

REQUEST FOR APPLICATIONS

Quality Counts California

Local Consortia and Partnership Grants

January 2020



Fiscal Years 2019–20 through 2022–23

An electronic copy of the entire application must be submitted

by April 15, 2020 at 5:00 p.m.

Submit all questions via e-mail to support@qualityca.net.

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I. Overview

The California Department of Education (CDE) and First 5 California (F5CA) invite local qualifying agencies to apply for Quality Counts California (QCC) Local Consortia and Partnership Grants. This request for applications (RFA) reflects an evolution of the QCC system and unifies funds from:

- F5CA IMPACT (Improve and Maximize Programs so All Children Thrive) 2020
- CDE QCC Block Grant (now including the California Migrant Program (CMIG) Block Grant)
- CDE California State Preschool Program (CSPP) Quality Rating and Improvement System (QRIS) Block Grant, and
- The federal Preschool Development Grant Birth through Five (B-5) Renewal (PDG-R).

The CDE, F5CA, the California Health and Human Services Agency (CHHS) [which is administering PDG-R], and the Department of Social Services (DSS) will be working together more closely to provide coordinated leadership, strengthen linkages with licensing, and develop a stronger early learning and care (ELC) system in the next phase of QCC. For the purposes of this RFA, the term “the state” refers to California’s state-level agencies or commissions with a role in QCC’s administration, coordination, and funding.

This unified QCC Local Consortia and Partnership RFA comes at a particularly exciting time for ELC in California, with historic new leadership, investment, and a comprehensive vision for an early childhood system from the Governor’s Office. There are two important pending pieces – the Master Plan for Early Learning and Care (MPELC) and the Early Learning and Care Workforce Development Pathways Grant RFA (Workforce Pathways RFA) – that will impact the ELC system in California (see Appendix I for timelines and a brief description of these). This RFA represents the first phase of building a more effective statewide quality improvement system (QIS) utilizing QCC as the unifying framework. The forthcoming MPELC and Workforce Pathways RFA will help guide and further support the vision and implementation of a statewide early learning quality system, including QCC and the QIS, so as the state invests more in quality improvement, it will further align investments under QCC to build a stronger system.

Building on extensive feedback from families, ELC providers and programs, and local and regional leaders, combined with strong leadership from the Governor’s Office and the Legislature, this unified RFA represents a critical step in California’s effort to create an equitable, focused, and high-impact quality improvement system. This RFA asks counties to build stronger and more diverse partnerships, set more specific engagement and quality improvement goals, and move toward a more holistic vision of quality improvement. Based on local and state needs and feedback, this vision includes a growing focus on key topics and the whole child, such as trauma-informed practice; serving the highest impact populations (e.g., children living in poverty, who are experiencing disasters and/or homelessness, etc.); integrating the CDE Child Care and Development Grant (CCDF) quality projects and the *Talk. Read. Sing.*® campaign; engaging families; and creating connections to other services, such as home visiting, to strengthen and align quality improvement efforts. The state recognizes that some counties have already begun working toward elements of this more holistic vision, while this may be newer for other counties. The state is committed to working together to create intentional progress toward achieving this broader vision over the next three years, and will provide

technical assistance and other supports as needed to support each county in accomplishing their goals.

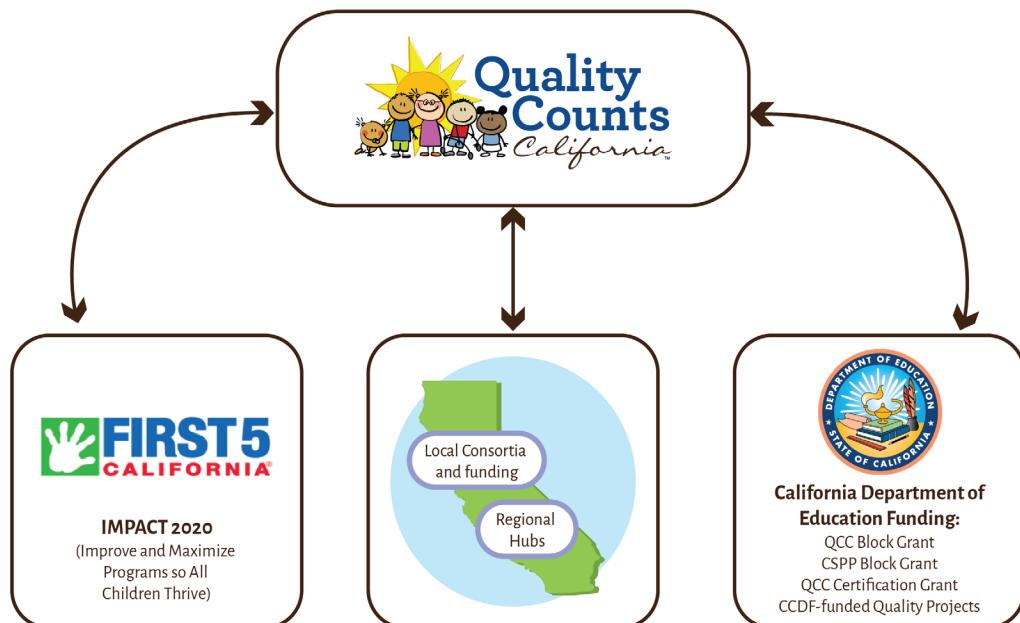
Toward that end, this unified RFA supports lead agencies, as part of a local or multi-county consortium, to administer quality improvement supports to ELC programs under the QCC umbrella. Applicants will be required to develop a single, unified plan to implement QCC and support a broad spectrum of providers in California's mixed-delivery system. As additional funds become available to support quality improvement, local partners will be kept actively informed of any implications for local QCC work, including any necessary adjustments for local implementation.

This RFA summarizes past and current state quality improvement efforts; the purpose and goals of this joint QCC funding; requirements, processes and procedures for the grant application; and the roles and responsibilities of lead agencies following notice of award (see Appendix A for key terms).

A. Introduction

Quality Counts California (QCC) is designed to support continuous quality improvement of ELC programs across the continuum of ELC setting types. QCC is a statewide system of quality supports with activities at the state, regional, and local level, including a QRIS (See Figure 1). QCC helps enhance the quality of ELC programs and informs families about the meaning of different quality levels for children's ELC experiences. The QCC Framework, which was initially developed as part of the Race to the Top-Early Learning Challenge (RTT-ELC) grant and which has evolved over time, sets the foundation for the quality improvement continuum. QCC is funded through a layering of multiple funding sources, including IMPACT 2020, CDE's QCC block grants, and local funding. These combined efforts have resulted in a significant increase in provider participation in quality improvement activities in recent years. For more information on Quality Counts California, visit www.qualitycountsca.net.

Figure 1: Quality Counts California Structure



Although CDE and F5CA grant funds have been announced and allocated separately in the past, they are designed to achieve a common purpose — funding a system of continuous quality improvement support and an infrastructure for assessing, coordinating delivery of, and promoting quality across the spectrum of ELC providers and programs in California. The work of aligning these funding streams has previously fallen to local and regional entities, resulting in potential administrative burdens on grant recipients and mixed results for system coherence.

Through recent feedback, leaders have identified system incoherence and lack of alignment as key challenges. As such, they have called upon the state to unify funding streams and clarify the roles and responsibilities of local consortia and Regional Hubs in the implementation of the state's QIS. This joint RFA represents a first step toward answering that call. This RFA also incorporates new federal funds from the PDG-R through the CHHS Agency. These funds are designed to support local QCC implementation under a single QCC plan.

In addition, this unified application will support historically underserved and under-resourced areas, including child care deserts and tribal programs. *Note: Throughout the RFA, federally recognized tribes are embedded and are part of the regional Consortia led by the Tribal Child Care Association of California (TCCAC). Although the TCCAC has funding for tribes, it is a limited amount of funding at this time compared to the overall funding allocation. It is imperative that local applicants also include tribes in their applications to create a shared plan while learning from tribes and tribal organizations.*

B. Background

In late 2011, California was awarded a \$75 million grant from the U.S. Departments of Education and Health and Human Services Race to the Top-Early Learning Challenge Fund (RTT-ELC). The objective of RTT-ELC was to ensure a successful statewide system to improve the quality of ELC programs and close the achievement gap for children who are “high impact,” such as those who are low-income, dual language learners (DLL), or have disabilities or developmental delays; who are migrant, homeless, or in foster care; and children who reside on “Indian lands” as defined by Section 8013(6) of the Elementary and Secondary Education Act of 1965. At the end of RTT-ELC in 2016, 30 of California’s 58 counties were participating in QCC. After the RTT-ELC grant period, F5CA and CDE transitioned the state’s systems-building work to focus on QCC and continue the state’s momentum and expand quality supports to reach every county.

In an effort to increase equity, the state also recognized the importance of including access to QCC for tribal child care. Through the FY 2017–18 QCC Regional Certification and Coordination Grant, TCCAC became a local consortium grantee and a new QCC region, allowing tribal ELC programs to participate fully in state quality improvement activities. The TCCAC members created health and safety standards for tribal child care centers and launched a QIS. Federally recognized tribes and tribal organizations participating in the regional umbrella of TCCAC have the opportunity to build upon culturally appropriate practices and support quality efforts that acknowledge and represent tribal perspectives.

First 5 IMPACT Background

In 1998, California voters passed Proposition 10, the California Children and Families Act (the Act), which established the California Children and Families Commission, also known as First 5 California (F5CA), to promote, support, and improve the early development of children from the prenatal stage through five years of age. Per the Act, Proposition 10 calls for F5CA to “facilitate

the creation and implementation of an integrated, comprehensive, and collaborative system of information and services to enhance optimal early childhood development and to ensure that children are ready to enter school.”

In 2012, California launched a comprehensive, statewide effort to enhance the quality of ELC environments, with a focus on improving the quality of adult-child interactions. On July 25, 2019, the California Children and Families Commission approved \$103 million for IMPACT 2020 for local, Hub, and infrastructure QIS investments. This represented a renewed commitment to the innovative First 5 IMPACT approach to quality improvement and professional development systems for ELC providers. IMPACT 2020 is designed to address the needs of the whole child and builds upon the success and lessons learned from the initial effort of First 5 IMPACT, which was launched in 2015 and will sunset on June 30, 2020. The implementation of IMPACT 2020 will take place at a local consortium level, supported by Regional Hubs.

The intent of IMPACT 2020 is to work in cooperation with all other ELC quality improvement efforts and investments in California to support the implementation of the QCC Framework. IMPACT 2020 is specifically designed to fund quality improvement expansion and support providers serving high-need communities and populations not already receiving quality support. These include centers; family child care (FCC); family, friend, and neighbor (FFN) care providers; and alternative settings.

CDE CSPP QRIS Block Grant Background

On June 20, 2014, the Governor signed Senate Bill 858, the Education Omnibus Trailer Bill, authorizing the establishment of CSPP QRIS Block Grants, supported annually by \$50 million in state education funds (Prop 98 general funds, which by law are required to be administered by a local education agency). The CSPP Block Grant awards site QRIS block grants at quality rating Tiers 4 and 5 to help address the additional costs associated with reaching and maintaining high levels of quality. At Tier 3, the CSPP Block Grant can provide training and technical assistance (T&TA) support to help programs improve their quality and tier rating. In 2016, in order to ensure equity of access, funds were expanded to include California State Migrant Program (CMIG) sites; these sites are now funded through the QCC Block Grant in order to keep the CCDF QCC funding streams together.

CDE QCC Block Grant Background

In FY 2015–16, the Budget Act included funding through FY 2016–17, expanding CDE’s QIS supports to subsidized infant/toddler programs. When those state funds expired, CDE prioritized allocating CCDF quality funding to continue support to infant/toddler sites and mirror the CDE CSPP QRIS Block Grant. In FY 2018–19, CDE transformed the grant requirements to ensure all subsidized providers and programs caring for children birth through age five could access quality improvement supports.

For FY 2020–21, a total of \$12.8 million in federal CCDF funding is available for the QCC Block Grant, which now includes the funding from the CMIG Block Grant. The CDE QCC Block Grants prioritize providers within the state’s subsidized ELC system, including direct contract infant/toddler providers (CCTR), center-based and home-based providers accepting state child care subsidies (e.g., vouchers), state migrant programs, and tribal child care programs.

PDG-R Background

In late December 2019, California was awarded a competitive PDG-R of \$13,414,500 annually for three years, or \$40,243,500 total, by the federal Health and Human Services (HHS), Administration for Children and Families (ACF), Office of Child Care (OCC). The Governor appointed the CHHS Agency as the lead for this work, in partnership with CDE.

California will direct \$3.15 million of the total annual amount awarded in year 1, and then \$3 million in years 2 and 3 of the total awarded PDG-R funds, to expand local QCC Consortia capacity to support children, families, and the early childhood workforce. The PDG-R grant funds will be incorporated into the QCC Block Grant. A portion of it will be distributed to QCC consortia for these activities using an equity-based formula that accounts for the proportion of high-need children in communities served by each consortium and an enhanced base for addressing rural community needs.

Approximately \$1.5 million of the annual award is to be split between the following activities:

- Enabling consortia to provide professional development (PD) and T&TA supports that build ELC and home visiting (HV) capacity and quality for high-impact populations as determined by community need;
- Expanding access to children and families eligible for but not serviced by existing programs, including infants and toddlers (I/T), children in rural communities, and/or children experiencing significant trauma (e.g., homelessness, foster care, disasters, etc.); and
- Creating community partnerships for family engagement with PDG Parent Cafés, which utilize the Strengthening Families framework as their model.

The remaining funds, approximately \$1.5–1.6 million annually of PDG-R QCC funding will be distributed among interested QCC Consortia that apply for funds to implement one or both of the following:

- Community partnerships with libraries to broaden family engagement and create innovative training for family, friend, and neighbor (FFN) and/or family child care (FCC) providers; and/or
- Partnerships with Local Education Agencies (LEAs) to support ELC transitions to TK and/or kindergarten, including through pilot efforts to leverage the model established by the work of the Office of Head Start, Los Angeles COE, and the Head Start Collaboration Office as part of the Occupation Health & Safety Transition Summit Demonstration Project, to enhance and support successful transitions for all children and their families from preschool to TK/K.

C. Authority

Each of the funding sources has different authority and governing statutes.

First 5 IMPACT 2020

California Health and Safety Code (HSC) Section 130105(d)(1)(B) authorizes the expenditure of funds from the California Children and Families Trust Fund to ensure that children are ready to enter school. It also authorizes the development of programs focusing on education, including,

but not limited to, the development of educational materials, professional and parent education and training, and technical support for county commissions. HSC Section 130125(i) provides F5CA the authority to allocate funds to county commissions to carry out the purposes of the Act.

CDE CSPP QRIS Block Grant

The CDE CSPP Block Grant is authorized by state and federal law and is funded by both state and federal funds. The Grant is authorized in California Education Code Section 8203.1. State Proposition 98 funds in the amount of \$50 million are appropriated in California's annual Budget Act in item 6100-196-0001 to support CSPP programs.

CDE QCC QRIS Block Grant

The CDE QCC Block Grant is authorized by the Federal Child Care and Development Block Grant (42 U.S. Code, Section 9858e) and Title 45, Section 98.53(a)(3) of the Code of Federal Regulations. It is part of California's CCDF State Plan and corresponding CCDF Quality Projects. The CDE allocates \$12.8 million annually to the QCC Block Grant to support ELC programs in the state subsidized B-5 ELC system including those accepting subsidy vouchers from families and for CMIG. For more information, see Appendix F.

PDG-R

The Preschool Development Grant Birth through Five (PDG B-5) program is a \$250 million competitive federal grant designed to improve states' early childhood systems by building upon existing federal, state, and local early care and learning investments. PDG B-5 was established in 2015 through the bipartisan Every Student Succeeds Act (ESSA), which reauthorized the Elementary and Secondary Education Act (ESEA).

In December 2019, California was awarded a PDG-R grant in the amount of \$13,414,500 annually for three years, or \$40,243,500 total. As part of this grant, the lead fiscal agency, CHHS, will direct, via an interagency agreement with CDE, \$3.15 million in year 1 and then \$3 million in years 2 and 3 of these PDG-R to fund expansions of local QCC consortia quality improvement efforts, as long as federal funds remain available. See Appendix F for further information.

II. Program Description

A. Grant Information

This application covers a three-year grant period beginning July 1, 2020, and ending June 30, 2023. Funds are available to each applicant based on funding streams and allocations specified in this RFA. The three-year total grant budget for this unified RFA is approximately \$266.85 million to be distributed across local consortia representing all 58 counties; for CDE funding, the annual amounts are dependent on the annual budget act as well as amounts of federal CCDF and will be updated each July following the budget execution.

The total funding amount annually for the QCC Local Consortia and Partnership Grants is \$89.05 million in year 1 and \$88.9 million in years 2 and 3, which includes:

- \$50 million annually for the CDE CSPP QRIS Block Grant.

- \$12.8 million annually for the CDE QCC Block Grant.
- \$23.1 million annually (\$69.3 million over three fiscal years) for F5CA IMPACT 2020.
- \$3.15 million in year 1 and \$3 million planned for years 2 and 3 from PDG-R, with final allocations determined based on interest and proposed local plans.

B. Eligibility Requirements

Qualifying agencies may differ by funding source, but only a single application may be submitted per county or multi-county Local QCC Consortium. One application for tribes/tribal organizations will be accepted from TCCAC. Additionally, it is highly encouraged that tribal settings be included locally as part of the county or multi-county consortium as well as being eligible for participation in the TCCAC QIS.

The selected lead agency(ies) for each consortium must be able to collaboratively lead the local QCC and ensure all required partners have a voice and a role in the QCC system and its work. Lead agencies must appropriately leverage CCDF Quality Projects and ensure that the development and delivery of QCC in their communities are aligned with the structures and processes developed by the state leadership team, the MPELC (when it is released in October 2020), and the work of the QCC Regional Hubs.

Lead agencies will serve as the fiscal agents for the funding. As such, lead agencies must have the capacity to carry out and implement similar programs and to meet the specific program and fiscal requirements of the QCC Local Consortia and Partnership RFA in support of QCC as a whole. Local or multi-county consortium applying must select a lead agency (or up to two lead agencies) to administer all the funding sources included in this RFA.

The lead agency(ies) must be identified in the LOI. For more information on the LOI, see Appendix D.

Qualifying agencies, depending upon funding stream, include:

- F5CA IMPACT 2020: All Local Public entities (LPEs) are eligible to apply. However, First 5 county commissions have first right of refusal to serve as the lead agency.
- CDE QCC Block Grant and PDG-R: All LPEs are eligible to apply unless they are determined not to be in “good standing” (see Appendix A for definition of “good standing”). A single grant award notification (GAN) will be issued for both funding sources.
- CSPP QRIS Block Grant: Pursuant to Proposition 98, a local education agency (LEA) must be the lead agency for CSPP QRIS Block Grant funds. All LEAs are eligible to apply unless they are determined not to be in good standing. What constitutes an LEA for purposes of this funding is defined in Appendix A.

Note: An LPE applicant must be located within the county it wishes to serve or within a participating county if more than one county wishes to establish a collaborative multi-county consortium for this funding. If eligible agencies within a county choose not to apply for this RFA, the state will work with a multi-county consortium or a Regional Hub to include that county. The intent is to ensure equity of access to quality improvement supports for all sites serving children who are high-impact regardless of location and county or setting type.

Multi-county Consortia: Multi-county partnerships are encouraged, particularly among rural/smaller population counties.¹ If there is more than one lead agency, the lead agencies must determine together how the multi-county consortia funds will best support their partnership and work together. For ease of contracting, funds will be distributed to the IMPACT 2020 lead agency with the intent of funding staff positions and activities that provide coordination and that can be invested in the other lead agency and/or members as appropriate for local needs. Coordination must be inclusive of all funding streams and counties in the consortium and may be subcontracted to another entity in the consortium. The consortium members must collaborate to submit a single application.

The multi-county consortium lead agency must:

- Obtain signatures from partner member agencies for each participating county in the application.
- Serve the minimum number of sites identified in this RFA for counties included in the consortium (see Appendix B).

Consortia need to be consistent throughout all applications; individual counties cannot apply for different QCC funding streams in multiple applications.²

Through IMPACT 2020, additional funding will be available to lead agencies to incentivize multi-county consortia to hire QCC coordinators, maximize funding, and create efficiencies to reduce administrative burdens on counties with fewer resources. In the case of a multi-county consortium, the lead agency for the IMPACT 2020 funding stream of QCC is eligible to receive up to \$50,000 per additional county, per year. The funding allocation was developed using 15 percent of an average QCC funding total for each additional county that joins the multi-county consortium. This funding will be included in the IMPACT 2020 grant award to the lead agency designated by the consortium, but it is intended to be shared across consortium counties and lead agencies, if there is more than one. For example:

- Lead County A: Annual QCC Allocation = \$1,000,000
- Additional County B: Annual QCC Allocation = \$60,000; additional funds to lead is \$9,000 annually
- Additional County C: Annual QCC Allocation = \$1,000,000; additional funds to lead is \$50,000 (maximum amount) annually
- Additional annual funds provided to Lead County A for including County B and C are \$59,000

Match ratios and required local match amounts will remain as indicated in Appendix H and will not change if a multi-county consortium incentive award increases the overall budget.

