



Preschool Development Grant FY19 Guidance Manual

Administered by the Arizona Department of Education – Early Childhood
Education Unit



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The Arizona Department of Education
Early Childhood Education Unit
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For additional statewide early childhood resources:

www.azed.gov/ece

Early Childhood Special Education: www.azed.gov/ece/early-childhood-special-education

Early Childhood K-3: www.azed.gov/ece/k-3

Additional resources are included in the electronic version of this Guidance Manual as hyperlinks.

<i>OVERVIEW</i>	6
Summary of the PDG	6
High Quality Preschool.....	6
<i>HIGH NEEDS COMMUNITIES</i>	7
Mixed Delivery System	8
Providing Services to Families Most in Need.....	8
Child Recruitment, Enrollment, and Eligibility.....	9
• Age Requirements	9
• Family Income.....	9
<i>ALIGNMENT WITHIN A BIRTH THROUGH THIRD GRADE CONTINUUM</i>	10
Early Childhood Quality Improvement Practices (ECQUIP) Process.....	10
Transition to Kindergarten.....	11
School Readiness	11
<i>A HIGHLY-QUALIFIED WORKFORCE</i>	12
Staff Compensation	12
Staff Preparation and Planning Time.....	12
Staff Qualifications	12
College Scholarships for Early Childhood Professionals.....	12
<i>QUALITY PROGRAM OPERATIONS</i>	13
Empower Program.....	13
Environment.....	13
Culturally and Linguistically Responsive Programming.....	14
Curriculum, Standards, and Instructional Strategies	14
Child Screening.....	15
Inclusion of Children with Special Needs	15
Local Attendance Policy.....	15
Early Childhood Expulsion.....	16
On-Going Progress Monitoring and Child Assessment	16
Program Hours of Operation	17
Quiet Time/Napping	17
Staff-to-Child Ratio and Class Size.....	17
Primary Home Language Other Than English (PHLOTE)	17
<i>COMPREHENSIVE SERVICES</i>	18
1. Least Restrictive Environment (LRE):.....	18

2. Child Find:.....	18
3. Family Engagement:.....	19
Community Partnerships and Resources	19
Sustainability	20
<i>GRANT ADMINISTRATION AND FISCAL REQUIREMENTS</i>	<i>21</i>
Proposals.....	21
Award Letters	21
Allocations.....	21
Grant Submission	21
New Entities	22
Budget Requirements.....	23
Allowable Expenditures	23
Disallowable Expenditures.....	24
Budgeting	25
Allocation of Costs among Multiple Sources	28
Matching Funds.....	29
Grant Revisions.....	30
Completion Reports.....	30
Duplicate Funding.....	31
Supplanting	31
Reimbursement.....	31
<i>PROGRAM EVALUATION</i>	<i>31</i>
Quality First	31
ADE ECE Quality and Compliance Monitoring.....	32
Program Reporting	33
<i>PROFESSIONAL DEVELOPMENT (PD)</i>	<i>33</i>
<i>EARLY CHILDHOOD PROGRAM SPECIALISTS (ECPS)</i>	<i>34</i>
Primary Responsibilities of the ECPS.....	34
<i>TECHNICAL ASSISTANCE (T/A)</i>	<i>35</i>
Appendix A: PDG FY2019 Proposal Scoring Rubric	36
Appendix B: Sample Most-in-Need Rubric	37
Appendix C: Sample Waitlist Sharing Protocol	38
Appendix D: PDG Child/Family Application	39
Appendix E: Kindergarten Transition Plan.....	40

APPENDIX F: Early Childhood Education Certificate and Endorsement	41
APPENDIX G: Education Attainment Plan	45
Appendix H: General PDG FY19 Due Dates	46
APPENDIX I: The Difference between Standards and Curriculum	47
Appendix J: How Assessment Works.....	48
Appendix K: State PHLOTE	49
Appendix L: Sample PDG Monitoring Tool	50
Appendix M: Individual Professional Development Growth Plan	56
Appendix N: Comprehensive Professional Development Plan.....	57
Appendix O: Guidelines for Preparing Indirect Cost Proposals	58
Appendix P: Guidance for Reimbursement	60



OVERVIEW

Summary of the PDG

The [Arizona Department of Education](#) (ADE) [Early Childhood Education](#) unit (ECE) believes that every family should have an equal opportunity to choose a high quality early care and education setting that promotes the social, emotional, cognitive, and physical development of their child.

Scientists, economists, and educators recognize research suggests early care and education beginning at birth is an investment that pays dividends as children enter kindergarten, move through the early elementary grades, transition to college or a career, and become adult citizens in their community. Families that choose early care and education programs for their children do so for a variety of reasons and should have options for programs that are high quality, provide choices for part-day or full-day learning experiences, are available where families live and work, and are affordable.



Photo Credit: Judith Espinoza

ADE ECE has an opportunity to partner with high needs communities (HNC) through the Preschool Development Grant (PDG). The purpose of the PDG, offered through the US Department of Early Learning, is to assist states in developing and enhancing capacity to deliver high-quality preschool programming as well as implement and sustain quality preschool for eligible children, increasing the number of children who receive high quality early care and education services and improving young children's success in school and beyond. High quality early childhood services that include comprehensive services have been strongly linked to both academic and life skills success among children. Research shows children who come from families with several risk factors show the most gain from access to high quality early childhood programs. PDG offers an opportunity for children and families to access high quality early childhood programs by allocating funds to HNCs. Funding will support programming for those children who may not otherwise have access to high quality early care and education during the year prior to their kindergarten entry by either increasing the number of hours that children participate in a high-quality program or by increasing the number of children who are served. For additional federal PDG information:

www2.ed.gov/programs/preschooldevelopmentgrants/index.html.

