensure items 1, 2 and 3 meet standards of quality outlined in this RFA and in referenced appendices and supporting materials.
5. Sign required certifications that attest to the accuracy of any program data submitted and claims for reimbursement requested.
6. Lead Agency's that fail to meet the compliance requirements above, risk loss of reimbursement in full or part, or denial of continued eligibility.

G. Using Subcontractors

The Lead Agency can subcontract with another agency to implement the CSP RFA #3 as an intermediary; however, the Lead Agency remains legally responsible for all program, administrative and fiscal requirements of the RFA and the Local Area Agreement, for the overall performance of the CSP RFA #3 requirements, and for the expenditure and progress reports as described in this RFA, even if administered through an intermediary. If a Lead Agency subcontracts with another agency to implement CSP RFA #3, any communication regarding implementation of the CSP must occur through the Lead Agency. First 5 California will not discuss any program, administrative or fiscal issues with a subcontractor. The Lead Agency must adhere to the State of California's contracting requirement of three competitive bids, unless local county regulations or policies differ. The Lead Agency is also responsible for collection of necessary data.

H. Capital Outlay Expenditures

First 5 California funds may **not** be used for capital expenditures as defined by the First 5 Financial Management Guide and the additional guidance in Fiscal Memorandum No. 01-04 found on the First 5 California web site at:

http://www.cfc.ca.gov/pdf/annual_report_pdfs/FM_01-04FixedAssets.pdf

I. Carryover Funds

Carryover funds are unobligated, unspent balances from a previous year's approved budget that are transferred to the current year's budget, and are available to spend in addition to the current year's allocation. Carryover funds must be requested by the Lead Agency through the budget revision process to obtain prior written consent from First 5 California to spend carryover funds.

J. Cash Match

First 5 California will reimburse the Lead Agency for the State portion of approved CSP expenditures. No less than a 1:1 cash match contribution of funds is required. The Lead Agency may combine its funds with local partners (such as the county, a city or private foundation) to achieve the total local cash share required to meet the state-match ratio. The funds used as a cash match must be dedicated to the CSP. The dollars used for the cash match may not be used for other programs.

Local cash match funds may include funds from Head Start or other federal funds, Proposition 10 county tax revenue disbursements, and other gifts, grants and funds invested by a local partner. No other state funds may be used for this matching requirement.

First 5 California may determine an overpayment of state funds has occurred if the Lead Agency does not secure adequate matching funds. Overpayment remedies are covered later in this section.

K. Dispute Resolution

The Lead Agency shall attempt to resolve program, administrative or fiscal disputes at the first staff level within First 5 California. If the dispute is not resolved at the first staff level, the Executive Director of the Lead Agency, designated as the CSP administrator, may appeal the decision. Such an appeal can be made by submitting a written description of the issues and the basis for the dispute to the Chief Deputy Director of First 5 California within thirty (30) calendar days of receiving an initial response from the first-level determination of the dispute.

Within thirty (30) calendar days of receiving the Lead Agency's written dispute, the Chief Deputy Director will review the facts of the dispute, and if deemed necessary, will meet with the Lead Agency Executive Director or designee for purposes of resolving the dispute. The Chief Deputy Director shall make a determination and shall send written notification of the decision to the Lead Agency, together with the reasons for the decision, within sixty (60) calendar days of the receipt of the Lead Agency's notification of the dispute. The decision of the Chief Deputy Director shall be final.

L. Financial Management Guide Compliance

Lead Agencies must use the First 5 Financial Management Guide (Guide) terms and definitions when reporting to or communicating with First 5 California regarding the CSP. The guidelines and glossary contained in the Guide provide a common frame of reference and language for use between State and county commissions when addressing financial matters.⁷

⁷ The First 5 Financial Management Guide is available on the First 5 California Web site at: <http://www.cfc.ca.gov/commission/fiscal.asp>.

M. Fund Allocations

The tables in Section III show the maximum funding allocation amounts per position for Lead Agencies that are eligible to participate in CSP RFA #3 in fiscal years 2013-14 through 2014-15. The funding amounts in the tables reflect the enhancement quality funding for implementing CSP Essential Staff and the CSP Program Elements for the classroom and for quality enhancement materials funding. Lead Agencies are required to request the amount needed for each essential staff position, for implementing the essential elements and for costs for data collection, the required audit, travel, space and materials. Each cost requires a justification.

N. Budget Amendment

A budget amendment changes the current approved total program funding authority identified on the Local Area Agreement for the period of program performance. Program Budgets are set during the initial application approval process for the full funding period. A budget amendment request must be submitted and approved by First 5 California to use unallocated authority. Upon approval of a budget amendment, counties will receive a revised funding letter with the approved supporting budget detail documents. Budget amendment requests must be submitted prior to the period for which expenditures will occur.