The state recognizes that the current Regional Hub structure does not conform to the planned transition to CCSESA regions. If a multi-county configuration overlaps either current or future

¹ Multi-county incentive is not applicable to TCCAC.

² NOTE: This also will apply to the QCC ELC Workforce Development Pathways RFA.

regional boundaries and/or there is currently a different multi-county configuration for the different funding sources, please reach out to the QCC State Support Team at support@qualityca.net to review and discuss prior to submitting the LOI.

C. Goals

Through this RFA, QCC will increasingly become the organizing structure for a shared vision of quality and targeted quality improvement support for California's mixed-delivery ELC system. The objective of QCC is to support California's youngest children and their families through providing healthy and enriching environments; enhancing learning opportunities; strengthening the responsiveness of adult-child interactions in ELC settings; and efficiently connecting child, family, and program supports.

QCC specifically focuses on children, families, and communities of greatest need ("high impact"), including those in tribal communities and rural areas, migrant populations, children who have experienced trauma, children who are homeless, and infants and toddlers as a way to support children who would otherwise be underserved (see Appendix A for definition of "high impact"). QCC is designed to facilitate access to fully inclusive settings for all children, ensure culturally and linguistically responsive strategies informed by the value of equity across those settings, and engage and support programs and providers, early educators, children, and families.

Over the course of the three years of funding included in this RFA, local communities will be expected to increasingly use QCC as the unifying umbrella to support more efficient and targeted use of federal, state, and local investments to improve quality. This unified RFA brings new focus to integrating the CCDF-funded quality projects and the *Talk. Read. Sing.*® campaign into an aligned QIS to maximize resources and strengthen the overall ELC mixed-delivery system. Local consortia also will actively support family engagement and work with their local resource and referral (R&R) agencies and other partners to provide families with the information and resources they need to optimize their children's development and learning, and school readiness, and choose ELC settings that further enhance their children's growth and healthy development.

As California's ELC landscape continues to evolve, consortia will be required to review and update (as needed) their plans and budgets annually to reflect changes in policy and focus, and to align with priorities outlined in the MPELC.

D. Allowable Activities and Costs

Applicant budgets for the use of grant funds will be reviewed, and any items that are deemed non-allowable, excessive, or inappropriate will be eliminated. Generally, all expenditures must contribute to the goals and objectives outlined in Section 1: Overview.

Funds can be used only for costs incurred for the successful implementation and administration of QCC and include the following allowable expenditures (either performed by the lead agency or a subrecipient):

- Data collection and storage
- QI (stipends, curricula, etc.)

- Rating and monitoring
- Communications and outreach
- Materials and supplies; marketing materials to promote awareness of QCC among ELC programs and the community at large
- Meetings and conferences (*Note: for CDE funds, any conference expenses must be approved in advance*)
- Rental of a venue to provide professional learning (*Note: for CDE funds, the expense must be approved in advance*)
- Publication and printing costs
- Equipment (non-furniture/non-capitalized) with a unit cost of \$5,000 or less (unit cost includes all costs required to make the item serviceable, such as taxes, freight, installation costs, site preparation costs, etc.)
- Training specifically related to QCC design or implementation, including professional development and technical skill development
- In-state travel specifically related to QCC (this will be reimbursed in accordance to state travel guidelines; all costs exceeding state rates will not be covered through these funds)
- Out-of-state travel specifically related to QCC (this will be limited to three consortium staff members or contractors per fiscal year and must receive prior F5CA or CDE approval, depending on funding source; see the Attorney General's website at <https://oag.ca.gov/ab1887> for a current list of states subject to the AB 1887 travel restrictions due prohibition of state-funded travel to states with discriminatory laws)
- Agreements with one or more COE, LEA, institution of higher education, not-for-profit educational service provider, consortia member, or community-based organization to assist in fulfilling the responsibilities outlined in Section 1: Overview.

F5CA and CDE will reimburse lead agencies for incurred administrative costs (both direct and indirect as defined below) related to QCC. For budgeting and reimbursement purposes, administrative costs directly related to QCC should be reflected in the Personnel and/or Operating expenditure categories.

- “Direct costs” include the salaries, wages, and benefits of employees while they are working exclusively on the delivery of a specific project/service (preparing action plans, developing budgets, monitoring activities, etc.), as well as materials, supplies, equipment, utilities, rent, training, travel, etc. These costs should be easily identifiable with a specific project or directly assigned with a high degree of accuracy.
- “Indirect costs” are shared costs that benefit or support multiple projects/services administered by a lead agency and that cannot be readily identified with a specific project/service (e.g., legal, accounting, human resources, procurement, facilities, maintenance, technology, etc.). These costs should be apportioned by a systematic and rational allocation methodology; the methodology should be documented by the lead agency

and available upon request. The lead agency shall identify and justify direct costs and indirect costs, including employee fringe benefits, in accordance with State Contracting Manual Volume I, Section 3.17.2, subsection A.1.

E. Non-Allowable Activities and Costs

Funds provided under this grant may not be used for the following purposes:

- Supplanting of existing funding and efforts
- Direct service of ELC (e.g., funding of slots) and/or home visiting or other program services
- Acquisition of equipment for administrative or personal use
- Acquisition of furniture (e.g., bookcases, chairs, desks, file cabinets, tables) unless it is an integral part of an equipment workstation or it provides reasonable accommodations to students with disabilities
- Consumables (e.g., food services, refreshments, alcoholic beverages, banquets, meals, diapers)
- Purchase of space
- Payment for memberships in professional organizations
- Purchase of promotional favors, items, or memorabilia, such as bumper stickers, pencils, pens, T- shirts, gifts, or souvenirs provided to QCC staff and partners
- Subscriptions to journals or magazines
- Bad debts, including losses (whether actual or estimated) arising from uncollectible accounts and other claims, related collection costs, and related legal costs
- Costs of advertising and public relations designed solely to promote the governmental unit, lead agency, or partners; or promotional items or memorabilia, including gifts or souvenirs
- Entertainment, including amusement, diversion, and social activities, and any expenses directly associated with such costs
- Goods or services for personal use of the lead agency and partner employees regardless of whether the cost is reported as taxable income to the employees
- Legal costs incurred in defense of any civil or criminal fraud proceeding; legal expenses for prosecution of claims against the State of California
- Lobbying costs, whether direct or indirect
- Political activities
- Organized fund-raising, including financial campaigns, solicitation of gifts and bequests, and similar expenses incurred to raise capital or obtain contributions

- Materials and supplies for participating sites not tied to site improvement plan
- Current year agreement funds to pay prior or future year obligations
- Capital assets such as equipment, land, buildings, vehicles, etc. Unallowable costs include all costs required to make the item serviceable (e.g., taxes, freight, installation costs, site preparation costs)
- Facilities renovation, improvements, and repairs
- Idle facilities or idle capacity except to the extent they are: 1) necessary to meet fluctuations in workload, or 2) necessary when acquired and are now idle because of changes in program requirements, efforts to achieve more economical operations, reorganization, termination, or other causes that could not have been reasonably foreseen

III. Accountability, Responsibilities, and Requirements

A. State Responsibilities

CDE and F5CA are committed to the shared development, promotion, and implementation of policies related to cost-savings, efficiencies, and overall coordination with state agency partners, including, but not limited to, the California Health and Human Services Agency (CHHS) and the California Department of Social Services (CDSS) and other stakeholders, to benefit California's ELC system as a whole. The state is likewise committed to communicating transparently regarding any potential changes in direction or focus of the state's many quality initiatives and the MPELC as early and thoroughly as possible.

The following describes the state's responsibilities to support both Regional Hubs and Local Consortia across the QCC System.

Data Systems

To ensure there is sustained data capacity throughout California, F5CA will continue its investment in coordinated local data systems through Regional Hubs until the state completes the required Project Approval Lifecycle [<https://cdt.ca.gov/policy/simm-19/>] and other funding is secured, or if needed through 2023. The purpose of this data capacity is to improve the quality, efficiency, and consistency of data available to relevant decision-makers detailing QCC administration, rating processes and element verifications, quality improvement strategies, and education and credential verifications for the ELC workforce. Likewise, the state is committed to supporting data visioning among stakeholders (state and local agencies) toward better integrated ELC data (e.g., QRIS, California Early Care and Education Workforce Registry, family eligibility for subsidized care) with the potential development of an Early Childhood Integrated Data System (ECIDS). Developing an ECIDS is a priority of the state and is funded, along with other state ELC data system needs, as part of PDG-R system-level activities.

Rating System

F5CA will maintain the current State Master Anchor system, with Master Anchors housed at both CDE and F5CA, to support and maintain Regional Hub ERS Anchors for all three ERS tools. The state will maintain an updated Implementation Guide, which will govern all rating and assessment policies and procedures. All rating, assessment, and observation processes and

procedures shall follow the guidance and requirements set forth in the QCC Implementation Guide.

Evaluation

The state will coordinate a QCC evaluation anchored by local data reporting and complemented by additional statewide system information. During the QCC Local Consortia and Partnership Grants term, the state will collect statewide information to communicate the work of QCC, its importance, and progress made. Results will be shared with the state administration (e.g., Governor's Office and Department of Finance), the Legislature, the State Superintendent of Public Instruction, CHHS, federal Office of Child Care (required component of CA CCDF State Plan and Annual Quality Performance Report), the California Children and Families Commission, the Early Childhood Policy Council, advocates, and other partners. Key objectives include:

- Engage and inform parents and families
- Improve adult-child interactions
- Expand access to quality ELC for our most high-impact children and providers, including increasing the number of sites with the features of quality correlated with improving children's healthy development and learning to support improved school readiness
- Expand the diversity and the number of ELC sites participating in QCC
- Support workforce development for the full spectrum of early educators and providers
- Ensure data-driven continuous quality improvement
- Expand partnerships to support transitions
- Implement sustainable systems at scale

QCC reports summarizing participation and enrollment will be submitted annually by the lead agency(ies) using data collected via local data systems, reporting, and other data collection efforts (see Data Collection and Reporting Requirements, below under Local Consortia lead agency Responsibilities).

Evaluation support will be offered to local and regional evaluators through F5CA to improve local data collection practices and planning, and to highlight best practices and outcomes for use within and across regions. Evaluation contractor(s) may support the state as well as local entities such as COEs, Regional Hubs, First 5 county commissions, or consortia, in framing evaluation messaging for legislators, other decision-makers, and the public.

Communications

The state will continue to support the QCC system through digital communication strategies (e.g., QCC Website, QCC biweekly e-mail communication, file sharing tools, and social media presence) as well as the development of messaging and outreach about the value of quality ELC, in alignment with the *Talk. Read. Sing.®* campaign.

Quality Improvement (QI) Supports

In collaboration with Regional Hubs, the state will provide infrastructure support to enhance statewide capacity to provide quality improvement to ELC programs and providers. The state will ensure equitable access across consortia to professional development opportunities and support regional hubs and local consortia to build capacity around equity and cultural responsiveness through a new state equity consultant, funded through PDG-R.

Regional Hubs will continue to support local consortia by providing specialized quality improvement support or technical assistance to consortia, collectively or individually, as needed. Regional Hubs will coordinate regional activities and leverage state and regional resources to implement QRIS elements, build local expertise and capacity, reduce duplication of effort, and maximize state and other available supports. Specifically, the state will support Regional Hubs to:

- Manage local consortia access to high quality training and professional development and coordination of CCDF Quality Projects
- Promote consistency and access to coaching supports across consortia
- Facilitate regional sharing of best practices and strategies around engaging and supporting family, friend, and neighbor care (FFN) and alternative settings in QCC, and
- Build capacity around equity and cultural responsiveness through the new state equity consultant staff position.

B. Local Consortia Lead Agency Responsibilities

Lead agencies will support quality improvement of ELC settings in their communities by providing:

- Outreach and engagement
- Program assessments for QI purposes
- Program assessments for rating purposes
- Incentives
- Coaching
- Professional development (PD) and resources to participating sites and providers³
- Community education opportunities integrating the *Talk. Read. Sing.*® messages with parents and families
- Support and direction for integrating, as appropriate, CDE CCDF quality projects and/or other relevant state projects, such as the Emergency Child Care Bridge Program for

³ Support for individual staff PD and workforce supports will be primarily provided through the forthcoming *Early Learning and Care Workforce Development Pathways RFA (Workforce Pathways)*, which will be released in late winter 2020.

Children (Foster Care Bridge), into their unified quality improvement approaches (see Appendix A: Key Terms for a list of CCDF Quality Projects and contacts)

The QCC Local Consortia and Partnership funds are not intended to fund the creation of new ELC settings or for direct services; therefore, no project or activity can be approved that proposes to provide direct services (e.g., home visiting services, increasing ELC program slots, teacher/provider salaries, or physical location such as the rent for an ELC site). While the funding sources may support different settings, the specific resources funded for activities such as coaching, family engagement specialists, training opportunities, and other incentives not tied to direct-site or individual-level stipends or site block grants may serve the entire spectrum of program types. For example, a coach supervisor may be funded with IMPACT 2020, but also can supervise coaches working with both CDE QCC Block Grant and IMPACT 2020 sites, and vice-versa.

Lead agencies failing to meet the compliance requirements risk loss of reimbursement in full or in part, or denial of continued eligibility. (See specific funding terms and conditions for each funding source within the appropriate Appendix).

Required Consortium Members

The lead agency(ies) is responsible for developing and/or maintaining a consortium consisting of organizations with the same goals and objectives to improve the quality of ELC in the community. To ensure an integrated quality improvement system, member organizations should have a role in QCC that will need to be reflected in the application and the local QCC Plan (See Lead Agencies Contacts and Signatures, and Consortium Members' Contacts and Signatures Sections of the Application). A signature page template can be found at https://drive.google.com/drive/folders/1b0MBMhjyWBKEkq4sk7xbwM9de_Euxti2.

Program Implementation Requirements

Each consortium must develop a single, unified QCC Plan to meet county-specific site targets for specific populations served (as referenced in the Target Sites and Populations Served section below) and must meet the set goals while adhering to the guidance and requirements set forth in this RFA. These include, but are not limited to, specific use of categorical funds, reporting requirements, quality improvement activities supporting participating sites, administrative oversight, and maintaining and expanding local partnerships for increased efficiencies and innovation to support local ELC settings.

Each consortium must implement QI supports, incentives, and other QI projects intended to support and expand the quality of ELC settings and should address the needs of the whole child, including health, child development and learning, and family strengthening through the ELC system.

Target Sites and Populations Served

QCC Local Consortia and Partnership lead agencies are required to support sites across California's mixed-delivery B-5 ELC system including FFN, FCC, center-based, and alternative settings. The state's children and families targeted by QCC should reside in high-impact (e.g., high-need) communities, including rural communities, communities experiencing significant trauma, or otherwise underserved communities; and attend ELC settings across the ELC

spectrum including sites outside of California's subsidized ELC system, such as settings serving infants and toddlers and children experiencing homelessness.⁴

Figure 2. Eligible ELC settings for each QCC funding source include the following:

ELC Funding Sources/Categories	IMPACT 2020	CSPP QRIS Block Grant (Must have a CSPP contract to be eligible)	QCC-PDG-R Block Grant
FCCHEN-Family Child Care Home Education Networks	-	FCC	FCC with CFCC or CCTR contract
California State Preschool Program (CSPP)	-	Center	-
Early Head Start	Home Visiting Component	-	Center, Home Visiting Component
Head Start	-	-	Center
Private (parent pay)	Center, FCC, FFN	-	Center, FCC, FFN ⁵
Migrant Head Start	Center	-	Center
Migrant Program (CMIG)	-	-	Center
Migrant Alternative Payment Program (CMAP)	Center, FCC, FFN	-	Center, FCC, FFN

⁴ CDE funding prioritizes sites in the subsidized ELC system including those in CalWORKS Stage 1.

⁵ If not serving families with subsidies, these sites should not be supported by the QCC-PDG-R funding stream unless part of a consortium strategy to increase providers participating in the subsidy system.

Tribal Head Start	Center	-	Center
Tribal Early Care and Education Programs	Center, FCC, FFN	-	Center, FCC, FFN
General Child Care (CCTR)	-	-	Center, FCC
Alternative Payment Program (APP)/Voucher	Center, FCC, FFN	-	Center (licensed and license-exempt), FCC, FFN
Other Public or Community Funding	Family Resource Centers, Home Visiting Programs, Community Based Organizations, Libraries, Other Alternative Settings	-	Family Resource Centers, Home Visiting Programs, Community Based Organizations, Libraries, Other Alternative Settings

To facilitate the expansion of participation to new providers and programs, lead agencies and members must complete a local needs assessment no later than December 31, 2020, to identify high-impact communities, understand provider and program saturation, and inform outreach strategies. A Local Planning Council (LPC) needs assessment must be used as the primary source, and must include the Early Learning Needs Assessment Tool (ELNAT) (<http://elneedsassessment.org/>). The following tools also may be used as secondary state or local sources:

- Preschool Development Grant Birth through Five Needs Assessment
- Strong Start Index (<https://strongstartindex.org/>)
- Early Development Instrument (EDI) (<https://edi.offordcentre.com/>)
- Other locally identified tools or reports (e.g., local Head Start program Needs Assessment)

Collectively, the local needs assessment should document the strengths and needs of the full ELC system and inform the development of the QCC Plan.

Lead agencies must meet system-wide targets as well as IMPACT 2020, CSPP Block Grant, and QCC-PDG-R Block Grant targets outlined in Appendix B. Timelines and reporting processes for meeting targets are described below.

Fiscal Requirements

Lead agencies must adhere to relevant CDE and F5CA accounting, reporting, and auditing standards, including the use of the QCC Reporting Portal (Portal). The Portal will house all reporting templates, approved applications, grant awards, narratives and other reporting features, eliminating the need for and allowance of submittal through paper or electronic mail. Complete instructions for using the Portal will be provided by CDE and F5CA in Spring 2020. If there are any delays in this availability, an alternate route for submission will be provided.

Lead agencies must:

- Account for revenues and expenditures (both state and local) for the First 5 IMPACT, CSPP Block Grant, and QCC-PDG-R Block Grant funds separately from other programs/projects.
- Declare any unexpended First 5 IMPACT, CSPP Block Grant, and QCC-PDG-R Block Grant funds.
- Meet IMPACT 2020 match requirements (see Appendix H). Counties may not use CSPP Block Grant funds as a match source. F5CA and CDE encourage lead agencies to actively seek ways to strategically add funds or other state and local resources to their budgets.
- Identify personnel who directly serve the settings through coordination, training and technical assistance, coaching, site recruitment, and other day-to-day operations as either IMPACT 2020, CSPP Block Grant, QCC-PDG-R Block Grant-funded personnel in budgets.
- Follow the relevant financial guidance for each funding stream, as outlined in Appendices C–E.
- Provide documentation pertaining to QCC implementation, including, but not limited to, evaluation data, application, budget and reimbursement documents, APRs, etc., as requested by the state.

Submittal and approval of a budget is required before any invoices can be submitted and/or approved. Lead agencies also must submit for approval a corresponding narrative that describes expenditures related to each budget category and line item within the budget template (available at https://drive.google.com/drive/folders/1b0MBMhjyWBKEkq4sk7xbwM9de_Euxti2) using the Portal, or alternate means, as noted above. Some budget parameters vary by funding source. Specifically, lead agencies must submit the following:

- **Three-year Budget and Narrative for IMPACT 2020.** Budget revisions will be required if any budget category change exceeds 20 percent of the approved three-year budget total.
- **Annual budgets for CSPP Block Grant and QCC-PDG-R Block Grant funds⁶.** Budget revisions will be required for moving funding from one category (Site Block Grants, Quality Improvement Activities or Rating Activities) to another. Budget revisions to move funding between line items within a category are not needed. Should an extension of the annual grant be necessary, the request must be received by the CDE by April of the grant year.

⁶ Funds are dependent on an annual federal and state budget process. If federal or state funds are not allocated at the same level or are changed for purpose, this funding stream will be decreased or eliminated accordingly.

- **Quarterly Invoices for Each Funding Source.** Lead agencies for each funding stream will submit quarterly invoices within a three-week reporting window following the end of each quarterly reporting period. All quarterly invoices will be submitted through the QCC Reporting Portal and include a narrative component for each budget category and line item within the invoice template. Any invoice received outside of the three-week reporting window without prior approval (extension requests must be submitted at least 10 days in advance of the closure of the reporting window) will be required to wait until the next subsequent quarterly reporting period. All lead agencies for all consortia are required to submit an invoice to close out each fiscal year within three months after the fiscal year ends unless otherwise indicated and approved.

For each funding source, applicants will ensure these combined funds supplement existing funds and do not supplant other state and local funds.

To receive reimbursement for QCC expenditures, lead agencies must:

- Have an approved grant, which includes Budget Template and Narrative setting forth the planned expenditures.
- Submit quarterly reimbursement invoice and narrative within the required timeline, via the QCC Reporting Portal.
- Maintain accurate fiscal data, in accordance with generally accepted accounting principles and standards for governmental entities and report actual expenditures by category.
- Maintain documentation to substantiate that all costs are reasonable, necessary, allowable, and allocable to the grant (e.g., invoices, receipts, agreements).
- Maintain time and effort records to support all salaries, wages, and benefits charged to the grant in accordance with the California School Accounting Manual. If the employee works on more than one activity or cost objective, the lead agency must maintain time and effort records to support the distribution of the employee's salary or wages among the activities or cost objectives.
- Certify that the IMPACT 2020 match requirement has been satisfied (for IMPACT 2020 funding only)
- Retain all records related to this grant for at least five years; or when an audit has been requested, until the date the audit is resolved, whichever is longer.

F5CA and CDE will reimburse lead agencies in arrears for allowable expenditures upon receipt and approval of Reimbursement Invoice via the Portal, or alternate means, as noted above. TCCAC may follow a different process with the state, based on tribal sovereignty and the unique structure of the organization. Payment will be made in accordance with, and within the time specified in, Government Code, Part 3, and Chapter 4.5, commencing with section 927.

Rating Requirements

Rating requirements vary by funding source:

- CSPP QRIS Block Grant: Ratings required for sites to be eligible to receive site QRIS Block Grants
- IMPACT 2020: Rating optional
- QCC-PDG-R Block Grant funding: Rating optional but required for sites to be eligible to receive site QRIS Block Grants and strongly encouraged for other licensed sites to better inform parental choice and inform evaluation of the QCC investments in quality improvement

Keeping with the goal of providing families with information to inform their ELC decisions, sites that have been rated must have their ratings publicly available, regardless of which funding source paid for the rating. For funding streams in which ratings are not required, ongoing classroom/site assessments are encouraged to support data for continuous improvement and inform QIPs.

To support ongoing rating:

- Consortia will ensure assessors meet the qualifications as outlined in the QCC Implementation Guide, and will maintain an appropriate degree of rigor, including inter-rater reliability, in their rating processes.
- CSPP site ratings will be funded first with CSPP Block Grant funds, with up to 20 percent allowable block grant expenditure on assessments and ratings. Other funds can be used for assessing and rating CSPP sites, but only if the CSPP Block Grant rating funding is exhausted.
- The QCC Block Grant and IMPACT 2020 allow for up to 20 percent of grant funds to be invested in formal ratings. This is in recognition that many sites previously assessed or rated under the QCC-PDG-R Block Grant and First 5 IMPACT may desire to complete a rating cycle or demonstrate improvement from a previously awarded rating. While IMPACT 2020 does not require any site ratings, this will allow local consortia to support ratings for the continuum of QCC participating sites including state and federally funded programs.
- Regional Hubs will be responsible for maintaining a regional anchor system (to ensure inter-rater reliability) until management of the rating process is transferred to a statewide entity or agency. Regional Hubs may choose to use a portion of Hub funding for site ratings, as appropriate.
- All formal rating processes and procedures shall follow the guidance and requirements set forth in the QCC Implementation Guide.

Quality Improvement Requirements

Lead agencies will be responsible for ensuring that outreach and recruitment are conducted across the full spectrum of ELC settings and support participating sites in improving quality. Plans will include steps to integrate relevant state-funded quality projects such as the CCDF Quality Projects and/or other relevant projects, as appropriate, into quality improvement activities, including coaching, to meet local needs.

In addition, lead agencies will be responsible for ensuring QCC site participation in the following activities, at a minimum:

- **Develop Quality Improvement Plans (QIP):** All participating sites and individuals directly receiving support must have a QIP completed, either jointly with the site or on behalf of the provider (e.g., FFN). All QIPs must include consistent information describing, at a minimum: QI goals, actions to achieve the goals, resources needed to achieve the goals, and a timeline. A standardized QIP form can be found at https://drive.google.com/drive/folders/1b0MBMhjyWBKEkq4sk7xbwM9de_Euxti2. Consortia may choose to use the standardized QIP form or develop their own, provided all elements are included with similar breadth and depth and can be reported to the state efficiently.
- **Ensure Participation in California Early Care and Education Workforce Registry (Registry):** The Registry documents essential information about the ELC workforce in California. By December 31, 2020, QCC lead agencies and key partners will develop data collection procedures and a plan to execute a county Data Sharing Agreement with the Administrator of the Registry, covering all lead and funded partner agencies within the consortium. By July 1, 2021, QCC lead agencies must ensure that participating site lead teachers, site administrators, FCC owner/operators, coaches, and trainers create and maintain a complete Registry profile, which includes submission of qualification documentation and verification of current employment. After July 1, 2021, newly hired personnel and administrators, identified above, will have 90 calendar days to submit documentation for a Registry profile. (Alternative settings and FFN do not need to participate in the Registry.) PD accessed through the registry training calendar will be documented in the Registry by PD providers. For additional information regarding the benefits and functions of the California Early Care and Education Workforce Registry, please visit the Resource Page (<https://www.caregistry.org/index.cfm?module=participantResources>) and the Registry County Integration Toolkit ([https://www.caregistry.org/_participant_resources/Registry_County_Integration_Toolkit_Final_\(with_May_date\).docx](https://www.caregistry.org/_participant_resources/Registry_County_Integration_Toolkit_Final_(with_May_date).docx)).
- **Provide QI supports:** Consortia will be responsible for identifying the QI supports needed by participating programs and delivering customized QI supports to meet programs' QIP goals. This could include coaching, incentives, and other supports to ensure effective and responsive learning environments for all children.
- **Serve as the QI umbrella to holistically set and implement supports to address quality improvement priorities:** Over the course of the three years of this funding, with support from the state, local consortia should integrate and analyze local feedback and needs assessment data to implement local quality improvement supports that address:
 - Supporting children who have experienced trauma, including:
 - Supporting links to screening for ACEs and implement trauma informed care
 - Improving services for children and families experiencing trauma, including identifying children and families experiencing homelessness, connecting R&Rs to staff supporting children and families experiencing homelessness through other agencies, including LEAs and Head Start, and make appropriate referrals to ELC programs for which they are eligible
 - Prioritizing support for ELC programs in communities experiencing disaster as well as those serving children in foster care (e.g., partnership with Foster Care Bridge)

- Connecting programs to more intensive supports through other projects (e.g., the CA Inclusion and Behavior Consultation (CIBC) Network) to deploy early mental health consultants (EMHCs) to QCC sites
- Supporting children with disabilities, including:
 - Supporting programs with universal design, T&TA on inclusive supports, and connections with the Inclusive Early Education Expansion Grant
- Strengthening Family Engagement, including:
 - Integrating and utilizing PDG Parent Cafes as part of the QCC model and a core family engagement strategy
- Strengthening quality improvement for all providers in the ELC system, including:
 - Implementing observations and individualized instruction
 - Expanding access to social-emotional training
 - Strengthening connections with the Department of Social Services CalWORKs Home Visiting Program, through strategies such as supporting HV staff with cross-training in their professional development opportunities and provide additional targeted support to HV, FCC, and FFN providers
 - Embedding CA's existing Child Care Initiative Project (CCIP) as a foundational component of QCC to build licensed care capacity and increase the quality of care available in their communities, prioritizing rural communities and addressing CCDF health and safety and child development requirements.

The ways in which local consortia integrate these activities into their QCC approach may vary, but the goal is that they are increasingly a part of how the consortium supports quality improvement in an integrated way.

Note: Professional development, career pathways, stipends for educational attainment, and higher education partnerships will be funded through the CDE Early Learning and Care Workforce Development Pathways RFA, which will be released in Spring 2020.

Strengthening Community Partnership Requirements for Supplementary PDG-R Funds

QCC Block Grant lead agencies may apply for and receive supplemental PDG-R funding to support enhanced family engagement activities. Consortia must implement at least one of the following strategies:

- Build community partnerships with libraries to broaden family engagement, and create innovative training for family, friend, and neighbor (FFN) and/or family child care (FCC) providers, and/or

- Partner with Local Education Agencies (LEAs) to support ELC preschool transitions to transitional kindergarten/kindergarten (TK/K).⁷

To apply for the optional PDG-R funds, the QCC-PDG-R lead agency must submit a short summary in the LOI describing its plan to support enhanced family engagement activities in the community. For planning purposes, larger consortia should estimate up to \$300,000 for these additional activities. Actual amounts will vary based on size, scope, and level of consortia interest. LOI plans will be reviewed for innovation and reach to high-impact populations. Funds will be competitively awarded to a limited number of consortia. Preliminary award amounts will be provided to lead agencies in March 2020, and lead agencies will be required to submit additional plan details within their Application (see Appendix D).

Outreach and Communication Requirements

Lead agencies must ensure that outreach and communication efforts are carried out either directly or by a partnering agency.

Site/provider recruitment, onboarding, and engagement must include information for ELC providers on the “what, why, and how” of participating in QCC, including support through orientation (prior to rating, if applicable) and during QI planning and participation. For provider information on QCC, please direct to the QCC website at <https://www.qualitycountsca.net>.

Specifically, outreach and communication efforts will:

- Incorporate and embed *Talk. Read. Sing.*® messaging and activities to emphasize the importance of and strategies to strengthen positive adult-child relationships, attachment, and interactions within ELC settings, that promote the well-being of children and families so they can thrive and succeed.
- Include community education through quality improvement efforts to inform the public and families about the local QRIS and the importance of high-quality ELC for child development.
- Make rating information and participating in QCC quality improvement publicly available, in partnership with the local Resource and Referral agencies.
- Work with the local Resource and Referral Agency(ies) and utilize the CCDF Consumer Education Database to ensure information on participating sites is shared to inform parents in their decision-making process.

Examples of the above strategies may include information provided to the ELC site that can be incorporated into family engagement strategies, website materials, and information that links the importance of positive adult-child interactions and PD opportunities for providers to early learning.

⁷ Including through pilot efforts to leverage the Preschool Transition Model established by the work of the Office of Head Start, Los Angeles COE, and the Head Start Collaboration Office as part of the Occupation Health & Safety Transition Summit Demonstration Project.

Allowable Incentives

IMPACT 2020 and CDE Block Grant funds may be used for site and/or individual incentives, provided they adhere to the following guidelines:

- Site level incentives
 - May be monetary or may include non-consumable, sustainable materials to support early learning environments or access to PD trainings, coaching, and resources through specific funds or direct provisions
 - CSPP sites with a rating of 4 or 5 must be provided with annual site block grant awards
- Individual incentives
 - Incentives/awards can be provided for achieving specific quality milestones or to incentivize provider participation
 - Funds cannot be used to provide incentives/awards for:
 - Individual stipends for educational and PD attainment that are supported under the Workforce Pathway Grant (funds specifically to access higher education or QCC approved professional development, formerly known as AB 212)
 - Any activity supported and funded by the Workforce Pathway Grant Program to ensure the same activity is not paid for twice
 - Incentives at the individual level should be intentionally directed toward individuals with limited resources (those who do not have access to additional funding for advancing PD efforts)

Evaluation Requirements

Lead agencies will be responsible for developing and submitting Annual Performance Reports (APR) that summarize participation and enrollment (see Data Reporting and Collection Requirements section below). State support and technical assistance for evaluation will be available to improve local data collection practices and planning, and to highlight best practices and outcomes for use within and across regions (see State Infrastructure Support and Responsibilities above).

By accepting QCC funding, consortia agree to participate in additional evaluation activities conducted by state staff or by an independent, external evaluator on behalf of the state. Statewide evaluation will focus on quality improvement efforts (effective strategies, cost effectiveness, scalability) and impact (effective interactions, child and family outcomes) of local and regional activities. Consortia are required to work with data system vendor(s), upon request, to authorize evaluator access to data from QRIS data systems contracted by consortia. To address this, consortia will need to ensure participating sites sign consent forms to share data with the state, and/or its designee for evaluation and reporting purposes and for accountability of public funds. In addition, evaluators may access data from the California Early Care and Education Workforce Registry. Consortia should consider and address potential data security and legal issues as needed to support statewide evaluation.

Data Reporting and Collection Requirements

Local Consortia lead agencies are responsible for the collection and submission of accurate programmatic data, including the following:

- QCC Common Data File: Due annually in September. The Common Data File is an XML data file with key fields pulled from local QRIS data systems. Appendix C summarizes the QCC Common Data File fields in general. A comprehensive list of individual fields, values, and other technical details will be posted to the QCC website in the Spring of 2020, pending final approval.
- Consortia APR: Due annually in October. The Consortia APR is an online survey collecting information about regional/local processes and strategies to implement QCC, and other more evaluation-relevant topics, as needed. Content will be determined annually.

Access to the QCC Common Data File upload system and QCC Consortia APRs will be available in Summer 2020.

Human Subjects Protection and Data Security Requirements

To meet requirements for the protection of human subjects under the state government institutional review board, lead agencies will:

- Follow protocols approved by the State Committee for the Protection of Human Subjects (CPHS) available at <https://drive.google.com/drive/folders/1NHeq-BhPCaOS680bMeP4GZlycztrkuhk>, including use of relevant notices or consent forms provided by CDE and F5CA for early educators, parents, or other individuals indicated available at <https://drive.google.com/drive/folders/1dW1a4PJlHi1u8LqYGGrvxsGyn-U-BkGU>.
- Maintain local data securely by administrative, electronic, or physical safeguards in general accordance with the *CPHS Data Security Requirements* document: <http://www.oshpd.ca.gov/Boards/CPHS/DataSecurityRequirements.pdf>.

IV. Application Procedures and Processes

Figure 3. Application Timeline

RFA Release	January 31, 2020
Informational Webinar	February 12, 2020, from 10:00 a.m. to Noon
RFA Technical Assistance Sessions	February and March 2020
Letter of Intent Due	March 2, 2020
Application Due	April 15, 2020

Grant Awards Announced	May 2020
Grant Term Begins	July 1, 2020

Letter of Intent (LOI) to Apply

Each local or multi-county consortium must submit one LOI identifying lead agencies for each funding stream. The LOI is due no later than 5:00 p.m. on March 2, 2020. The LOI may be accessed online at https://www.surveymonkey.com/r/QCC_RFA_LOI.

The LOI will inform CDE and F5CA as to which agencies plan to apply for each of the QCC Local Consortia and Partnership Grant funding streams (e.g., IMPACT 2020, CSPP QRIS Block Grant, and QCC-PDG-R Block Grant), and to identify the appropriate lead agency(ies). In the event an LOI is not received for a county or multi-county consortium, F5CA and CDE will follow up with established local Lead Agencies for discussion and to ensure statewide representation and participation. A consortium may select up to two lead agencies to administer the different funding sources. The lead agency must be located within the submitting county or within a participating county if more than one county forms a multi-county consortium. Additionally, multi-county consortium must be the same for each funding stream.

Please note: First 5 county commissions have first-right-of-refusal for IMPACT 2020 funds and are required to notify their local consortium partners about their intent to apply. If a First 5 county commission elects not to act as the lead agency for IMPACT 2020, it must provide a statement to be included with the LOI. A template for the LOI can be found at https://drive.google.com/drive/folders/1b0MBMhjyWBKEkq4sk7xbwM9de_Euxti2.

Application Process

A single application may be submitted on behalf of a single or multi-county consortium. Each application must identify the lead agency(ies) for each of the QCC funding sources included in this RFA. The online application will consist of three general types of information: (1) Lead Agency and Consortium Members Contacts and Signatures, (2) Local Consortium QCC Plan, and (3) Budget and Budget Narrative.

Although multiple (two) lead agencies can apply in lieu of one, implementing this grant with fidelity requires these agencies to work collaboratively through meaningful partnerships and implement shared decision-making, communication, and funding strategies to achieve consortium-wide goals on the joint local consortium QCC Plan.

Tribes are represented in QCC as a regional hub and a consortium. This tribal consortium, led by the Tribal Child Care Association of California (TCCAC), requires the contact information as detailed above. Although tribes and tribal organizations are considered a part of their own consortium, local consortia with tribes and tribal organizations in their counties should also include tribes in their local planning and partnership activities.

Local consortia shall include representatives from the organizations below (also listed in Required Consortium Members section of the RFA) and may include other local or regional entities with the same goal of improving the quality of ELC, as determined by the lead agency. Consortia must provide the name, address, e-mail address, and phone number of each

member, their role/responsibilities in the consortium, and a signature page with participant signatures and date. If applying as a multi-county consortium, the required members for each county in the consortium must be included. Each county's representatives should receive copies of Form B prior to submitting signatures, which must be added to your application. Signing this proposal means that representatives have read and concur with the application being submitted.

The link to the online Application is available at https://www.surveymonkey.com/r/QCC_RFA_Application. Budget/Budget Narrative Forms will be provided to lead agencies that submit an LOI no later than March 2, 2020. The Application with budget information is due April 15, 2020, by 5:00 p.m.

Technical Assistance

The state will conduct one application information session on February 12, 2020, from 10:00 a.m. to Noon to provide an overview of the RFA and offer potential applicants an opportunity to ask clarifying questions. Please register for the webinar at <https://first5.zoom.us/meeting/register/tZAfuGoqjMrFN4hiDx98RK20AFW2ERcWQ>.

State leadership also will convene in-person technical assistance sessions in February and March 2020 to support consortia teams in their plan development. Meeting dates and locations will be announced after the February 12, 2020 webinar.

Application Review

Complete applications submitted by the due date will be evaluated by a cross-agency review panel. Individual questions will be reviewed based on common criteria, such as:

- Completeness of responses
- Demonstrates capacity of lead agency to complete planned work
- Consortium reflects engagement by all local stakeholders and system partners
- Description of support for the full continuum of ELC settings
- Plan components show consistency with terms of funding
- Shared state and local objectives reflected in responses
- Budget and budget narrative reflect goals described in application

For applications with sections or questions requiring additional information, the review team will follow up with the lead agency. Interviews with potential grantees may be conducted, as necessary. It will be the responsibility of the applicant to work with the state review team to address all areas needing attention in order to be funded. If an applicant cannot address the deficiencies, the state will work to obtain another lead applicant and/or work with nearby consortia to determine the efficacy of joining another consortium.

Grant Award Notification

Applicants whose applications meet requirements will be accepted for funding and will receive Grant Award Notifications (GANs) for the QCC-PDG-R Block Grant, CSPP QRIS Block Grant

and IMPACT 2020. The grantees must sign and return the GAN to the applicable state agency (CDE or F5CA, or both) before project work may begin and disbursement of funds can be made.

Questions about this RFA may be directed to support@qualityca.net.

Appendix A: Key Terms

Term/Acronym	Explanation
Alternative Settings	Community and home-based child care settings that are not subsidized child care or preschool sites and provide early learning and school readiness services to parents and young children. These include, but are not limited to, home visitation programs, family resource centers, Boys and Girls Clubs, and libraries.
Applicant	Local consortium or multi-county consortium requesting funding from this RFA.
California State Preschool Program (CSPP)	Contracted programs per the California <i>Education Code (EC)</i> commencing with Article 7, Chapter 2 (sections 8235–8239) and include, for purposes of this grant, Family Child Care Home Education Networks providing CSPP services. This includes full-day, full-year and part-day, school year programs in both LEAs and community-based organizations.
CCDF Quality Projects	<p>The CCDF Quality Projects refer to those funded by the Child Care and Development Fund via the quality set-aside, including some one-time funded projects. These projects include, but are not limited to:</p> <ul style="list-style-type: none"> ● Beginning Together ● California Business Practices Project ● California Child Care Initiative Project ● California Collaborative for the Social-Emotional Foundations of Early Learning Teaching Pyramid ● California Early Childhood Mentor Program ● California Early Childhood Online ● California Inclusion & Behavior Consultation Network ● California Making Access Possible to Inclusion and Belonging ● <i>California Preschool Learning Foundations and California Preschool Curriculum Frameworks</i> ● California Preschool Instructional Network ● Desired Results Developmental Profile ● Family Child Care at Its Best ● California Health and Safety Training

	<ul style="list-style-type: none"> • California Preventive Health And Safety Practices • PDG Parent Cafes • Program for Infant/Toddler Care • Skill Building on Child Care Business Management Skills <p>For more information about these projects, go to CDE's Professional Development Training web page at https://www.cde.ca.gov/sp/cd/re/cddprofdevtrain.asp.</p>
CDE	California Department of Education
CHHS	California Health and Human Services Agency
CDSS	California Department of Social Services
CDSS-CCLD	California Department of Social Services, Community Care Licensing Division
California Migrant Child Care and Development Program (CMIG)	California Migrant Child Care and Development Program per the <i>EC</i> sections 8230–8233. This program uses centers and family child care home education networks operated or administered by either public or private agencies and local educational agencies to serve children of migrant families. These programs provide child development services for children from birth through 12 years of age, and older children with exceptional needs. These programs provide an educational component that is culturally, linguistically, and developmentally appropriate for the children served and typically have seasonal start and stop dates.
Children who are High-Impact	“Children who are high-impact” refers to children who most benefit from special assistance and support. This includes children from low-income families, those who have disabilities or developmental delays, dual language learners, those who are migrant, homeless, in protective services or foster care, or who reside on “Indian lands” as defined by Section 8013(6) of the Elementary and Secondary Education Act of 196.
CLASS®	The CLASS refers to the Classroom Assessment Scoring System®, an observation and scoring tool designed by the University of Virginia to measure the quality of classroom processes and teacher-child interactions.
COE	County Office of Education
Coaching	A relationship-based process led by an expert with specialized and adult learning knowledge and skills, who often serves in a different professional role than the recipient(s).