O. Budget Revision

A budget revision is an adjustment of a total or line item amounts. Lead Agencies may adjust the annual budget, as deemed necessary, to accomplish the proposed program outcomes, consistent with the intended purposes of these funds. Any budget category from the original approved budget that is changed by 15% or more must be approved by First 5 California and a new budget must be submitted. This will allow for consistency when submitting the semi-annual Claim for Reimbursement forms. The Lead Agency must submit a budget revision to spend carryover funds.

P. Expenditure and Reimbursement Claims

First 5 California will reimburse the Lead Agency for CSP expenditures semi-annually, contingent on compliance with program, administrative and fiscal requirements of the CSP, upon receipt and approval of the CSP Claim for Reimbursement forms (Forms 6a, b, c). Lead Agencies will submit expenditure reports to First 5 California twice a year for actual expenditures incurred by the Program, utilizing the Claim for Reimbursement forms. The expenditures reported must correspond to the Lead Agency’s approved CSP Program Budget (Forms 3A-G) as it may be amended in an approved Revised CSP Program Budget (Form 7A and 7B). Expenditure reports must be submitted semi-annually consistent with the following schedule. First 5 California will consider adjusting the expenditure report schedule for hardship on a case-by-case basis.

Expenditure Reporting Schedule	
Report Period	Due
Expenditure Schedule for Each Fiscal Year	
1 st Disbursement: July – December	February 28
2 nd Disbursement: January – June	August 30

Reimbursement payments will be made only to the Lead Agency executing the Local Area Agreement and within 60 days upon submission of an invoice and proper proof of claim for services and products satisfactorily rendered or provided and its expenses necessarily incurred pursuant to this Agreement.

Q. Information Practices Act

The assessment and evaluation data collected by the Lead Agencies about the CSP is subject to the protections afforded by the Information Practices Act (IPA) of 1977 (Civil Code, Sections 1798 *et. Seq.*) The IPA is designed to protect personal privacy by putting limits on collecting, maintaining and distributing personal information by State agencies. The IPA applies to personal information maintained by the State agencies and their agents. It gives individuals the right to review their personal information in State agency records, find out who has had access to the information and request changes to inaccurate or irrelevant information.

Lead Agencies accepting funding under the CSP are deemed agents of First 5 California for purposes of the IPA. While local agencies are generally not subject to the IPA, any Lead Agency will nonetheless be deemed an agency of First 5 California and subject to the requirements of the IPA.

First 5 California and its agents are required to comply with several requirements specified at Civil Code, Sections 1798 *et seq.* These requirements generally include: protecting the information from unauthorized use and access, responding to an individual's request for personal information in a timely manner, tracking disclosures of information and providing notification to individuals about how the agency will use the information collected. The Lead Agency is responsible to prevent unauthorized use or disclosure of personal information.

Because the Lead Agencies are collecting and storing personal information of children, parents and teachers either on behalf of First 5 California or in order to provide aggregate information to First 5 California under this RFA, the Lead Agencies are responsible to ensure the secure transmittal and storage of all personally-identifiable information. This security requirement is independent from any procedures or protocols required by the Committee on the Protection of Human Subjects.

The IPA requires each State agency to provide a notice whenever forms are used to collect personal information directly from individuals.

The required content of the notice includes:

- The name of the agency and the division within the agency that is requesting the information.
- The title, business address and telephone number of the agency official responsible for the system of records. (This official responds to IPA requests.)
- The authority for maintaining the requested information.
- The consequences, if any, of not providing any part of the requested information.
- The principle purpose(s) for which the information is to be used.
- Any known or potential authorized disclosures of the information.
- A statement notifying the individual of his/her rights to review records containing personal information maintained by the State agency and its agents.

The CSP 3 Appendix R – Required Notice and Consent for Personally Identifying Information includes such notice and **must** be signed by the participating teachers and parents prior to the Lead Agency's collection of personally-identifiable information from those participants. In addition, the same notice must be included in any other document generated by the Lead Agency to obtain such information from CSP 3 program participants.

R. Overpayment

If it is determined that the Lead Agency received an overpayment of First 5 California funds, First 5 California will seek recovery immediately upon discovery of overpayment by an invoice to the Lead Agency for a refund of the overpayment amount within thirty (30) days after receipt of the invoice.