Consortium	<p>Consortium refers to a local entity comprising multiple partner agencies, and that convenes a planning body that designs and implements a QRIS.</p> <p>A Regional or Multi-county Consortium is a group of counties within a geographic region of the state that collaborate, design, and implement a common local QCC model across that group of counties. Whether a local consortium or multi-county consortium, there will be a lead agency, or possibly two lead agencies.</p>
<i>EC</i>	California <i>Education Code</i>
ELCD	Early Learning and Care Division at the California Department of Education
Early Learning and Care (ELC) Program	<p>Early Learning and Care Program, for purposes of this RFA only, means any (a) state-licensed or state regulated program or provider, regardless of setting or funding source, that provides early learning and care for children from birth to kindergarten entry, including, but not limited to, programs operated by child care centers and in family child care or family, friend, and neighbor homes; (b) preschool programs funded by the federal government, state or local educational agencies (including Individuals with Disabilities Education Act-funded programs); (c) Early Head Start and Head Start programs; and (d) any non-relative child care providers not otherwise regulated by the state and regularly caring for two or more unrelated children for a fee in a provider setting.</p>
Equipment and Supplies	<p>Follows the state's definitions of Equipment and Supplies:</p> <p>“Equipment” is defined as tangible, non-expendable, personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit. (2 Code of Federal Regulations Section 200.33)</p> <p>“Supplies” are defined as all tangible personal property other than equipment. (2 Code of Federal Regulations Section 200.33)</p>
Environment Rating Scales (ERS)	<p>Observational assessment tools used to evaluate the quality of early learning and care programs. Each ERS tool is divided into criteria that assess the program's physical environment, health and safety procedures, materials, interpersonal relationships, and opportunities for learning and development.</p>
Family Child Care Homes (FCC)	<p>These are residential homes licensed by the California Department of Social Services to provide care to infants, toddlers, preschool, and school-age children.</p>
Family Child Care Home Education Networks (FCCHEN)	<p>The networks established pursuant to the <i>EC</i> Section 8245 that provide CSPP services (i.e., using CSPP funds to pay for services provided to preschool-aged children and who are reported electronically on the CDD-801 to the CDE).</p>

Family, Friend, and Neighbor Care (FFN)	<p>Individuals providing legally license-exempt child care in a home-based setting. This includes providers who care only for one child, those who provide care only for their relatives, and providers who care only for the children of one other family (other than the provider's own children, if he or she has any children).</p>
Good Standing (pertains only to CDE funding)	<p>For purposes of this RFA, “good standing” refers to an applicant who has been a CDE grantee has met all the following requirements:</p> <ul style="list-style-type: none"> ● Administered quality funding for at least two years, and submitted of all fiscal reporting records, which demonstrated the following: <ul style="list-style-type: none"> ○ Spent within 10 percent of the previous year's total budgeted amount ○ Engaged within 10 percent of the previous target numbers in Appendix B, and ○ Communicated and made rating information accessible to the public ● Submitted all required expenditure reports to the CDE. Reports must be found to be accurate and complete ● Submitted the Common Data File to the Quality Counts California in the previous September, which have been determined to be accurate and complete ● Participated in one local QRIS across multiple funding streams ● Maintained a clear contract with the CDE, per the <i>EC</i> Section 8406.6 (a)(1) ● Operated without any outstanding CDE invoices ● Does not have outstanding or unresolved Federal Program Monitoring, Contract Monitoring Review, or Center-based Monitoring Review findings in any previous FY, or any findings indicated on the grant award notification, and has been determined by the CDE to be making adequate progress toward the resolution of any findings. This also applies to any of the grantee's contractors, subcontractors, or affiliates. ● Does not have outstanding or unresolved CDE audit findings in any previous FY or has been determined by the CDE to be making adequate progress toward the resolution of any findings. This applies to any of the grantee's contractors, subcontractors, or affiliates.
High-Need	<p>For the purposes of this RFA, high-need populations are defined as infants and toddlers, children living in poverty, dual language learners,</p>

	foster children, children experiencing homelessness, children with disabilities, and children who are tribal, migrant, and/or live in rural/isolated communities.
LEA	A Local Educational Agency, which includes county offices of education, school districts, and community colleges
Local Public Entity (LPE)	For purposes of this RFA, F5CA uses California Government Code, Section 940.4., to define an LPE as a “county, city, district, public authority, public agency, and any other political subdivision or public corporation in the state but does not include the State.”
Parent Café	Parent Cafés are safe places where parents and caregivers can talk about the successes and challenges of raising a family. Through individual self-reflection and peer-to-peer learning, participants explore their strengths, learn about the Strengthening Families Protective Factors, and create strategies from their own wisdom and experiences to help strengthen their families. The Preschool Development Grant (PDG) assisted with taking these Parent Cafés to scale in California by funding training and delivery of a tailored Parent Café experience to be delivered across the state through local Resource and Referral agencies. For more information about California’s PDG Parent Cafés, please visit the Child Care Resource Center’s PDG Parent Café web page at https://www.ccrcca.org/parents/pdq?highlight=WyJwZGciXQ .
Poverty	For the purposes of this RFA, children and families in poverty are defined as those at or below 200 percent of the Federal Poverty Level.
Private Center-Based Programs	Private center-based programs are those that receive funds directly through parent pay and/or voucher payments, and do not have state or federal contracts (with the exclusion of Tribal/Migrant Head Start or Tribal CCDF).
QCC Implementation Guide	Provides guidance in operating and maintaining a local QRIS that incorporates the Quality Continuum Framework, which includes the QCC Rating Matrix and QCC Continuous Quality Improvement Pathways. The QCC Implementation Guide is located on the QCC website at https://drive.google.com/drive/folders/1dGYJle-mezaXyGpmasqNrHRm1gGPjYLY .
QCC Reporting Portal	This web-based Portal will house all reporting templates, approved applications, grant awards, narratives and other reporting features, eliminating the need for and allowance of submittal through paper or electronic mail. Complete instructions for using the Portal will be provided by CDE and F5CA in Spring 2020.
Quality Early Learning and Care	As defined by QCC, and revised by California’s recent PDG Needs Assessment, a quality ELC setting is one that provides a safe and healthy learning environment in which ELC professionals are supported in acquiring or increasing their knowledge and skills to

	promote positive relationships, interactions, and activities that enhance all children’s growth and development to prepare them for success in school and life.
QIS	Quality Improvement System
QRIS	Quality Rating and Improvement System
Rating Matrix	The hybrid block and point system for the existing three common rating tiers
Regional Anchor	A consortium-designated individual who is authorized to certify reliability of ERS assessors
RFA	Request for Applications
In-kind	Refers to the provision of goods or services to an organization, such as office equipment, computers, and software or administrative and financial support. In-kind is not the money to buy the required goods or services, but the goods and services themselves. In-kind donations are valued in monetary terms, and they should be recorded on a company’s budget for a value equal to the value of in-kind goods or services the organization receives.
Service Area	Defined as the boundaries or geographical area of the county or multi-county consortium where the QIS/QRIS operates.
Site QRIS Block Grant	Formerly referred to as “Local QRIS Block Grant.” Intended to be an award to recognize the achievement of a high standard of quality within the CSPP QRIS Block Grant. The dispositions of the funds are to support the Tier 4 or Tier 5 CSPP sites for activities that support and maintain quality at a Tier 4 or Tier 5.
State	Refers to California’s state-level agencies or commissions with a role in QCC’s administration, coordination, and funding. As of RFA release, entities include, but are not limited to, the CDE, F5CA, CHHS, and CDSS.
Regions/Regional Hubs	Groupings of counties to coordinate resources and administer T&TA to counties within a region, as defined by the QCC Consortium (link) and the California County Superintendents Educational Services Association (https://ccsesa.org/regions/)
<i>Talk. Read. Sing.®</i>	A public awareness campaign sponsored by F5CA designed to provide information on the importance of early brain development and to encourage parents and caregivers to talk, read, and sing with their young children to support brain growth.

Appendix B: Local Consortia Lead Agency Minimum Participation Targets

System-wide Minimum Site Participation Targets

All minimum site participation targets must be met by FY 2022–23.

County	IMPACT 2020 Site Participation Target	QCC-PDG-R BG Site Participation Target	CSPP BG Site Participation Target	Total
Alameda	243	112	147	502
Alpine	2	2	2	6
Amador	18	8	10	36
Butte	29	19	20	68
Calaveras	18	5	5	28
Colusa	16	5	5	26
Contra Costa	163	73	51	287
Del Norte	15	5	4	24
El Dorado	76	10	23	109
Fresno	105	77	143	325
Glenn	24	5	5	34
Humboldt	29	12	13	54
Imperial	58	19	25	102
Inyo	17	5	4	26
Kern	118	62	62	242
Kings	61	17	14	92
Lake	36	8	8	52
Lassen	14	5	3	22
Los Angeles	502	618	645	1,765
Madera	39	14	14	67
Marin	62	16	22	100
Mariposa	11	3	0	14
Mendocino	21	9	18	48
Merced	90	25	32	147
Modoc	15	3	4	22
Mono	13	5	6	24
Monterey	48	25	43	116
Napa	39	9	12	60
Nevada	31	7	7	45
Orange	272	99	157	528
Placer	84	28	13	125
Plumas	14	5	10	29
Riverside	284	94	138	516

Sacramento	186	113	125	424
San Benito	30	6	2	38
San Bernardino	170	129	146	445
San Diego	344	213	202	759
San Francisco	133	61	86	280
San Joaquin	90	73	83	163
San Luis Obispo	98	19	34	151
San Mateo	73	44	55	172
Santa Barbara	86	30	41	157
Santa Clara	242	115	127	484
Santa Cruz	88	20	19	127
Shasta	45	24	26	95
Sierra	6	2	0	8
Siskiyou	20	6	10	36
Solano	44	35	14	93
Sonoma	74	28	30	132
Stanislaus	75	33	53	161
Sutter	37	9	11	57
Tehama	25	7	11	43
Trinity	14	3	2	19
Tulare	92	37	51	180
Tuolumne	21	6	1	28
Ventura	103	43	64	210
Yolo	69	16	23	108
Yuba	29	12	11	52
TCCAC	20	50	0	70
Total Statewide	4,781	2,543	2,892	10,216

Eligible Participating Sites and Minimum Targets

Participating Settings: ELC settings that qualify toward site targets include the following:

- Private Centers are center-based programs that receive funds directly through parent pay and/or voucher payments and do not have direct state or federal contracts (with the exclusion of Tribal/Migrant Head Start or Tribal CCDF).
- California State Preschool Program (CSPP) sites are those that have direct CSPP contracts (only eligible for CSPP Block Grant funding).
- Family Child Care Homes are residential homes licensed by the California Department of Social Services to provide care to infants, toddlers, preschool, and school-age children.
- Family, Friend, and Neighbor Care refers to legally license-exempt child care in a home-based setting in which licensing standards do not apply. This includes providers who care

only for their relatives and providers who care only for the children of one other family (other than the provider's own children, if they have children).

- Alternative Settings are community and home-based settings that are not child care or preschool sites and provide early learning and school readiness services to parents and young children. These include, but are not limited to, Home Visiting Programs, family resource centers, Boys and Girls Clubs, and libraries. These settings are specific to IMPACT 2020; Home Visiting Programs also can participate in shared professional development through QCC-PDG-R funds.
- Tribal settings include early learning and care programs and organizations on tribal lands. Tribal sites may choose to receive both local consortia support as well as TCCAC support to support their quality improvement efforts, based on their needs.

Lead agencies with large participating sites (i.e., eight or more classrooms) can count a site as more than one (1). A "classroom" is considered a separate, indoor, physical space that is fully utilized at the site as an early learning environment on a regular, daily basis.

Large sites may be counted as follows:

- Eight or more physical classrooms are equivalent to two sites.
- Twelve or more physical classrooms are equivalent to three sites.
- Sixteen or more physical classrooms are equivalent to four sites.

All other setting types will be counted on a 1:1 basis.

Targets: Targets were developed using a variety of considerations, including program participation in QCC in FY 2018–19, local licensed capacity, children in poverty, and geographic factors. Individual county targets are described in the table above.

Overall, IMPACT 2020 participating settings must meet the following thresholds:

- Sixty percent or more FCC and FFN (must serve a combination of both setting types)
- Thirty percent or more settings serving infants and toddlers
- Twenty percent or more accepting children with a voucher
- No more than 20 percent alternative settings will be counted toward meeting site targets

Appendix C: QCC Common Data File Summary

Submitted: Annually in September with data from the previous Fiscal Year

Format: One CSV File formatted per specifications

QCC lead agencies will be provided more detailed field data, including values, file structure, and coding instructions in Spring 2020. As of the release date of this RFA, the file is expected to contain the following elements:

- County
- Site Unique Identifier (License Number)
- Site Name
- Facility Type
- Program Type (Select from 4 categories)
- Funding Source (Select from 23 categories)
- Languages Spoken (Select from 16 categories)
- Number of Children Served, by Age Group
- Overall QRIS Tier/Ranking
- Cumulative QRIS Score Total
- For rated sites: Detail QRIS Score information by element
- Number of Children who are DLL
- Child Languages Spoken (Select from 16 categories)
- Child Race/Ethnicity (Select from 7 categories)
- Number of children receiving developmental screening
- Number of children receiving subsequent referrals based on screening
- Number of Children with IFSP
- Number of Children with IEP
- Number of Children Served with Voucher Payments
- Site identifier for Registry (Program ID)

Appendix D: Letter of Intent and Application for QCC Local Consortia and Partnership Grant

The information provided below reflects content that counties will submit via SurveyMonkey® to satisfy the requirements of the LOI and Application. *The content below is for reference only.*

QCC Letter of Intent to Apply

The LOI for QCC Local Consortia and Partnership Grant Funds is available at https://www.surveymonkey.com/r/QCC_RFA_LOI and includes the following:

1. Identification of consortium participating county(ies)
2. Identification of the IMPACT 2020 lead agency (including address, executive director/CEO/designee, e-mail, and phone)
3. Identification of the CSPP QRIS Block Grant lead agency (including address, executive director/CEO/designee, e-mail, and phone)
4. Identification of the QCC-PDG-R Block Grant lead agency (including address, executive director/CEO/designee, e-mail, and phone)
5. Indicator of which, if any, of the two expanded bonus areas on “Strengthening Community Partnerships” the consortium is planning to apply. NOTE: these must be checked for the consortium to be eligible for supplemental funding.
 - Area 1: Community partnerships with libraries to broaden family engagement and create innovative training for family, friend, and neighbor and/or family child care providers; and/or
 - Area 2: Partnerships with LEAs to support preschool transitions to transitional kindergarten and/or kindergarten
6. Brief summary of plan for Strengthening Community Partnerships supplemental funds

Local QCC Consortium Application

The Application for QCC Local Consortia and Partnership Grant Funds is available at https://www.surveymonkey.com/r/QCC_RFA_Application and includes the following:

Lead Agency Contacts and Signatures

Provide a signature page with contact information for required and optional agencies, as appropriate, using the template provided at https://drive.google.com/drive/folders/1b0MBMhjyWBKEkq4sk7xbwM9de_Euxti2. The signatures confirm the following:

- The applicant [lead fiscal agency(ies)] has read and agreed, to the extent applicable, to the general assurances of the funding terms and conditions associated with CDE’s CSPP and QCC-PDG-R QRIS Block Grants, and F5CA’s IMPACT 2020.

- Applicant(s) and partners agree with their consortium's Application and the plan therein and acknowledge that all forms required to be submitted as part of the Application are certified to be true.
- Consortium partners will follow all RFA requirements and conditions, including the use of the Quality Continuum Framework (the QCC Rating Matrix, Continuous Quality Improvement Pathways Common Tools and Resources), the QCC Implementation Guide, and the Early Educator Workforce Registry.
- New funds supplement, and do not supplant, existing investments.

Required:⁸

- First 5 County Commission(s)
- Child Care Licensing Regional Office(s)
- Local Child Care Planning Council(s)
- LEA (At least one required: County Office of Education, School District/Charter School)
- Local Resource and Referral Agency(ies) (At least one required)
- Alternative Payment Program(s) (At least one required)
- Institution(s) of Higher Education (At least one required)
- Foster Child Care Bridge (as applicable)

Suggested:

- Local Tribal Representative (as applicable)
- County Health and Human Services Agency
- Special Education Local Plan Area (SELPA)
- County Department of Social Services
- County Department of Public Health
- Key Stakeholders (e.g., providers, parents, Head Start grantee, state-contracted early learning and care programs)
- Others as appropriate

⁸ For TCCAC, the required signers are not the listed entities but rather six participating tribes.

Local Consortium QCC Plan

Note: The consortium proposal needs to be inclusive of local quality improvement supports, including local QRIS and state-funded quality projects and Talk. Read. Sing.® messaging, where appropriate. The consortium must describe increased alignment over time toward a shared quality vision. The state will review the proposals and may ask for additional information to understand plans and/or help strengthen them.

Section A: Local Needs, Participation and Quality Tier Goals

A1. Describe current/planned needs assessment for your county(ies) and include all sources of information used. Describe the community's children who are high-impact including those with high-need, especially infants and toddlers, children living in poverty, dual language learners, foster children, children experiencing homelessness, children with disabilities, and children who are tribal, migrant, and/or live in rural/isolated communities.

A2. Describe the goals and objectives of the local Consortium and the QCC Plan.

A3. Describe how the consortium will build ELC and home-visiting (HV) capacity and quality in high-impact communities, support smooth transitions from ELC to elementary school, and address the needs of children and families that are eligible for but not serviced by existing programs.

Section B: Governance, Convening and Strengthening Partnerships

Describe which member agency(ies)/staff are responsible for and how the consortium will accomplish each of the following activities:

B1. Governance and decision-making process for ensuring shared knowledge and agreement with the consortium's QCC plan and budget. Include how ELC providers will be engaged in planning and decision-making processes, including but not limited to school districts, Head Start/Early Head Start, and tribal partners (where relevant). *Visual/flow chart that shows the decision-making process suggested but not required.*

B2. Roles and Responsibilities for each consortium member agency, including but not limited to the following. Include if they will provide activities in-kind, via non-QCC funding sources (e.g., Proposition 10 funds, CCDF Quality Funds, etc.), or receive funding through this RFA to support the activities.

- Lead agency(ies)
- COE
- First 5 county commission
- CCR&R
- LPC
- APP
- Institution of Higher Education

B3. How the consortium will strengthen and/or expand partnerships.

Section C: Engagement and Recruitment

Describe which member agency(ies) and staff are responsible for and how the consortium will accomplish each of the following activities:

C1. Process the consortium will use to engage ELC providers with QCC and specific outreach and recruitment strategies for each provider type:

- Home-based: FFN and FCC
- Center-based: CDE direct contract programs (e.g., CCTR and CSPP), Head Start, centers receiving subsidized vouchers, and other centers
- Alternative settings (if applicable), including “stay and play” for families and providers in local libraries
- Home-visiting programs, including DSS CalWORKS Home Visiting, as determined by community need

C2. How the consortium will retain participating programs and how programs will be engaged in quality improvement activities.

C3. How the consortium will build and maintain partnerships with school districts to ensure smooth transitions from ELC to TK-12.

Section D: Ensure Accountability - Participation and Improvement Goals

D1. Complete and upload the tables below to estimate goals for sites participating in QI, rated sites, and sites rated at Tiers 3–5 for each of the three years of the grant period. These are estimates only and are meant to inform local planning and resource allocation. Please use the targets and definitions included in Appendix A/B. The June 2023 goals should take into account required targets for each applicable funding stream. Goals should demonstrate how the consortium will ensure steady improvement in participation, quality, and children served across the mixed delivery system.

Local goal table template is available at

https://drive.google.com/drive/folders/1b0MBMhjyWBKEkq4sk7xbwM9de_Euxti2. Table content includes estimates for participating sites, rated sites, rated sites at tiers 3 to 5, and children impacted for each FY of this RFA term.

For D2-D5, please use the QCC Rating Matrix (located on the QCC website at <https://drive.google.com/drive/folders/1dGYJle-mezaXvGpmasgNrHRm1qGPiYLY>) to inform responses, and describe which member agency(ies) and staff are responsible for and how the consortium will accomplish each of the following activities:

D2. How the consortium will conduct initial and ongoing assessments for the purpose of quality improvement and/or ratings of each of the provider types in QCC service area. Include who will be responsible for carrying out assessments and ratings and links to Regional Hubs, CDE field monitors, CDSS-CCLD, etc.

D3. Process to ensure assessors meet the qualifications outlined in the QCC Implementation Guide. Include the process(es) for ongoing quality control to maintain an appropriate degree of rigor, including inter-rater reliability in the rating process, and how the consortium will ensure consistency and alignment in these with the rest of the state.

D4. Data system(s) that will be used to: record assessment and rating information; track site-level and teacher-specific quality improvement supports and incentives; record participation by program type; and track progress relative to the consortium's local quality improvement targets.

D5. Process to ensure workforce data is uploaded into the California Early Care and Education Workforce Registry. Include how the consortium will ensure PD opportunities are recorded, published, and attendance tracked within the Workforce Registry.

Section E: Quality Improvement Strategies, Quality Investments and Supports

Describe which member agency(ies) and staff are responsible for and how the consortium will accomplish each of the following activities:

E1. Create individualized quality improvement plans for participating sites.

E2. Collect and use data and feedback from each program type to inform continuous improvement in the implementation of quality improvement supports.

E3. Increase the quality of ELC programs and utilize state-funded quality improvement resources to create opportunities for providers to strengthen their skills by expanding access to evidence-informed delivery methods, such as coaching; specific training sessions; targeted resources; peer-learning; and partnerships that help them gain the knowledge, skills, and competences to support young children and their families. Include how the following will be implemented:

- Training and technical assistance to program staff on developmental and behavioral screenings using standardized, validated screening tools
- Coaching to improve program quality through nurturing adult-child relationships and safe, healthy learning environments
- *Talk. Read. Sing.*® messaging
- CDE CCDF Quality Projects, including, but not limited to, the Child Care Initiative Project (CCIP) and the new Business Practices training operated by the local resource and referral agency (R&R) consortium member
- Training and technical assistance for program staff to provide effective and responsive learning environments for children with disabilities, challenging behaviors, and those who have experienced trauma, including utilizing adverse childhood experiences (ACEs) screenings, early childhood mental health consultants, and other supports
- Certification of coaches who are funded by this RFA within two years of availability of the statewide coaching certification. *Note: The costs of the certification through the timeline of this RFA will be funded by outside funds and do not need to be budgeted as part of local proposals, although travel may need to be part of the local QCC budget.*

Note: Individual professional development/workforce supports will be described in the Early Learning and Care Workforce Development Pathways Grant RFA, which will be released in early 2020.

Section F: Family Engagement Strategies

Describe which member agency(ies) and staff are responsible for and how the consortium will accomplish each of the following activities:

F1. Support ELC providers to promote culturally and linguistically effective strategies to engage families and support children's learning and development. As applicable, include how Strengthen Families is being used and the connections that will be made to the R&Rs PDG Parent Cafes.

F2. Strengthen connections with the California Department of Social Services (CDSS) CalWORKs HV program and other HV programs, and what supports or cross-training PD opportunities they will provide to HV staff.

F3. Identify and engage children and families experiencing homelessness in their communities and the ELC programs serving them.

Section G: Outreach and Communication - Public Information Program Quality

Describe which member agency(ies) and staff are responsible for and how the consortium will accomplish each of the following activities:

G1. Inform the public and families about its local QIS and the importance of high-quality ELC for children's learning and development.

G2. Partner with the local CCR&R(s) and others to share quality ratings, participating in QCC quality improvement activities, and inform consumer education.

Section H: Incentives

Describe which member agency(ies) and staff are responsible for and how the consortium will accomplish each of the following activities:

H1. Use CSPP QRIS Block Grant Funds to support site QRIS block grants for CSPP sites rated at Tier 4 and Tier 5. Specifically, include: the amount given per site, classroom, enrollment or other factors; the amount for Family Child Care Homes (FCCHs) within a Family Child Care Home Education Network (FCCHEN); and how the amount varies based on whether the FCCH is licensed as small or large, on the number of children enrolled, or other factors. If the consortium is also providing local site block grants with the other QCC funding sources to mirror the CSPP required site block grants, please describe the settings and address the same details as above.

H2. Process and incentives available to improve the quality of sites not yet at Tier 4. Identify any challenges in assisting these sites to move to Tier 4.

H3. Specific incentives that will be provided to non-CSPP funded programs. Include in your description the setting type and/or quality level and/or type of participation (i.e., rated vs. quality improvement only), as well as the rationale for the type of incentive.

Section I: Monitoring and Evaluation

Describe which member agency(ies) and staff are responsible for and how the consortium will accomplish each of the following activities:

I1. How the consortium will collect, summarize, and use data to continuously improve the consortium's approach to governance, quality improvement, outreach and communications, and incentives.

Section J: Supplemental Question applicable only for consortia receiving Strengthening Community Partnerships (only consortia awarded PDG-R Bonus Area funds)

For each of the items below, expand on the plan described in the LOI, describing which member agency(ies) and staff are responsible for and how the consortium will accomplish each of the following activities:

J1. Community partnerships with libraries to broaden family engagement and create innovative training for family, friend, and neighbor (FFN) and/or family child care (FCC) providers; and/or

J2. Partnerships with LEAs to support preschool transitions to transitional kindergarten and/or kindergarten

Budget and Budget Narrative

A detailed budget and budget narrative must be submitted for all QCC funding streams. Lead agencies must submit a separate budget and budget narrative for each funding stream they are applying for:

- IMPACT 2020: Lead agencies must submit a three-year budget and narrative and specify matching funds contributed by collaborative partners on either an in-kind or cash basis and explain how the match contribution will be used in the local quality improvement system.
- CSPP and QCC-PDG-R Block Grants: Lead agencies must submit an annual budget and narrative.

The Budget Template is available at

https://drive.google.com/drive/folders/1b0MBMhjyWBKEkq4sk7xbwM9de_Euxti2. Lead agencies must complete a Budget Form and narrative for each funding source.

In the narrative section, please provide justification for each expenditure category, and include information about roles, time allocation, and salary and benefits of the lead agency staff; equipment and supplies; travel; stipends and incentives; indirect costs; and a clear description of services to be contracted.

QCC Budget Narrative

Personnel

Explain the specific responsibilities of each lead agency position directly participating in quality improvement activities as described in their QCC Consortium application.

- The title of each position
- The role of each position to support quality improvement activities
- The agency that funds each position
- The time or full-time equivalent (FTE) of each position
- The salary for each position

Benefits

Provide:

- The fringe benefit percentages for all personnel in the project, by agency
- The basis for cost estimates or computations

Supplies

Provide:

- An estimate of materials and supplies needed for the quality improvement activities for the consortium, by nature of expense or general category (e.g., instructional materials, office supplies)
- The basis for cost estimates or computations, including unit number of each supply or material

Travel

Explain the purpose of the travel, how it relates to quality improvement goals, and how it will contribute to project success. Additionally, please provide the following:

- Purpose of each trip
- An estimate of the number of trips
- An estimate of costs for each trip
- Any additional basis for cost estimates or computations

Equipment

Explain the justification and need for any equipment to be purchased. Additionally, please provide the following:

- Purpose of the equipment to be purchased
- The type of equipment to be purchased
- The estimated unit cost for each item to be purchased
- Any additional basis for cost estimates or computations

Note: QCC funds can be used to purchase equipment with a unit cost up to \$5,000. Equipment being purchased for a participating site must be identified in a site improvement plan. Unit cost includes all costs required to make the item serviceable, such as taxes, freight, installation costs, site preparation costs, etc.

Incentives

Describe the types of incentives provided to sites to encourage them to participate in QCC or support them to reach higher levels of quality (e.g., licensing supports, equipment, materials, financial incentives, etc.). Explain the purpose of the incentives and provide the estimated unit cost for each incentive.

Describe the types of incentives provided to teachers and/or administrators to support them to reach higher levels of quality (e.g., coaching, stipends, training, mentoring, etc.). Explain the purpose of the incentives and provide the estimated unit cost for each incentive.

Contractual

Explain the purpose of any contract and its relation to the project. Provide:

- The products to be acquired and/or the professional services to be provided
- The agency that will be responsible for the contract
- The estimated cost per expected procurement
- For professional services contracts, the amounts of time to be devoted to the project, including the costs to be charged to the grant award
- Any additional basis for cost estimates or computations

Other

Provide:

- Purpose of expenditure
- Other item by major type or category (e.g., communications, printing, postage, equipment rental)

- Cost per item
- Any additional basis for cost estimates or computations

Site QRIS Block Grants

Identify the factors, number of sites, and the grant amounts for CSPP sites rated at Tier 4 and Tier 5. Site CSPP QRIS Block Grants will be based on your response regarding the number of programs at Tiers 4 and 5, as identified in prompt D1 of this application.

Total Direct Costs

Provide:

- The sum of expenditures, across all budget categories in Personnel and Operations

Indirect Costs

Identify and apply the indirect cost rate (attach documentation of approved/recognized indirect cost rate[s], if available). Identify which categories indirect cost rates are being applied to.

Total Funds Requested

Provide:

- The sum of direct and indirect costs for the applicable reporting period

Match Funds (applicable only to IMPACT 2020 lead agencies)

Funds used as match can come from existing programs aligning with QCC, except for CDE's CSPP QRIS Block Grant and forthcoming Workforce Development Pathways Grant funds.

Allowable matching funds include, but are not limited to, the following:

- Proposition 10 county tax revenue
- Federal (e.g., Early Head Start, Head Start)
- State (QCC Block Grant, SPCFA, AB212, etc.)
- Local government
- Non-profit organization
- Private foundation
- Grants
- In-kind (salary, space, etc.)

Lead agencies must engage multiple partners to acquire resources and secure a minimum of one non-state resource to meet match requirements.

Provide:

- Partner or resource providing leverage/match funding and amount
- Use of funding within QCC
- Type of match provided (program alignment, cash, in-kind, donation, etc.)
- Mechanism/manner of receiving funds from locals
- Any additional basis for cost estimates or computations

Appendix E: CDE CSPP QRIS Block Grant Funding Details

CSPP QRIS Block Grant Allocations

Based on the 2018–19 child data from CDE’s Child Development Management Information System, the CSPP QRIS Block Grant Allocations provided below for 2020–21 were determined using a formula that accounts for the proportion of children in CSPP served by each Consortia and a \$5,000 operational base for addressing small county needs. Counties without an allocation reflected do not currently have any CSPP programs.

Allocations for 2021–22 and 2022–23 will be reviewed annually in late winter in order to incorporate updated data. Grant award notifications will reflect the final funding allocation.

⁹County Funding Allocations

County	2020 CSPP QRIS Block Grant Allocation
Alameda	\$2,152,432
Alpine	\$7,114
Amador	\$ 39,095
Butte	\$290,179
Calaveras	\$22,708
Colusa	\$ 58,653
Contra Costa	\$1,014,095
Del Norte	\$49,931
El Dorado	\$185,781
Fresno	\$ 2,312,334
Glenn	\$48,081
Humboldt	\$114,948
Imperial	\$ 517,212
Inyo	\$51,517

⁹ Final allocations will be determined once all applications are reviewed and may be increased if not all counties participate in funding.

Kern	\$1,355,041
Kings	\$336,167
Lake	\$ 129,221
Lassen	\$45,174
Los Angeles	\$13,891,554
Madera	\$ 273,000
Marin	\$ 211,418
Mariposa	-
Mendocino	\$167,808
Merced	\$606,017
Modoc	\$ 37,509
Mono	\$ 16,101
Monterey	\$767,504
Napa	\$ 182,609
Nevada	\$87,990
Orange	\$ 2,920,486
Placer	\$ 141,114
Plumas	\$34,866
Riverside	\$2,487,564
Sacramento	\$ 2,035,876
San Benito	\$ 42,530
San Bernardino	\$3,085,409
San Diego	\$ 3,705,984
San Francisco	\$1,205,183
San Joaquin	\$ 1,253,550

San Luis Obispo	\$ 153,008
San Mateo	\$ 810,849
Santa Barbara	\$ 546,021
Santa Clara	\$ 1,479,526
Santa Cruz	\$338,546
Shasta	\$ 268,506
Sierra	-
Siskiyou	\$ 72,661
Solano	\$324,274
Sonoma	\$ 417,571
Stanislaus	\$ 879,038
Sutter	\$ 230,712
Tehama	\$ 130,806
Trinity	\$15,572
Tulare	\$992,687
Tuolumne	\$ 35,659
Ventura	\$925,819
Yolo	\$ 324,274
Yuba	\$ 170,716

CSPP QRIS Block Grant Terms and Conditions

General Assurances

Applicants do not need to sign and return the general assurances and certifications with the application. Instead, applicants must download assurances and certifications, and keep them on file and available for monitoring reviews, complaint investigations, or audits. General assurances and certifications are available on the CDE Funding Forms web page at <https://www.cde.ca.gov/fg/fo/fm/ff.asp>.

Indirect Cost Rate

1. If indirect costs are claimed, an indirect cost allocation plan must be on file with the contractor and available for review by the CDE staff and auditors.
2. In accordance with the *Uniform Guidance* 200.414(f), the maximum indirect cost rate for any non-federal entity that has never received a negotiated indirect cost rate, shall be ten percent (10%) of the modified total direct costs.
3. For any non-federal entity that has a negotiated indirect cost rate, which includes all school districts and county offices of education, the maximum indirect cost rate shall be the lesser of the negotiated indirect cost rate or the ten percent (10%) indirect cost rate referenced in *Uniform Guidance* 200.414(f). A list of negotiated indirect cost rates are available on the CDE Indirect Cost Rate web page at <https://www.cde.ca.gov/fq/ac/ic/>.
4. This rate is applied to budget categories 1000–5000 only in determining the maximum amount of indirect costs that are reimbursable under the contract.
5. The amount of cost allocable to this contract shall not exceed the benefits to this contract. The allocation method must quantify this benefit among all similar programs and then distribute the costs accordingly.
6. The indirect cost rate shall not include consideration of any costs otherwise non-reimbursable. If a depreciation or use allowance is included in the indirect cost rate, such allowance shall not be claimed on the asset.

Restricted Use of CSPP QRIS Block Grant Funds

CSPP QRIS Block Grant funds shall be expended only for the purposes expressed in the RFA and may be used only to supplement existing levels of service. CSPP QRIS Block Grant funds must not supplant existing local, state, or federal funding; only supplemental costs may be charged.

CSPP QRIS Block Grant funds are not intended for direct services, but rather to support the quality improvement system and support early learning programs to achieve higher levels of quality. No project or activity can be approved that proposes to provide direct services (e.g., home visiting, increasing early learning program slots, salaries for site personnel), supports only sites that are at one specific level of quality (e.g., only preschool programs at Tier 5), or provides a service required by state or federal law, other than pursuant to EC Section 8203.1. For example, any project that solely provides special education services 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 would not be approved.

Budget Documentation

The CSPP QRIS Block Grant Budget and Budget Narrative must be submitted to establish the initial budget for the Grant. These forms should be used in any revision of budget categories to capture variances of 20 percent or more from the current approved budget.

Budget amendments must be submitted to and approved by the CDE prior to the period for which expenditures will occur. Lead agencies requesting budget amendments not impacting the Grant Award Agreement amount (revisions to budget categories) will receive notification of approval or denial via written correspondence from the CDE. Requests of this nature are necessary to allow for consistency when submitting reimbursement invoices.

If appropriate approvals are not received, the CDE may withhold payment for changes in budget categories exceeding the amount allocated in the current approved budget by more than 20 percent.

Use of Subcontractors

The lead agency can subcontract with another entity to implement the CSPP QRIS Block Grant as an intermediary; however, the lead agency remains legally responsible for all program, administrative, evaluation, and fiscal requirements of the RFA and Grant Award Agreement, even if administered through an intermediary.

If a lead agency subcontracts with another agency to implement the CSPP QRIS Block Grant, any communication regarding implementation of the CSPP QRIS Block Grant must occur through the lead agency. The CDE will not discuss any program, administrative, evaluation, or fiscal issues with a subcontractor. The lead agency must adhere to the State of California's contract bidding requirement. The lead agency also is responsible for collection of necessary data.

If it is discovered the lead agency did not attempt to obtain prior CDE approval or did not follow the state's contract bidding requirements, the related expenses will be disallowed.

Any subcontract entered into as a result of the subsequent Grant Award Agreement shall contain all the provisions held within.

Assignment

The Grant Award is not assignable by the Grantee, either in whole or in part, without the consent of the CDE in the form of a formal written amendment.

Independent Grantee

The Grantee, and the agents and employees of the Grantee, in the performance of this Grant Award, shall act in an independent capacity and not as officers, employees, or agents of the state.

News Releases And Publicity

The Grantee shall inform the Grant Manager at the CDE of any statements made to the news media regarding the operational procedures and status of work related to this Grant Award and provide the CDE the opportunity to review and comment on any print or electronic news releases related to this grant prior to the release of information to the public.

Information Security Incidents

The Grantee agrees to notify the CDE by telephone and in writing via e-mail of any use or disclosure of information not provided for by this Grant Award of which it becomes aware within three (3) working days of initial detection. Written reports of information security incidents shall contain information on the incident (e.g., hacking, virus, and theft), a description of information that was compromised, and classification of the information (e.g., confidential, sensitive, personal). The system or device affected by an information security incident shall be removed from operation immediately. It shall remain removed from operation until correction and mitigation measures have been applied.

Release of Data or Products

Except as specified in the Grant Award, the Grantee shall not release or disclose any aggregated data or any products created, produced, or developed pursuant to the Grant to any person, except to the Grantee's personnel, attorneys, prospective vendors, the Grantee's law firms, and other companies or individuals who are necessary for, and are to be directly involved in, the development, production, and distribution of the products permitted. Products include, but are not limited to, drafts or works in progress. The Grantee agrees to ensure that any agents to whom it provides the data, agrees to the same restrictions and conditions that apply to the grantee with respect to such information. The Grantee shall employ reasonable procedures to protect these products from unauthorized use and disclosure. The CDE retains the right to approve any procedures employed by the Grantee to comply with this provision. Personally-identifiable data regarding children, families and providers served under the grant funding shall never be released to any third party without the approval of the CDE.

Capital Assets

CDE funds may not be used for capital assets as defined by the California State Administrative Manual (SAM) and the California School Accounting Manual – land, improvements to land, easements, buildings, building improvements, vehicles, machinery, equipment, works of art and historical treasures, infrastructure, and all other tangible or intangible assets that are used in operations and that have initial useful lives extending beyond a single reporting period and a unit cost of \$5,000 or more (SAM Section 8602).

In accordance with SAM, if property does not have an expected useful life of at least one year and the purchase cost does not exceed \$5,000, for purposes of the CSPP QRIS Block Grant, the purchase is considered an expenditure and not a capital asset.

Lead agencies must review existing policies regarding capital assets. If the lead agency's policy identifies a lower monetary threshold than SAM for capital assets, the lead agency's policy must be enforced when expending CSPP QRIS Block Grant funds. If the lead agency's policy identifies a higher monetary threshold than SAM for capital assets, the State of California's policy (per SAM) must be enforced when expending CSPP QRIS Block Grant funds.

Payment Withholds

Failure to submit timely and accurate fiscal information, evaluation data, and program reports as required by the CDE may result in the withholding of a disbursement of funds, until which time the required information, data, or reports have been received. Serious delays in fiscal report submission may result in a written request by the CDE for an accounting of expenditures or

special review of fiscal and program activity. The CDE may reduce or terminate program participation if it is determined that a lead agency has failed to adhere to the terms and conditions of the RFA and/or its approved Grant Award Agreement, including any amendments to the RFA or Grant Award Agreement.

Overpayment

If it is determined that a lead agency received an overpayment of CSPP QRIS Block Grant funds, the CDE will inform the lead agency of the overpayment and provide options for recovery: 1) issue an invoice to the lead agency, or 2) reduce a future reimbursement claim. If the invoice is preferred, payment shall be processed within forty-five (45) days of receipt or future claims may be withheld or adjusted. The CDE has the right to recoup all the costs associated with collection of the overpayment, including attorney's fees.

Carryover Funds

There are no carryover funds for the CSPP QRIS Block Grant.

Amendment to Funding Allocations/Budgets

Lead agencies will have access to funding and spending flexibility within their total budget by fiscal year if cash is available in the appropriate CDE accounts, performance measures are met, and reporting requirements are met. During the term of the CSPP QRIS Block Grant, funding allocations and budgets will be amended based on performance and/or non-compliance with requirements of the RFA. Amendments to funding allocations can be made by CDE at any time during the term of the CSPP QRIS Block Grant.

Allocations may be decreased for the following reasons:

- Participating site targets are not met (as reflected in the Common Data File) – decreased by the predetermined cost per site multiplied by the number of sites
- Joint assessment (completed by the CDE and the lead agency) determines lead agency does not have the capacity to exhaust the entire funding allocation
- Major CSPP QRIS Block Grant System Changes

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

- Major changes to quality improvement methods
- Any subcontractor changes
- Changes to CSPP QRIS Block Grant administration and oversight staff (e.g., executive director, chief financial officer, program director, etc.)
- Budget line item shifts equal to or greater than 20 percent

Major system changes in state funds are permissible only upon written approval by the CDE. The lead agency must submit a written request at least 60 days prior to the implementation of the proposed change (staffing changes must be disclosed within 30 days of a change). If

applicable, an Action Plan and corresponding budget amendment must be submitted describing the major system change and the change to the original budget for one or more fiscal years.