S. Payments

First 5 California will issue payments for the CSP expenditures on a reimbursement basis upon First 5 California's approval of reimbursement claims submitted in the Claim for CSP 3 Reimbursement Forms 6 A and B. Payments are contingent on compliance with program, administrative and fiscal requirements of the CSP and shall be withheld if all such requirements are not met.

T. Reduction of Program Funding Authority

If First 5 California determines a Lead Agency demonstrates significant under-expenditure of approved program funds of 20% or more in the first year of the program, First 5 California reserves the right to modify the funding allocation for the current and next fiscal year based on the first year expenditures. First 5 California will inform the Lead Agency of its intent to modify the funding agreement and issue a revised Local Area Agreement. First 5 California will initiate this action only after consulting with the Lead Agency to assess its capacity to fully expend the annual CSP funding allocations.

U. Major Program Changes

A major program change includes, but is not limited to the following:

- Budget line item shifts equal to or greater than 15%
- Any subcontractor changes
- Major staffing changes

Major program changes in either or both state or local funds are permissible only upon written approval by First 5 California. The Lead Agency must submit a written request at least 60 days prior to the implementation of the proposed change. If applicable, a Request for Budget Revision (Forms 7A and 7B) should be submitted with the written request describing the major program change and the change to the original Program Budget for one or more fiscal years.

V. Reporting Requirements (General)

The Lead Agency must adhere to all program, administrative and fiscal reporting requirements included in this RFA, including but not limited to the requirements specified in Section VII. In submitting an application in response to this RFA, the Lead Agency agrees to:

- Participate fully in formal evaluation and data collection processes administered by First 5 California and/or its designee, as described in this RFA, including but not limited to the timely and accurate submittal of data into the CSP data system.
- Provide all progress reports, reimbursement requests and evaluation reports specified in this RFA.
- Readily provide substantiation and accounting for all program activities, funds and expenditures (both State and local) of the local CSP in annual independent audits, informal monitoring by First 5 California and/or its designees and upon reasonable request.

Failure to submit all required program, administrative or fiscal reports or data as required by this CSP shall result in withholding payments to the First 5 county commission for this program and may result in withholding payments to the Lead Agency under other First 5 California programs and initiative funding as well.

W. Retention of Program Records

Records substantiating state funds disbursed by First 5 California to the Lead Agency are subject to monitoring, examination and audit by First 5 California or its designee, or the State Auditor, for a period of five (5) years, or local policy retention period (whichever is greater) after final payment of program expenditures. **Adequate and accurate program and expenditure records that document the allowable costs *must* be retained for this period.** First 5 California shall have access to the Lead Agency's offices and/or the local CSP project sites, upon reasonable notice, during normal business hours, for the purpose of interviewing employees and participants and inspecting and copying books, records, accounts, and other material that may be relevant to a matter under investigation, and for the purpose of informal monitoring or determining compliance with the allowable uses of the CSP funds.

If an employee is multi-funded on a time accounting basis, then the employee's timesheet must indicate the actual amount of time spent in each program per day. The First 5 county commission must maintain accurate and verifiable financial data, in accordance with generally accepted accounting principles and standards for governmental entities.

X. Supplement not Supplant

CSP funds must not supplant existing local, state or federal funding; only supplemental costs may be charged. CSP funds are intended to supplement and not supplant local funds. To the extent that the Lead Agency has implemented any early education essential staff funded separately from the CSP, the Lead Agency is required to maintain that existing level of service with separate funding. The CSP funds are intended to supplement the existing level of service.

No project or activity can be approved that proposes to provide a service required by State law. For example, any project to singly provide special education for children with disabilities cannot be approved because special education is already required by State law with special funds appropriated to pay for it. In like manner, basic kindergarten programs cannot be approved for the same reason.

In most cases, compensation for supervisory personnel (including superintendents of schools, directors of education, supervisors of instruction in regular curriculum areas and principals) falls within the category of expenses that would be incurred if a school was not participating in the CSP. Such compensation would not be eligible for reimbursement.

Y. Termination of Agreement

First 5 California retains the option to terminate this Agreement without cause at its discretion, provided that written notice has been delivered to the Lead Agency at least thirty (30) days prior to such termination date. If First 5 California terminates this Agreement at its discretion, the Lead Agency will be entitled to compensation upon submission of an invoice and proper proof of claim, in that proportion which its services and products were satisfactorily rendered or provided and its expenses necessarily incurred pursuant to this Agreement, up to the date when notice of termination is received by the Lead Agency (“the notice date”). The Lead Agency will not be entitled to reimbursement for any expenses incurred for services and deliverables pursuant to the Agreement after the notice date, unless the Lead Agency receives written advance approval from the state.