Dispute Resolution

The lead agency shall attempt to resolve disputes of fiscal components (reimbursement, budget amendments, etc.) with CDE staff. If the dispute is not resolved at the first staff level, the Executive Director or designee of the lead agency may appeal the decision. If the lead agency wishes to appeal, a written description of the issues and the basis for the dispute must be sent to the ELCD Division Director within thirty (30) calendar days of receiving an initial response from the first-level determination of the dispute. The letter must have an original signature of the Executive Director or designee. The appeal should be delivered or mailed to:

QCC Local Consortia and Partnership Grants Appeals
Early Learning and Care Division
California Department of Education
1430 N Street, Suite 3410
Sacramento, CA 95814-5901

Within thirty (30) calendar days of receiving the lead agency's written dispute, the ELCD Director will review the facts of the dispute, and if deemed necessary, will meet with the lead agency's Executive Director or designee for purposes of resolving the dispute. The ELCD Director shall notify the lead agency in writing of the results of the appeal, along with the reasons for the decision, within sixty (60) calendar days of the receipt of the lead agency's notification of the dispute. The ELCD Director's decision is the final administrative action afforded the appeal.

Retention of Program Records

Records substantiating state funds disbursed by the CDE to the lead agency are subject to monitoring, examination, and audit by the CDE 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. The CDE shall have access to the lead agency's offices and/or CSPP QRIS Block Grant sites, upon reasonable notice and during normal business hours, for the purpose of interviewing employees and inspecting and copying books, records, accounts, and other material that may be relevant to a matter under investigation, and for the purpose of determining compliance with the allowable uses of CSPP QRIS Block Grant funds.

Termination of Agreement

The CDE retains the option to terminate a Grant Award Notification (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 the CDE terminates the agreement at its discretion, the lead agency will be entitled to reimbursement 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 the 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 CDE.

Funding Contingencies for Grant Award Notifications

1. Any entity that enters into a CSPP QRIS Block Grant Agreement with the CDE understands and agrees that the Agreement is valid and enforceable only if sufficient funds are available in the appropriate accounts administered by the CDE to carry out the purposes of the Agreement. This Agreement shall be invalid and of no further force and effect if sufficient funds are not available in the appropriate account due to:
 - Any additional restrictions, limitations, or conditions enacted by the Legislature
 - Any statute enacted by the Legislature that may affect the provisions, terms, or funding for the Agreement in any manner
2. In the event there are insufficient funds in the CSPP QRIS Block Grant account due to any of the aforementioned reasons, the State of California and/or the CDE shall have no liability to pay any funds to the lead agency or to furnish any other considerations under the Agreement; the lead agency, subsequently, shall not be obligated to perform any provisions of the Agreement.
3. If full funding does not become available, the CDE will amend the Agreement to reflect the funding reduction and/or reduced activities.
4. If possible, alternate funding arrangements may be made to address CDE cash flow issues.

Ownership of Products and Copyright

Upon their creation, all products, deliverables, or like items that are produced, created, developed, or the like, shall become the sole and complete property of the CDE during the term of the Grant Award Agreement. The CDE retains all rights to use, reproduce, distribute, or display any products created, provided, developed, or produced under the Agreement and any derivative products based on Agreement products, as well as all other rights, privileges, and remedies granted or reserved to a copyright owner under statutory and common-law copyright law.

Any subcontractor agreements shall include language granting the CDE the copyright for any products created, provided, developed, or produced under the Grant Award Agreement and ownership of any products not fixed in any tangible medium of expression. In addition, the lead agency shall require the other party to assign those rights to the CDE in a format prescribed by the CDE. For any products for which the copyright is not granted to the CDE, the CDE shall retain a royalty-free, nonexclusive, and irrevocable license throughout the world to reproduce, to prepare derivative products, to distribute copies, to perform, to display, or otherwise use, duplicated, or dispose of such products in any manner for governmental purposes and to have or permit others to do so.

All products distributed under the terms of the Agreement and any reproductions of products shall include a notice of copyright in a place that can be visually perceived at the direction of the CDE. This notice shall be placed prominently on products and set apart from other matter on the page or medium where it appears. The notice shall state "Copyright" or "©," the year in which the work was created, and "California Department of Education."

Non-Discrimination

During the performance of the Grant Award Agreement, the lead agency and its subcontractors shall not unlawfully discriminate, harass, or allow harassment against any employee or applicant for employment because of sex, race, color, ancestry, religious creed, national origin, physical disability, mental disability, medical condition, age, marital status, and denial of family care leave. The lead agency and subcontractors shall ensure that the evaluation and treatment of their employees and applicants for employment are free from such discrimination and harassment. The lead agency and subcontractors shall comply with the provisions of the Fair Employment and Housing Act (Gov. Code §12990 (a-f) et seq.) and the applicable regulations promulgated thereunder (California Code of Regulations, Title 2, section 7285 et seq.). The applicable regulations of the Fair Employment and Housing Commission implementing Government Code section 12990 (a-f), set forth in Chapter 5 of Division 4 of Title 2 of the California Code of Regulations, will be incorporated into the Agreement.

Indemnification and Hold Harmless

Neither the CDE nor any officer or employee thereof is responsible for any damage or liability occurring by reason of anything done or omitted to be done by the lead agency under, or in connection with any work, authority, or jurisdiction delegated to the lead agency under the Grant Award Agreement. It is understood and agreed, pursuant to Government Code section 895.4, the lead agency shall fully defend, indemnify, and save harmless the CDE and all of its officers and employees from all claims, suits, or actions of every name, kind, and description brought forth occurring by reason of anything done or omitted to be done by the lead agency under or in connection with any work, authority, or jurisdiction delegated to the Contractor under the Agreement.

Appendix F: CDE QCC-PDG-R Block Grant Funding Details

County Funding Allocations

QCC-PDG-R Block Grant Allocations

Grant allocations for the QCC-PDG-R Block Grant funds were developed through an improved formula that includes an operational base as well as the following: (1) July 2018 CDSS Community Care Licensing (CCLD) data, (2) number of subsidized family, friend, and neighbor caregivers, and (3) number of children ages 0 to 5 years eligible for subsidized care. Previous allocations were developed solely on CDSS CCLD data, which no longer captures the expanded QCC model of all ELC settings and the prioritization of children and communities that are high-impact.

For each grant year, the allocation formula will reflect an increased weighting for the number of children ages 0 to 5 years eligible for subsidy. The state developed this funding formula to consider a balance between access to care, both licensed and FFN, and children eligible for subsidized care in a county. The TCCAC allocation shall remain constant each grant year.

While allocations are provided for future years below, actual grant allocations will be reviewed annually in order to incorporate updated data and will be contingent on funds being allocated through the annual federal and state budget process. Grant award notifications will reflect the final funding allocation.

County Funding Allocations¹⁰

County	2020-21	2021-22	2022-23
Alameda	\$ 640,833	\$ 609,625	\$ 578,418
Alpine	\$ 10,711	\$ 10,668	\$ 10,626
Amador	\$ 28,011	\$ 27,135	\$ 26,260
Butte	\$ 106,687	\$ 109,066	\$ 111,446
Calaveras	\$ 27,062	\$ 26,463	\$ 25,865
Colusa	\$ 25,877	\$ 25,569	\$ 25,260
Contra Costa	\$ 419,022	\$ 410,338	\$ 401,655
Del Norte	\$ 24,456	\$ 23,949	\$ 23,443
El Dorado	\$ 57,158	\$ 55,359	\$ 53,559
Fresno	\$ 440,587	\$ 462,018	\$ 483,449
Glenn	\$ 29,669	\$ 29,381	\$ 29,093
Humboldt	\$ 64,978	\$ 65,945	\$ 66,910
Imperial	\$ 105,738	\$ 106,060	\$ 106,383
Inyo	\$ 25,877	\$ 24,740	\$ 23,604
Kern	\$ 354,090	\$ 368,186	\$ 382,282
Kings	\$ 93,652	\$ 92,330	\$ 91,009
Lake	\$ 45,073	\$ 44,012	\$ 42,951
Lassen	\$ 26,588	\$ 26,075	\$ 25,563

¹⁰ Final allocations may differ based on approved applications and annual funds available from federal and state budgets.

Los Angeles	\$ 3,548,775	\$ 3,548,898	\$ 3,549,019
Madera	\$ 77,064	\$ 76,994	\$ 76,924
Marin	\$ 87,729	\$ 84,660	\$ 81,593
Mariposa	\$ 16,399	\$ 16,199	\$ 16,000
Mendocino	\$ 51,471	\$ 50,647	\$ 49,824
Merced	\$ 126,830	\$ 132,254	\$ 137,678
Modoc	\$ 18,295	\$ 17,784	\$ 17,273
Mono	\$ 16,872	\$ 16,530	\$ 16,188
Monterey	\$ 142,470	\$ 147,727	\$ 152,983
Napa	\$ 49,101	\$ 48,204	\$ 47,308
Nevada	\$ 39,859	\$ 39,868	\$ 39,877
Orange	\$ 568,080	\$ 596,069	\$ 624,058
Placer	\$ 132,280	\$ 128,500	\$ 124,721
Plumas	\$ 24,456	\$ 23,667	\$ 22,877
Riverside	\$ 536,800	\$ 577,611	\$ 618,424
Sacramento	\$ 649,837	\$ 641,407	\$ 632,977
San Benito	\$ 32,276	\$ 32,228	\$ 32,181
San Bernardino	\$ 737,045	\$ 761,734	\$ 786,423
San Diego	\$ 1,224,032	\$ 1,211,086	\$ 1,198,139
San Francisco	\$ 351,483	\$ 326,173	\$ 300,861
San Joaquin	\$ 418,075	\$ 408,377	\$ 398,680
San Luis Obispo	\$ 106,687	\$ 103,146	\$ 99,604
San Mateo	\$ 253,375	\$ 241,663	\$ 229,950
Santa Barbara	\$ 170,670	\$ 173,939	\$ 177,208
Santa Clara	\$ 641,306	\$ 616,117	\$ 590,928
Santa Cruz	\$ 113,559	\$ 111,606	\$ 109,652
Shasta	\$ 71,140	\$ 74,742	\$ 78,343
Sierra	\$ 11,896	\$ 11,806	\$ 11,716
Siskiyou	\$ 31,328	\$ 30,668	\$ 30,007
Solano	\$ 199,108	\$ 196,603	\$ 194,098
Sonoma	\$ 161,902	\$ 158,816	\$ 155,730
Stanislaus	\$ 186,073	\$ 193,126	\$ 200,176
Sutter	\$ 52,182	\$ 51,832	\$ 51,484
Tehama	\$ 38,674	\$ 39,600	\$ 40,525
Trinity	\$ 14,976	\$ 15,305	\$ 15,633
Tulare	\$ 210,009	\$ 218,605	\$ 227,201
Tuolumne	\$ 30,617	\$ 29,906	\$ 29,195
Ventura	\$ 248,399	\$ 250,705	\$ 253,010
Yolo	\$ 92,705	\$ 88,249	\$ 83,792
Yuba	\$ 40,096	\$ 40,030	\$ 39,964
TCCAC	\$ 475,000	\$ 475,000	\$ 475,000

Grant Terms and Conditions

General Assurances

Applicants do not need to sign and return the general assurances and certifications with the application. Instead, applicants must download assurances and certifications, and keep them on file and available for monitoring reviews, complaint investigations, or audits. General assurances and certifications are available on the CDE Funding Forms web page at <https://www.cde.ca.gov/fg/fo/fm/ff.asp>.

Indirect Cost Rate

- If indirect costs are claimed, an indirect cost allocation plan must be on file with the contractor and available for review by the CDE staff and auditors.
- In accordance with the *Uniform Guidance* 200.414(f), the maximum indirect cost rate for any non-federal entity that has never received a negotiated indirect cost rate, shall be ten percent (10%) of the modified total direct costs.
- For any non-federal entity that has a negotiated indirect cost rate, which includes all school districts and county offices of education, the maximum indirect cost rate shall be the lesser of the negotiated indirect cost rate or the ten percent (10%) indirect cost rate referenced in *Uniform Guidance* 200.414(f).
- This rate is applied to budget categories 1000–5000 only in determining the maximum amount of indirect costs that are reimbursable under the contract.
- The amount of cost allocable to this contract shall not exceed the benefits to this contract. The allocation method must quantify this benefit among all similar programs and then distribute the costs accordingly.
- The indirect cost rate shall not include consideration of any costs otherwise non-reimbursable. If a depreciation or use allowance is included in the indirect cost rate, such allowance shall not be claimed on the asset.

Restricted Use of QCC-PDG-R Block Grant Funds

QCC-PDG-R Block Grant funds shall be expended only for the purposes expressed in the RFA and may be used only to supplement existing levels of service. QCC-PDG-R Block Grant funds must not supplant existing local, state, or federal funding; only supplemental costs may be charged.

QCC-PDG-R Block Grant funds are not intended for direct services, but rather to support the quality improvement system and support early learning programs to achieve higher levels of quality. No project or activity can be approved that proposes to provide direct services (e.g., home visiting services, increasing early learning program slots, salaries for site personnel), supports only sites that are at one specific level of quality (e.g., only preschool programs at Tier 5), or provides a service required by state or federal law. For example, any project that solely provides special education services 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 would not be approved.

Budget Documentation

The QCC-PDG-R Block Grant Budget and Budget Narrative must be submitted to establish the initial budget for the Grant. These forms should be used in any revision of budget categories to capture variances of 20 percent or more from the current approved budget.

Budget amendments must be submitted to and approved by the CDE prior to the period for which expenditures will occur. Lead agencies requesting budget amendments not impacting the Grant Award Agreement amount (revisions to budget categories) will receive notification of approval or denial via written correspondence from the CDE. Requests of this nature are necessary to allow for consistency when submitting reimbursement invoices.

If appropriate approvals are not received, the CDE may withhold payment for changes in budget categories exceeding the amount allocated in the current approved budget by more than 20 percent.

Use of Subcontractors

The lead agency can subcontract with another entity to implement the QCC-PDG-R Block Grant as an intermediary; however, the lead agency remains legally responsible for all program, administrative, evaluation, and fiscal requirements of the RFA and Grant Award Agreement even if administered through an intermediary.

If a lead agency subcontracts with another agency to implement the QCC-PDG-R Block Grant, any communication regarding implementation of the QCC-PDG-R Block Grant must occur through the lead agency. The CDE will not discuss any program, administrative, evaluation, or fiscal issues with a subcontractor. The lead agency must adhere to the State of California's contract bidding requirement. The lead agency is also responsible for collection of necessary data.

If it is discovered the lead agency did not attempt to obtain prior CDE approval or did not follow the state's contract bidding requirements, the related expenses will be disallowed.

Any subcontract entered into as a result of the subsequent Grant Award Agreement shall contain all the provisions held within.

Assignment

The Grant Award is not assignable by the Grantee, either in whole or in part, without the consent of the CDE in the form of a formal written amendment.

Independent Grantee

The Grantee, and the agents and employees of the Grantee, in the performance of this Grant Award, shall act in an independent capacity and not as officers or employees or agents of the state.

News Releases And Publicity

The Grantee shall inform the Grant Manager at the CDE of any statements made to the news media regarding the operational procedures and status of work related to this Grant Award and

provide the CDE the opportunity to review and comment on any print or electronic news releases related to this grant prior to the release of information to the public.

Information Security Incidents

The Grantee agrees to notify the CDE by telephone and in writing via email of any use or disclosure of information not provided for by this Grant Award of which it becomes aware within three (3) working days of initial detection. Written reports of information security incidents shall contain information on the incident (e.g., hacking, virus, and theft), a description of information that was compromised, and classification of the information (e.g., confidential, sensitive, personal). The system or device affected by an information security incident shall be removed from operation immediately. It shall remain removed from operation until correction and mitigation measures have been applied.

Release of Data or Products

Except as specified in the Grant Award, the Grantee shall not release or disclose any aggregated data or any products created, produced, or developed pursuant to the Grant to any person, except to the Grantee's personnel, attorneys, prospective vendors, the Grantee's law firms, and other companies or individuals who are necessary for, and are to be directly involved in, the development, production, and distribution of the products permitted. Products include, but are not limited to, drafts or works in progress. The Grantee agrees to ensure that any agents to whom it provides the data, agrees to the same restrictions and conditions that apply to the grantee with respect to such information. The Grantee shall employ reasonable procedures to protect these products from unauthorized use and disclosure. The CDE retains the right to approve any procedures employed by the Grantee to comply with this provision. Personally-identifiable data regarding children, families and providers served under the grant funding shall never be released to any third party without the approval of the CDE.

Capital Assets

CDE funds may not be used for capital assets as defined by the California State Administrative Manual (SAM) and the California School Accounting Manual – land, improvements to land, easements, buildings, building improvements, vehicles, machinery, equipment, works of art and historical treasures, infrastructure, and all other tangible or intangible assets that are used in operations and that have initial useful lives extending beyond a single reporting period and a unit cost of \$5,000 or more (SAM Section 8602).

In accordance with SAM, if property does not have an expected useful life of at least one year and the purchase cost does not exceed \$5,000, for purposes of the QCC-PDG-R Block Grant, the purchase is considered an expenditure and not a capital asset.

Lead agencies must review existing policy regarding capital assets. If the lead agency's policy identifies a lower monetary threshold than SAM for capital assets, the lead agency's policy must be enforced when expending QCC-PDG-R Block Grant funds. If the lead agency's policy identifies a higher monetary threshold than SAM for capital assets, the State of California's policy (per SAM) must be enforced when expending QCC-PDG-R Block Grant funds.

Payment Withholds

Failure to submit timely and accurate fiscal information, evaluation data, and program reports as required by the CDE may result in the withholding of a disbursement of funds, until which time the required information, data, or reports have been received. Serious delays in fiscal report submission may result in a written request by the CDE for an accounting of expenditures or special review of fiscal and program activity. The CDE may reduce or terminate program participation if it is determined that a lead agency has failed to adhere to the terms and conditions of the RFA and/or its approved Grant Award Agreement, including any amendments to the RFA or Grant Award Agreement.

Overpayment

If it is determined that a lead agency received an overpayment of QCC-PDG-R Block Grant funds, the CDE will inform the lead agency of the overpayment and provide options for recovery: 1) issue an invoice to the lead agency, or 2) reduce a future reimbursement claim. If the invoice is preferred, payment shall be processed within forty-five (45) days of receipt or future claims may be withheld or adjusted. The CDE has the right to recoup all the costs associated with collection of the overpayment, including attorney's fees.

Carryover Funds

There are no carryover funds for the QCC-PDG-R Block Grant.

Amendment to Funding Allocations/Budgets

Lead agencies will have access to funding and spending flexibility within their total budget by fiscal year if cash is available in the appropriate CDE accounts, performance measures are met, and reporting requirements are met.

During the term of the QCC-PDG-R Block Grant, funding allocations and budgets will be amended based on performance and/or non-compliance with requirements of the RFA.

Amendments to funding allocations can be made by CDE at any time during the term of the QCC-PDG-R Block Grant.

Allocations may be decreased for the following reasons:

- Site participation targets are not met (as reflected in the Common Data File submission) – decreased by the predetermined cost per site multiplied by the number of sites
- Joint assessment (completed by the CDE and the lead agency) determines lead agency does not have the capacity to exhaust the entire funding allocation
- Major QCC-PDG-R Block Grant System Changes

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

- Major changes to quality improvement methods
- Any subcontractor changes

- Changes to QCC-PDG-R Block Grant administration and oversight staff (e.g., executive director, chief financial officer, program director)
- Budget line item shifts equal to or greater than 20 percent

Major system changes in state funds are permissible only upon written approval by the CDE. The lead agency must submit a written request at least 60 days prior to the implementation of the proposed change (staffing changes must be disclosed within 30 days of a change). If applicable, an Action Plan and corresponding budget amendment must be submitted describing the major system change and the change to the original budget for one or more fiscal years.

Dispute Resolution

The lead agency shall attempt to resolve disputes of fiscal components (reimbursement, budget amendments, etc.) with CDE staff. If the dispute is not resolved at the first staff level, the Executive Director or designee of the lead agency may appeal the decision. If the lead agency wishes to appeal its score, a written description of the issues and the basis for the dispute must be sent to the ELCD Division Director within thirty (30) calendar days of receiving an initial response from the first-level determination of the dispute. The letter must have an original signature of the Executive Director or designee. The appeal should be delivered or mailed to:

QCC Local Consortia and Partnership Grants Appeals
 Early Learning and Care Division
 California Department of Education
 1430 N Street, Suite 3410
 Sacramento, CA 95814-5901

Within thirty (30) calendar days of receiving the lead agency's written dispute, the ELCD Director will review the facts of the dispute, and if deemed necessary, will meet with the lead agency's Executive Director or designee for purposes of resolving the dispute. The ELCD Director shall notify the lead agency in writing of the results of the appeal 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 ELCD Director's decision is the final administrative action afforded the appeal.

Retention of Program Records

Records substantiating state funds disbursed by the CDE to the lead agency are subject to monitoring, examination, and audit by the CDE 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. The CDE shall have access to the lead agency's offices and/or QCC-PDG-R Block Grant sites, upon reasonable notice, during normal business hours, for the purpose of interviewing employees and inspecting and copying books, records, accounts, and other material that may be relevant to a matter under investigation, and for the purpose of determining compliance with the allowable uses of QCC-PDG-R Block Grant funds.

Termination of Agreement

The CDE retains the option to terminate a Grant Award Notification (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 the CDE terminates the agreement at its discretion, the lead agency will be entitled to reimbursement 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 the 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 CDE.

Funding Contingencies for Grant Award Notifications

- Any entity that enters into a QCC-PDG-R Block Grant Agreement with the CDE understands and agrees that the Agreement is valid and enforceable only if sufficient funds are available in the appropriate accounts administered by the CDE to carry out the purposes of the Agreement. This Agreement shall be invalid and of no further force and effect if sufficient funds are not available in the appropriate account due to:
 - Any additional restrictions, limitations, or conditions enacted by the Legislature
 - Any statute enacted by the Legislature that may affect the provisions, terms, or funding for the Agreement in any manner
- In the event there are insufficient funds in the QCC-PDG-R Block Grant account due to any of the aforementioned reasons, the State of California and/or the CDE shall have no liability to pay any funds to the lead agency or to furnish any other considerations under the Agreement; the lead agency, subsequently, shall not be obligated to perform any provisions of the Agreement.
- If full funding does not become available, the CDE will amend the Agreement to reflect the funding reduction and/or reduced activities.
- If possible, alternate funding arrangements may be made to address CDE cash flow issues.

Ownership of Products and Copyright

Upon their creation, all products, deliverables, or like items that are produced, created, developed, or the like, shall become the sole and complete property of the CDE during the term of the Grant Award Agreement. The CDE retains all rights to use, reproduce, distribute, or display any products created, provided, developed, or produced under the Agreement and any derivative products based on Agreement products, as well as all other rights, privileges, and remedies granted or reserved to a copyright owner under statutory and common-law copyright law.

Any subcontractor agreements shall include language granting the CDE the copyright for any products created, provided, developed, or produced under the Grant Award Agreement and

ownership of any products not fixed in any tangible medium of expression. In addition, the lead agency shall require the other party to assign those rights to the CDE in a format prescribed by the CDE. For any products for which the copyright is not granted to the CDE, the CDE shall retain a royalty-free, nonexclusive, and irrevocable license throughout the world to reproduce, to prepare derivative products, to distribute copies, to perform, to display, or otherwise use, duplicated, or dispose of such products in any manner for governmental purposes and to have or permit others to do so.

All products distributed under the terms of the Agreement and any reproductions of products shall include a notice of copyright in a place that can be visually perceived at the direction of the CDE. This notice shall be placed prominently on products and set apart from other matter on the page or medium where it appears. The notice shall state "Copyright" or "©," the year in which the work was created, and "California Department of Education".

Federal Language for PDG-R Funding

Participant support costs require prior approval per 45 CFR § 75.456. Any change will require a budget revision amendment. This applies to individuals who are not employed and applies to sub-recipients. You must make a formal budget amendment if you have direct costs (e.g., travel, registration fees, training fees for conferences) for non-employees (e.g., board members, teachers).

Publications or audiovisual media must include the following disclaimer: "This [publication or project] was made possible by grant number 90TP0063-01-00. Its contents are solely the responsibility of the authors and do not necessarily represent the official view of the United States Department of Health and Human Services, Administration for Children and Families."

Publications exceeding 200 copies or more for distribution to the general public must bear an acknowledgement and disclaimer such as the following: The production of this [insert type of audiovisual/public service announcement] was supported by grant 90TP0063-01-00 from ACF. Its contents are solely the responsibility of [insert name of recipient] and do not necessarily represent the official views of ACF.

Non-Discrimination

During the performance of the Grant Award Agreement, the lead agency and its subcontractors shall not unlawfully discriminate, harass, or allow harassment against any employee or applicant for employment because of sex, race, color, ancestry, religious creed, national origin, physical disability, mental disability, medical condition, age, marital status, and denial of family care leave. The lead agency and subcontractors shall insure that the evaluation and treatment of their employees and applicants for employment are free from such discrimination and harassment. The lead agency and subcontractors shall comply with the provisions of the Fair Employment and Housing Act (Gov. Code §12990 (a-f) et seq.) and the applicable regulations promulgated thereunder (California Code of Regulations, Title 2, section 7285 et seq.). The applicable regulations of the Fair Employment and Housing Commission implementing Government Code section 12990 (a-f), set forth in Chapter 5 of Division 4 of Title 2 of the California Code of Regulations, will be incorporated into the Agreement.

Indemnification and Hold Harmless

Neither the CDE nor any officer or employee thereof is responsible for any damage or liability occurring by reason of anything done or omitted to be done by the lead agency under, or in connection with any work, authority, or jurisdiction delegated to the lead agency under the Grant Award Agreement. It is understood and agreed, pursuant to Government Code section 895.4, the lead agency shall fully defend, indemnify, and save harmless the CDE and all of its officers and employees from all claims, suits, or actions of every name, kind, and description brought forth occurring by reason of anything done or omitted to be done by the lead agency under or in connection with any work, authority, or jurisdiction delegated to the Contractor under the Agreement.

Appendix G: CDE Block Grant Authority

California Education Code Section 8203.1.

(a) The Superintendent shall administer a QRIS block grant, pursuant to an appropriation made for that purpose in the annual Budget Act, to be allocated to local Consortia for support of local early learning quality rating and improvement systems that increase the number of low-income children in high quality preschool programs that prepare those children for success in school and life.

(b) (1) For purposes of this section, “early learning quality rating and improvement system” or “QRIS” is defined as a locally determined system for continuous quality improvement based on a tiered rating structure with progressively higher quality standards for each tier that provides supports and incentives for programs, teachers, and administrators to reach higher levels of quality, monitors and evaluates the impacts on child outcomes, and disseminates information to parents and the public about program quality.

(2) For purposes of this section, “local consortium” is defined as a local or regional entity, administered by a lead agency, that convenes a planning body that designs and implements a QRIS. A local consortium shall include representatives from organizations including, but not limited to, the following:

- Local educational agencies
- First 5 county commissions
- Local postsecondary education institutions
- Local child care planning councils
- Local resource and referral agencies
- Other local agencies, including nonprofit organizations that provide services to children from birth to five years of age, inclusive

(3) For purposes of this section, “quality continuum framework” means the tiered rating matrix created and adopted by a local consortium for purposes of implementing a QRIS. The tiered rating matrix shall include three common tiers shared by all participating local Consortia. Changes to the common tiers shall be approved and adopted by all participating local Consortia.

(c) The QRIS block grant shall build on local Consortia and other local QRIS work in existence on or before the operative date of this section.

(d) For the 2014–15 fiscal year, if a county or region has an established local consortium that has adopted a quality continuum framework, the local consortium’s lead administering agency shall be provided the first opportunity to apply for a QRIS block grant.

(e) Local Consortia shall do the following to be eligible for a QRIS block grant:

- (1) Implement a QRIS that incorporates evidence-based elements and tools in the quality continuum framework that are tailored to the local conditions and enhanced with local resources.
- (2) Set ambitious yet achievable targets for California State Preschool Program contracting agencies' participation in the QRIS with the goal of achieving the highest common tier, as the tier existed on June 1, 2014, or a higher level of quality.
- (3) Develop an action plan that includes a continuous quality improvement process that is tied to improving child outcomes.
- (4) Describe how QRIS block grant funds will be used to increase the number of sites achieving the highest common local tier and to directly support classrooms that have achieved the highest common tier, as that tier existed on June 1, 2014, or a higher level of quality.

(f) The Superintendent, in consultation with the executive director of the State Board, shall allocate QRIS block grant funds to local Consortia that satisfy the requirements of subdivision (e) based on the number of California State Preschool Program slots within the county or region.

(g) (1) Local Consortia receiving QRIS block grant funds shall allocate those funds to contracting agencies of the California State Preschool Program, as established by Article 7 (commencing with Section 8235), or local educational agencies, for activities that support and improve quality, and assess quality and access. In allocating the QRIS block grant funds, priority shall be given to directly supporting the classrooms of the California State Preschool Program sites that have achieved the highest common local tier of quality.

(2) No more than 20 percent of a local consortium's QRIS block grant funds may be used for assessment and access projects.

(h) A family child care home education network established pursuant to Section 8245 that provides California State Preschool Program services shall be eligible for an allocation from a local consortium of QRIS block grant funds for activities that support, improve, and assess quality.

Federal Child Care and Development Block Grant Act, 42 USCA Section 9858e

(a) Reservation. —

(1) Reservation for Activities Relating to the Quality of Child Care Services.—A state that receives funds to carry out this subchapter for a fiscal year referred to in paragraph (2) shall reserve and use a portion of such funds, in accordance with paragraph (2), for activities provided directly, or through grants or contracts with local child care resource and referral organizations or other appropriate entities, that are designed to improve the quality of child care services and increase parental options for, and access to, high quality child care, and is in alignment with a statewide assessment of the state's needs to carry out such services and care, provided in accordance with this subchapter.

(2) Amount of Reservations. —Such state shall reserve and use—

(A) To carry out the activities described in paragraph (1), not less than—

(i) 7 percent of the funds described in paragraph (1), for the first and second full fiscal years after the date of enactment of the Child Care and Development Block Grant Act of 2014;

(ii) 8 percent of such funds for the third and fourth full fiscal years after the date of enactment; and

(iii) 9 percent of such funds for the fifth and each succeeding full fiscal year after the date of enactment; and

(B) In addition to the funds reserved under subparagraph (A), 3 percent of the funds described in paragraph (1) received not later than the second full fiscal year after the date of enactment and received for each succeeding full fiscal year, to carry out the activities described in paragraph (1) and subsection (b)(4), as such activities relate to the quality of care for infants and toddlers.

(3) State Reservation Amount.—Nothing in this subsection shall preclude the state from reserving a larger percentage of funds to carry out the activities described in paragraph (1) and subsection (b).

(b) Activities.—Funds reserved under subsection (a) shall be used to carry out no fewer than one of the following activities that will improve the quality of child care services provided in the state:

(1) Supporting the training and professional development of the child care workforce through activities such as those included under section 658E(c)(2)(G), in addition to—

(A) Offering training and professional development opportunities for child care providers that relate to the use of scientifically-based, developmentally-appropriate and age-appropriate strategies to promote the social, emotional, physical, and cognitive development of children, including those related to nutrition and physical activity, and offering specialized training for child care providers caring for those populations prioritized in section 658E(c)(2)(Q), and children with disabilities;

(B) Incorporating the effective use of data to guide program improvement;

(C) Including effective behavior management strategies and training, including positive behavior interventions and support models, that promote positive social and emotional development and reduce challenging behaviors, including reducing expulsions of preschool-aged children for such behaviors;

(E) Providing training and outreach on engaging parents and families in culturally and linguistically appropriate ways to expand their knowledge, skills, and capacity to become meaningful partners in supporting their children's positive development;

(F) Providing training corresponding to the nutritional and physical activity needs of children to promote healthy development;

(G) Providing training or professional development for child care providers regarding the early neurological development of children; and

(H) Connecting child care staff members of child care providers with available federal and state financial aid, or other resources, that would assist child care staff members in pursuing relevant postsecondary training.

(2) Improving upon the development or implementation of the early learning and developmental guidelines described in section 658E(c)(2)(T) by providing technical assistance to eligible child care providers that enhances the cognitive, physical, social and emotional development, including early childhood development, of participating preschool and school-aged children and supports their overall well-being.

(3) Developing, implementing, or enhancing a tiered quality rating system for child care providers and services, which may—

(A) Support and assess the quality of child care providers in the state;

(B) Build on state licensing standards and other state regulatory standards for such providers;

(C) Be designed to improve the quality of different types of child care providers and services;

(D) Describe the safety of child care facilities;

(E) Build the capacity of state early childhood programs and communities to promote parents' and families' understanding of the state's early childhood system and the ratings of the programs in which the child is enrolled;

(F) Provide, to the maximum extent practicable, financial incentives and other supports designed to expand the full diversity of child care options and help child care providers improve the quality of services; and

(G) Accommodate a variety of distinctive approaches to early childhood education and care, including but not limited to, those practiced in faith-based settings, community-based settings, child-centered settings, or similar settings that offer a distinctive approach to early childhood development.

Code of Federal Regulations, Title 45, Section 98.53 (a)(1 through 4)

(a) The lead agency must expend funds from each fiscal year's allotment on quality activities pursuant to §§98.50(b) and 98.83(g) in accordance with an assessment of need by the lead agency. Such funds must be used to carry out at least one of the following quality activities to improve the quality of child care services for all children, regardless of CCDF receipt, in accordance with paragraph (d) of this section:

(1) Supporting the training, professional development, and postsecondary education of the child care workforce as part of a progression of professional development through activities such as those included at §98.44, in addition to:

(i) Offering training, professional development, and postsecondary education opportunities for child care caregivers, teachers and directors that:

(A) Relate to the use of scientifically-based, developmentally-appropriate, culturally-appropriate, and age-appropriate strategies to promote the social, emotional, physical, and cognitive development of children, including those related to nutrition and physical activity; and

(B) Offer specialized training, professional development, and postsecondary education for caregivers, teachers and directors caring for those populations prioritized at §98.44(b)(2)(iv), and children with disabilities;

(ii) Incorporating the effective use of data to guide program improvement and improve opportunities for caregivers, teachers and directors to advance on their progression of training, professional development, and postsecondary education;

(iii) Including effective, age-appropriate behavior management strategies and training, including positive behavior interventions and support models for birth to school-age, that promote positive social and emotional development and reduce challenging behaviors, including reducing suspensions and expulsions of children under age five for such behaviors;

(iv) Providing training and outreach on engaging parents and families in culturally and linguistically appropriate ways to expand their knowledge, skills, and capacity to become meaningful partners in supporting their children's positive development;

(v) Providing training corresponding to the nutritional and physical activity needs of children to promote healthy development;

(vi) Providing training or professional development for caregivers, teachers and directors regarding the early neurological development of children; and

(vii) Connecting child care caregivers, teachers, and directors with available federal and state financial aid that would assist these individuals in pursuing relevant postsecondary education, or delivering financial resources directly through programs that provide scholarships and compensation improvements for education attainment and retention.

(2) Improving upon the development or implementation of the early learning and development guidelines at §98.15(a)(9) by providing technical assistance to eligible child care providers in order to enhance the cognitive, physical, social, and emotional development and overall well-being of participating children.

(3) Developing, implementing, or enhancing a tiered quality rating and improvement system for child care providers and services to meet consumer education requirements at §98.33, which may:

- (i) Support and assess the quality of child care providers in the state, territory, or tribe;
- (ii) Build on licensing standards and other regulatory standards for such providers;
- (iii) Be designed to improve the quality of different types of child care providers and services;
- (iv) Describe the safety of child care facilities;
- (v) Build the capacity of early childhood programs and communities to promote parents' and families' understanding of the early childhood system and the rating of the program in which the child is enrolled;
- (vi) Provide, to the maximum extent practicable, financial incentives and other supports designed to expand the full diversity of child care options and help child care providers improve the quality of services; and
- (vii) Accommodate a variety of distinctive approaches to early childhood education and care, including but not limited to, those practiced in faith-based settings, community-based settings, child-centered settings, or similar settings that offer a distinctive approach to early childhood development.

(4) Improving the supply and quality of child care programs and services for infants and toddlers through activities, which may include:

- (i) Establishing or expanding high quality community or neighborhood based family and child development centers, which may serve as resources to child care providers in order to improve the quality of early childhood services provided to infants and toddlers from low-income families and to help eligible child care providers improve their capacity to offer high quality, age-appropriate care to infants and toddlers from low-income families;
- (ii) Establishing or expanding the operation of community or neighborhood based family child care networks;
- (iii) Promoting and expanding child care providers' ability to provide developmentally appropriate services for infants and toddlers through, but not limited to:
 - (A) Training and professional development for caregivers, teachers and directors, including coaching and technical assistance on this age group's unique needs from statewide networks of qualified infant and toddler specialists; and
 - (B) Improved coordination with early intervention specialists who provide services for infants and toddlers with disabilities under part C of the Individuals with Disabilities Education Act (20 U.S.C. 1431. et seq.);
- (iv) If applicable, developing infant and toddler components within the lead agency's quality rating and improvement system described in paragraph (a)(3) of this section for child care

providers for infants and toddlers, or the development of infant and toddler components in the child care licensing regulations or early learning and development guidelines;

(v) Improving the ability of parents to access transparent and easy to understand consumer information about high quality infant and toddler care as described at §98.33; and

(vi) Carrying out other activities determined by the lead agency to improve the quality of infant and toddler care provided, and for which there is evidence that the activities will lead to improved infant and toddler health and safety, infant and toddler cognitive and physical development, or infant and toddler well-being, including providing health and safety training (including training in safe sleep practices, first aid, and cardiopulmonary resuscitation for providers and caregivers.

Appendix H: IMPACT 2020 Funding Details

IMPACT 2020 Grant Allocation

Grant allocations were determined using an analysis of F5 IMPACT allocations (including Incentive Layer funds), consortia budgeting and spending approaches, and prioritized maintaining consistent level of IMPACT funding between FY 2019–20 and 2020–21 with incremental annual decreases over the grant term. Total allocation includes funds for outreach, engagement, assessments, ratings, incentives, coaching, professional development, and resources to participating sites and providers.

IMPACT 2020 Local Match

Lead agencies are responsible for maintaining or expanding fiscal partnership relations to ensure match funding requirements are met. Specifically, lead agencies are required to match local IMPACT 2020 funding based on county population size. F5CA will encourage lead agencies to actively seek ways to strategically add funds, or other state and local resources, to IMPACT 2020. Counties may not use CSPP Block Grant funds as a match source.

To achieve the required match ratios, lead agencies have the option of choosing one or a combination of both options below:

- Cash Match – a contribution by the lead agency toward eligible costs of their local IMPACT 2020 efforts in the form of cash, in-kind, or donated materials.
- Leveraged Funds – financial commitments toward the cost of projects/services related to IMPACT 2020 from a source other than the lead agency.

Note: All cash match or leveraged funds must be measurable and quantifiable in dollars.

Funds used as match can come from existing programs aligning with QCC and/or IMPACT 2020, with the exception of QRIS CSPP Block Grants.

Allowable matching funds include, but are not limited to, the following:

- Proposition 10 county tax revenue
- Small Population County Funding Augmentation
- Federal and state (e.g., QCC Block Grant, ELC Workforce Development Grant Funds)
- Local Workforce Investment Board
- Local government
- Non-profit organization
- Private foundation
- Grants
- In-kind (e.g., salary, space)

- Other Gifts

Lead agencies must engage multiple partners to acquire resources and secure a minimum of one non-state resource to meet match requirements. F5CA will determine an overpayment has occurred if a lead agency does not secure adequate matching funds. Overpayment remedies are covered later in this appendix.

IMPACT 2020 County Funding Allocation (3-Year Total)

County	IMPACT 2020 Allocation (3-Year Total)	Match Ratio (State: Local)	Required Local Match Amount (3-Year Total)	Optional Multi-County Consortium Supplement (3-Year Total)
Alameda	\$2,917,703	2:1	\$1,458,852	\$150,000
Alpine	\$31,554	6:1	\$5,259	\$12,730
Amador	\$212,601	6:1	\$35,434	\$61,551
Butte	\$433,656	4:1	\$108,414	\$150,000
Calaveras	\$227,248	5:1	\$45,450	\$56,077
Colusa	\$188,620	5:1	\$37,724	\$66,063
Contra Costa	\$2,185,071	3:1	\$728,357	\$150,000
Del Norte	\$200,372	5:1	\$40,074	\$63,185
El Dorado	\$953,631	5:1	\$190,726	\$150,000
Fresno	\$1,717,874	3:1	\$572,625	\$150,000
Glenn	\$289,502	5:1	\$57,900	\$78,121
Humboldt	\$345,261	4:1	\$86,315	\$132,723
Imperial	\$960,034	4:1	\$240,009	\$150,000
Inyo	\$209,774	6:1	\$34,962	\$65,659
Kern	\$1,834,572	3:1	\$611,524	\$150,000
Kings	\$1,004,650	5:1	\$200,930	\$150,000
Lake	\$513,067	5:1	\$102,613	\$150,000
Lassen	\$189,857	6:1	\$31,643	\$60,406
Los Angeles	\$8,277,135	1:1	\$8,277,135	\$150,000
Madera	\$645,251	4:1	\$161,313	\$150,000
Marin	\$784,609	4:1	\$196,152	\$150,000
Mariposa	\$175,269	6:1	\$29,211	\$33,528
Mendocino	\$349,436	5:1	\$69,887	\$150,000
Merced	\$1,075,536	4:1	\$268,884	\$150,000
Modoc	\$244,858	6:1	\$40,810	\$61,545
Mono	\$150,810	6:1	\$25,135	\$37,251
Monterey	\$788,868	3:1	\$262,956	\$150,000
Napa	\$471,998	5:1	\$94,400	\$150,000
Nevada	\$513,409	5:1	\$102,682	\$134,298
Orange	\$3,263,424	2:1	\$1,631,712	\$150,000

Placer	\$1,012,514	4:1	\$253,129	\$150,000
Plumas	\$235,537	6:1	\$39,256	\$ 61,556
Riverside	\$3,412,988	2:1	\$1,706,494	\$150,000
Sacramento	\$3,061,406	2:1	\$1,530,703	\$150,000
San Benito	\$359,967	5:1	\$71,993	\$87,451
San Bernardino	\$2,806,778	2:1	\$1,403,389	\$150,000
San Diego	\$4,130,968	2:1	\$2,065,484	\$150,000
San Francisco	\$1,600,707	3:1	\$533,569	\$150,000
San Joaquin	\$1,489,743	3:1	\$496,581	\$150,000
San Luis Obispo	\$1,171,338	4:1	\$292,835	\$150,000
San Mateo	\$1,202,240	3:1	\$400,747	\$150,000
Santa Barbara	\$1,036,787	3:1	\$345,596	\$150,000
Santa Clara	\$3,148,368	2:1	\$1,574,184	\$150,000
Santa Cruz	\$1,193,336	4:1	\$298,334	\$150,000
Shasta	\$541,530	4:1	\$135,383	\$150,000
Sierra	\$68,440	6:1	\$11,407	\$15,563
Siskiyou	\$328,993	6:1	\$54,832	\$95,674
Solano	\$664,207	3:1	\$221,402	\$ 150,000
Sonoma	\$956,136	3:1	\$318,712	\$150,000
Stanislaus	\$970,302	3:1	\$323,434	\$150,000
Sutter	\$443,992	5:1	\$88,798	\$150,000
Tehama	\$415,825	5:1	\$83,165	\$138,809
Trinity	\$223,125	6:1	\$37,187	\$47,319
Tulare	\$1,514,676	3:1	\$504,892	\$150,000
Tuolumne	\$246,336	6:1	\$41,056	\$ 66,288
Ventura	\$1,702,387	3:1	\$567,462	\$150,000
Yolo	\$934,634	4:1	\$233,659	\$150,000
Yuba	\$352,223	5:1	\$70,445	\$147,418
TCCAC	\$300,000	6:1	\$50,000	

IMPACT 2020 Funding Assurances, Terms, and Conditions

Grant Award Notification and Encumbrance Period

The grant award will be processed upon receipt of the signed Grant Award Notification (Agreement). The Agreement must be signed by the authorized agent and returned to F5CA within 10 working days of receipt.

All funds must be expended or legally obligated by June 30, 2023, beginning with the FY 2020–21, and for not more than the maximum amount indicated on the Agreement.

Encumbrances may be made at any time after the beginning date of the grant stated on the Agreement. No extensions of this grant will be allowed without prior approval.

Restricted Use of IMPACT 2020 Funds

IMPACT 2020 funds shall be expended only for the purposes expressed in the RFA and may be used only to supplement existing levels of service. IMPACT 2020 funds must not supplant existing local, state, or federal funding; only supplemental costs may be charged. No monies from the F5CA accounts shall be used to supplant state or local general fund money for any purpose.

IMPACT 2020 funds are not intended for direct services, but rather to support the quality improvement system and support early learning programs to achieve higher levels of quality. No project or activity can be approved that proposes to provide direct services (e.g., home visiting, increasing early learning program slots, salaries for site personnel), supports only one program type or sites that are at one specific level of quality (e.g., only preschool programs at Tier 5), or provides a service required by state law. For example, any project that solely provides special education services 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 would not be approved.

Administrative Indirect Cost Rate

The overall implementation of IMPACT 2020 includes both direct and indirect support for carrying out the goals of IMPACT 2020. For the purposes of reporting and budget requirements:

- Administration that directly serves the settings through coordination, training and technical assistance, coaching, site recruitment, and other day to day operations should be identified as IMPACT 2020 personnel.
- Administration that includes indirect or systemic support for local quality efforts must be categorized as administration and subject to the administrative cap (15 percent) along with other indirect costs.

Budget Documentation

The IMPACT 2020 Three-Year Budget and Budget Narrative must be submitted to establish initial budgets for all three years of IMPACT 2020. These forms should be used in any revision of budget categories to capture variances of 20 percent or more from the current approved budget. Budget documentation and expenditure reporting will not be tracked by individual funding sources.

Budget amendments must be submitted to and approved by F5CA prior to the period for which expenditures will occur. Lead agencies requesting budget amendments not impacting the Grant Award Agreement amount (revisions to budget categories) will receive notification of approval or denial via written correspondence (through the Portal, or alternate means as noted above) from F5CA. Requests of this nature are necessary to allow for consistency when submitting reimbursement invoices.

If appropriate approvals are not received, F5CA may withhold payment for changes in particular budget categories exceeding the amount allocated in the current approved budget by more than 20 percent.

Use of Subcontractors

The lead agency can subcontract with another entity to implement IMPACT 2020 as an intermediary; however, the lead agency remains legally responsible for all program, administrative, evaluation, and fiscal requirements of the RFA and Grant Award Agreement even if administered through an intermediary.

If a lead agency subcontracts with another agency to implement IMPACT 2020, any communication regarding implementation of IMPACT 2020 must occur through the lead agency. F5CA will not discuss any program, administrative, evaluation, 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.

If, during an audit, it is discovered that the lead agency did not attempt to obtain prior F5CA approval or three formal written bids were not received, consultant/subcontractor charges will be disallowed.

Any subcontract entered into as a result of the subsequent Grant Award Agreement shall contain all of the provisions held within.

Assignment

The Grant Award is not assignable by the Grantee, either in whole or in part, without the consent of F5CA in the form of a formal written amendment.

Independent Grantee

The Grantee, and the agents and employees of the Grantee, in the performance of this Grant Award, shall act in an independent capacity and not as officers or employees or agents of the state.

News Releases and Publicity

The Grantee shall inform the Grant Manager in the F5CA External and Governmental Affairs Office (916-263-1050) of any statements made to the news media regarding the operational procedures and status of work related to this Grant Award and provide the First 5 California External and Governmental Affairs Office the opportunity to review and comment on any print or electronic news releases related to this grant prior to the release of information to the public.

Information Security Incidents

The Grantee agrees to notify F5CA in writing via email of any use or disclosure of information not provided for by this Grant Award of which it becomes aware within three (3) working days of initial detection. Written reports of information security incidents shall contain information on the incident (e.g., hacking, virus, and theft), description of information that was compromised, and classification of the information (e.g., confidential, sensitive, personal). The system or device affected by an information security incident shall be removed from operation immediately. It shall remain removed from operation until correction and mitigation measures have been applied.

Release of Data or Products

Except as specified in the Grant Award, the Grantee shall not release or disclose any data or products created, produced, or developed pursuant to the Grant to any person, except to the Grantees personnel, attorneys, prospective vendors, the Grantees law firms, and other companies or individuals who are necessary for, and are to be directly involved in, the development, production, and distribution of the products. Products include, but are not limited to, drafts or works in progress. The Grantee agrees to ensure that any agents to whom it provides the data, agrees to the same restrictions and conditions that apply to the grantee with respect to such information. The Grantee shall employ reasonable procedures to protect these products from unauthorized use and disclosure. F5CA retains the right to approve any procedures employed by the Grantee to comply with this provision.

Capital Assets

F5CA funds may not be used for capital assets as defined by the California State Administrative Manual (SAM) and First 5 Financial Management Guide – land, improvements to land, easements, buildings, building improvements, vehicles, machinery, equipment, works of art and historical treasures, infrastructure, and all other tangible or intangible assets that are used in operations and that have initial useful lives extending beyond a single reporting period and a unit cost of \$5,000 or more (SAM Section 8602).

In accordance with SAM, if property does not have an expected useful life of at least one year and the purchase cost does not exceed \$5,000, for purposes of First 5 IMPACT, the purchase is considered an expenditure and not a capital asset.

Lead agencies must review existing policy regarding capital assets. If the lead agency's policy identifies a lower monetary threshold than SAM for capital assets, the lead agency's policy must be enforced when expending IMPACT 2020 funds. If the lead agency's policy identifies a higher monetary threshold than SAM for capital assets, the State of California's policy (SAM) must be enforced when expending IMPACT 2020 funds.

Payment Withholds

Failure to submit timely and accurate fiscal information, evaluation data, and program reports as required by F5CA may result in the withholding of a disbursement of funds, until which time the required information, data, or reports have been received. Serious delays in fiscal report submission may result in a written request by F5CA for an accounting of expenditures or special review of fiscal and program activity. F5CA may reduce or terminate program participation if it is determined that a lead agency has failed to adhere to the terms and conditions of the RFA and/or its approved Grant Award Agreement, including any amendments to the RFA or Grant Award Agreement.

Overpayment

If it is determined that a lead agency received an overpayment of IMPACT 2020 funds, F5CA will inform the lead agency of the overpayment and provide options for recovery: 1) issue an invoice to the lead agency, or 2) reduce a future reimbursement claim. If the invoice is preferred, payment shall be processed within forty-five (45) days of receipt or future claims may be withheld or adjusted.

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.

Amendment to Funding Allocations/Budgets

Lead agencies will have access to funding and spending flexibility within their total budget by fiscal year as long as cash is available in the appropriate F5CA accounts, performance measures are met, and reporting requirements are met.

During the term of IMPACT 2020, funding allocations and budgets will be amended based on performance and/or non-compliance with requirements of the RFA.

Amendments to funding allocations can be made at any time during the term of IMPACT 2020 using the QCC Reporting Portal, or alternate means as noted above.

Allocations may be decreased for the following reasons:

- Participating site targets are not met (as reflected in the Common Data File) – decreased by the predetermined cost per site multiplied by the number of sites
- Joint assessment (completed by F5CA and the lead agency) determines lead agency does not have the capacity to exhaust the entire funding allocation
- Major IMPACT 2020 System Changes

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

- Major changes to quality improvement methods
- Any subcontractor changes
- Changes to IMPACT 2020 administration and oversight staff (e.g., executive director, chief financial officer, program director)
- Budget line item shifts equal to or greater than 20 percent

Major system changes in state and/or local funds are permissible only upon written approval by F5CA. The lead agency must submit a written request at least 60 days prior to the implementation of the proposed change (staffing changes must be disclosed within 30 days of a change). If applicable, an Action Plan and corresponding budget amendment must be submitted describing the major system change and the change to the original budget for one or more fiscal years.

Dispute Resolution (Fiscal Components)

The lead agency shall attempt to resolve disputes of fiscal components (reimbursement, budget amendments, etc.) with F5CA staff. If the dispute is not resolved at the first staff level, the

Executive Director or designee of the lead agency 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 F5CA 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's Executive Director or designee for purposes of resolving the dispute. The Chief Deputy Director shall decide and 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.

First 5 Financial Management Guide Compliance

Lead agencies should refer to the First 5 Financial Management Guide (Guide) terms and definitions when reporting to or communicating with F5CA regarding IMPACT 2020. The guidelines and glossary contained in the Guide provide a common frame of reference and language for use between state and lead agencies when addressing financial matters.

Retention of Program Records

Records substantiating state funds disbursed by F5CA to the lead agency are subject to monitoring, examination, and audit by F5CA 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. F5CA shall have access to the lead agency's offices and/or IMPACT 2020 sites, upon reasonable notice, during normal business hours, for the purpose of interviewing employees and inspecting and copying books, records, accounts, and other material that may be relevant to a matter under investigation, and for the purpose of determining compliance with the allowable uses of IMPACT 2020 funds.

Termination of Agreement

F5CA retains the option to terminate a Grant Award Notification (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 F5CA terminates the 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 the 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 F5CA.

Funding Contingencies for Grant Award Notifications

Any entity that enters into an IMPACT 2020 Agreement with F5CA understands and agrees that the Agreement is valid and enforceable only if sufficient funds are available in the appropriate accounts administered by F5CA to carry out the purposes of the Agreement. This Agreement shall be invalid and of no further force and effect if sufficient funds are not available in the appropriate account due to:

- A decrease in projected tax revenue collected pursuant to the Revenue and Taxation Code Section 30131.2
- Any additional restrictions, limitations, or conditions enacted by the Legislature
- Any statute enacted by the Legislature that may affect the provisions, terms, or funding for the Agreement in any manner

In the event there are insufficient funds in the appropriate accounts administered by F5CA due to any of the aforementioned reasons, the State of California and/or F5CA shall have no liability to pay any funds to the lead agency or to furnish any other considerations under the Agreement; the lead agency, subsequently, shall not be obligated to perform any provisions of the Agreement.

If full funding does not become available, F5CA will amend the Agreement to reflect the funding reduction and/or reduced activities.

If possible, alternate funding arrangements may be made to address F5CA cash flow issues.

Ownership of Products and Copyright

Upon their creation, all products, deliverables, or like items that are produced, created, developed, or the like, shall become the sole and complete property of F5CA during the term of the Grant Award Agreement. F5CA retains all rights to use, reproduce, distribute, or display any products created, provided, developed, or produced under the Agreement and any derivative products based on Agreement products, as well as all other rights, privileges, and remedies granted or reserved to a copyright owner under statutory and common-law copyright law.

Any subcontractor agreements shall include language granting F5CA the copyright for any products created, provided, developed, or produced under the Grant Award Agreement and ownership of any products not fixed in any tangible medium of expression. In addition, the lead agency shall require the other party to assign those rights to F5CA in a format prescribed by F5CA. For any products for which the copyright is not granted to F5CA, F5CA shall retain a royalty-free, nonexclusive, and irrevocable license throughout the world to reproduce, to prepare derivative products, to distribute copies, to perform, to display, or otherwise use, duplicate, or dispose of such products in any manner for governmental purposes and to have or permit others to do so.

All products distributed under the terms of the Agreement and any reproductions of products shall include a notice of copyright in a place that can be visually perceived at the direction of F5CA. This notice shall be placed prominently on products and set apart from other matter on the page or medium where it appears. The notice shall state "Copyright" or "©," the year in which the work was created, and "First 5 California."

Non-Discrimination

During the performance of the Grant Award Agreement, the lead agency and its subcontractors shall not unlawfully discriminate, harass, or allow harassment against any employee or applicant for employment because of sex, race, color, ancestry, religious creed, national origin, physical

disability, mental disability, medical condition, age, marital status, and denial of family care leave. The lead agency and subcontractors shall insure that the evaluation and treatment of their employees and applicants for employment are free from such discrimination and harassment. The lead agency and subcontractors shall comply with the provisions of the Fair Employment and Housing Act (Gov. Code §12990 (a-f) et seq.) and the applicable regulations promulgated thereunder (California Code of Regulations, Title 2, section 7285 et seq.). The applicable regulations of the Fair Employment and Housing Commission implementing Government Code section 12990 (a-f), set forth in Chapter 5 of Division 4 of Title 2 of the California Code of Regulations, will be incorporated into the Agreement.

Indemnification and Hold Harmless

Neither F5CA nor any officer or employee thereof is responsible for any damage or liability occurring by reason of anything done or omitted to be done by the lead agency under, or in connection with any work, authority, or jurisdiction delegated to the lead agency under the Grant Award Agreement. It is understood and agreed, pursuant to Government Code section 895.4, the lead agency shall fully defend, indemnify, and save harmless F5CA and all of its officers and employees from all claims, suits, or actions of every name, kind, and description brought forth occurring by reason of anything done or omitted to be done by the lead agency under or in connection with any work, authority, or jurisdiction delegated to the Contractor under the Agreement.

Appendix I: Overview of Related Projects

Preschool Development Grant Renewal (PDG-R)

Timeline: January 2020–December 2022

Scope of Work: In late December 2019, California was awarded a competitive Preschool Development Grant Renewal (PDG-R) of \$13,414,500 annually for three years or \$40,243,500 total by the federal Health and Human Services (HHS), Administration for Children and Families (ACF), Office of Child Care (OCC). The Governor appointed the California HHS Agency as the lead for this work which will be done in partnership with the California Department of Education. Funding is contingent on federal funding availability.

California will use PDG-R funds to support children, families, and the early childhood workforce by: (1) increasing the supply and quality of early learning and care (ELC) opportunities; (2) building parental knowledge, elevating parent voices, and strengthening parent connections to ELC and other supportive services; (3) developing a unified system for workforce professional development (PD) that employs consistent standards and offers the workforce aligned, stackable, competency-based, credit-bearing PD; (4) and expanding QCC Consortia to build ELC and home-visiting (HV) capacity and quality in high-need communities, ensure smooth transitions from ELC to elementary school, and address the needs of children and families that are eligible for but not serviced by existing programs (infants/toddlers, children in rural communities, and children who are “high impact”). California also will invest in system improvements by: (1) building state and local cross-system capacity; (2) developing cross-agency data systems; and (3) aligning and redesigning quality standards and monitoring processes.

California Master Plan for Early Learning and Care

<https://www.chhs.ca.gov/blog/2019/08/08/request-for-proposal-master-plan-for-early-learning-and-care-for-california/>

Timeline: October 2019–October 2020

Scope of Work: On November 22, 2019, Governor Gavin Newsom announced the creation of an Early Childhood Action Research Team to develop a Master Plan for Early Learning and Care by October 1, 2020. The team includes state and national leaders in social impact, financing, policy, and equity issues, and social impact experts from respected organizations including Child Trends, RAND, WestEd, Social Policy Research Associates, Parent Voices, Low-Income Investment Fund, American Institutes for Research, Stanford University’s School of Education, and Neimand Collaborative.

The Early Childhood Action Research Team will develop a comprehensive roadmap for California to accelerate the Governor’s goal of providing universal preschool and action steps to increase access to affordable, high-quality child care that embraces the strengths and meets the needs of parents and young children. The California Health and Human Services Agency will oversee the team’s work in collaboration with the State Board of Education, the Department of Education, and the Governor’s Office.

The MPELC for California will address a range of priority areas, including options for an actionable plan to address:

- Universal prekindergarten education for all three- and four-year-old children in California, including the consideration of all the following: recommendations to address the overlap between the transitional kindergarten, State Preschool, and Head Start programs; to ensure that all children, regardless of family income, have access to the same level of prekindergarten program quality; recommendations to align prekindergarten education with the subsidized childcare system and the elementary and secondary education system, to ensure that children have access to a full day of care, as needed; and to ensure seamless matriculation to elementary and secondary education.
- Quality improvements including, but not limited to, a cohesive set of minimum quality and program guidelines for all subsidized childcare providers by and across settings that balance the improved social, emotional, cognitive, and academic development of children with the resources available to providers. The improvements and guidelines take into account gender, class, race, language access, implicit bias, and lived experience in the construction of quality; an accessible and cohesive career pathway for all types of childcare professionals, including those whose primary language is not English; consider a ladder of mobility, aligned with the state's system of provider reimbursement, based on competencies that are evidenced-based and driven by characteristics of quality; and may consider educational attainment to produce a trained and stable workforce.

Early Learning and Care Workforce Development Pathways Grant

Timeline: Planned RFA release in late Winter or Spring 2020. Grant period will be FYs 2019–20 through 2024–25.

Scope of Work: The California State Budget Act of 2019–20 allocated \$195 million for the Early Learning and Care Workforce Development Grant (Workforce Pathways). The purpose of the Early Learning and Care Workforce Development Pathways Grant is to support increased learning and healthy development of California's young children by increasing the number of qualified ELC professionals while increasing the educational credentials, knowledge, and competencies of existing ELC professionals across the state. This grant will support local regional quality improvement partnerships consistent with the Quality Counts California (QCC) Quality Rating and Improvement System (QRIS) to expand the number of qualified early learning and care (ELC) professionals and increase the educational credentials of existing ELC professionals across the state.

In applying to this RFA, local or multi-county consortia partnerships will develop an ELC Workforce Development Plan as an addendum to the unified quality improvement approach. The goals of the Workforce Pathways program are to increase the qualifications and effectiveness of the ELC workforce by:

- Increasing the number of license-exempt family, friend, and neighbor (FFN) providers that complete health and safety and child development trainings (implement CCDF health and safety and child development training requirements)
- Increasing the number of qualified ELC professionals in childcare deserts
- Increasing the number of ELC professionals with degrees in the field of early childhood education (ECE)

- Increasing the number of ELC professionals with Child Development Permits from the California Commission on Teacher Credentialing (CTC)
- Increasing the number of license-exempt FFN providers who become licensed
- As part of a comprehensive Quality Improvement plan:
 - Improve infrastructure to increase the number, qualifications, and competencies of ELC professionals within a continuous improvement system.
 - Strengthen ELC workforce development partnerships with relevant stakeholders, including institutes of higher education, to increase the number, qualifications, and competencies of ELC professionals.

Local or multi-county consortia will advance these goals by creating and implementing a four-year Workforce Pathways Plan that differentiates supports based on local ELC workforce needs in required and optional pathways. Required pathways include workforce advising, professional development, and higher education. Option pathways include pipelines and leadership development.

The Early Learning and Care Workforce Development Pathways Grant is meant to supplement, not supplant, local QCC efforts. Funding from this grant should be used to support individual teacher preparation, training, degree attainment, and retention. This funding should not be used to support broader program/site level improvement efforts (such as program-wide coaching).