High Quality Preschool

Programs eligible for this grant will meet the definition of High Quality Preschool. High-Quality Preschool means an early learning program that includes structural elements that are evidence-based and nationally recognized as important for ensuring program quality, including at a minimum:

1. High staff qualifications, including a teacher with a bachelor degree in early childhood education or a bachelor degree in any field with a State-approved alternate pathway, which may include coursework, clinical practice, and evidence of knowledge of content and pedagogy relating to early childhood, and teaching assistants with appropriate credentials;
2. High-quality professional development for all staff;
3. A child-to-instructional staff ratio of no more than 10 to 1;
4. A class size of no more than 20 with, at a minimum, one teacher with high staff qualifications as outlined in paragraph (a) of this definition;

5. A Full-Day program;
6. Inclusion of children with disabilities to ensure access to and full participation in all opportunities;
7. Developmentally appropriate, culturally and linguistically responsive instruction and evidence-based curriculum, and learning environments that are aligned with the State Early Learning and Development Standards, for at least the year prior to kindergarten entry;
8. Individualized accommodations and supports so that all children can access and participate fully in learning activities;
9. Instructional staff salaries that are comparable to the salaries of local K-12 instructional staff;
10. Program evaluation to ensure continuous improvement;
11. On-site or accessible Comprehensive Services for children and community partnerships that promote families' access to services that support their children's learning and development; and
12. Evidence-based health and safety standards.

In Arizona, these elements of high-quality preschool programming are delineated in the [Program Guidelines for High Quality Early Education: Birth through Kindergarten](#) (PGHQ).



HIGH NEEDS COMMUNITIES

High Needs Community (HNC) means a geographically defined area, such as a city, town, county, neighborhood, district, rural or tribal, or consortium thereof, with a high level of need as determined by the State Department of Education. In FY16 and FY17, HNCs were defined by zip codes in which data showed 80% or greater of the student population participated in the Free and Reduced Lunch program; 25% or greater of the student population were English Language Learners; 50% or less of the preschool capacity surrounding a Local Education Agency (LEA) was met; and the school district received a “C” grade or above in the state’s accountability system. In FY18 and FY19, the grant was made available statewide, and programs were awarded based on a proposal scoring rubric ([Appendix A](#)). To be eligible for and maintain funding, sub-grantees must be licensed and remain “in good standing or in substantial compliance” as defined by their regulatory agency throughout their participation in the grant.

Arizona prioritizes coordination and collaboration among early childhood service providers as critical to developing a seamless service delivery system for children and families. Coordination and collaboration is described as two or more organizations working together in the delivery of programs and services to a defined population. As a result of coordination and collaboration, services are often easier to access and are implemented in a manner that is more responsive to the needs of the children and families and may also result in greater capacity to deliver services because organizations are working together to identify and address gaps in service, which results in higher quality services and cost efficiency.

A sub-grantee is defined as an early learning provider serving at least one HNC that is receiving a sub-grant from the state and is participating in the state’s ambitious and achievable PDG. The providers may be public/charter school, private, public, for-profit programs, non-profit programs, faith-based, family child care, Head Start, or tribal programs.

Sub-grantees must work with, and participate in, coordination and collaboration activities occurring within the HNC. This may include, but is not limited to, engaging with other partners delivering the same or similar programs and services; connecting families to comprehensive

services; clarifying target populations and outcomes; and defining processes and plans to reach desired outcomes. There will be local collaborative meetings within the HNC hosted by the LEA as part of the [Early Childhood Quality Improvement Practices](#) (ECQUIP) process. Every sub-grantee will designate a representative to attend ECQUIP meetings. Sub-grantees should plan the appropriate staffing and budget to support travel to and attendance at meetings within the HNC area or at statewide meetings, as appropriate.

The sub-grantees in the HNC will work in ongoing collaboration to assess additional comprehensive services needed and local support options. The HNC should have representation at their local [First Things First Regional Council](#) meetings to obtain greater resources, share knowledge, learn together and build consensus. Sub-grantees will collaborate with other early childhood education consultants including, but not limited to, [Quality First assessment and coaching](#) (coaches, Child Care Health Consultants (CCHC), Mental Health Consultants, Inclusion Coaches), Arizona Self Study Project Specialists, ADE Early Childhood Program Specialists (ADE ECPS), Licensing Surveyors, DES Certification Specialists, and Institutes of Higher Education.

Mixed Delivery System

Mixed Delivery System is defined as a collaborative partnership between a LEA and community-based programs with the purpose of establishing a relationship that fosters a seamless system of early care and education, birth through grade 3. Inherent in the mixed delivery system strategy is the principle that all families have the right to access a high quality early childhood program regardless of income, children's abilities, or other factors. PDG allows for family income eligibility up to 200% of the Federal Poverty Level. In utilizing a mixed delivery system, families have access to a wide array of program types. All programs will participate in collaborative efforts with the various local early childhood education programs in the community for the purpose of providing families with continuity of services under this funding.

The mixed delivery system is based on methods by which early care and education programs work collaboratively to provide educational and comprehensive services to preschool age children in various settings. Financing early childhood education programs through a mixed service delivery model ensures that sufficient resources and standards are in place to support high quality through coordinated community efforts. A true mixed delivery system requires equal and equitable access to programs and funding across early care and education settings including public and private schools, Head Start programs, tribal programs, for-profit and non-profit preschools or centers, family child care, and faith-based programs. A mixed delivery system offers parents a choice in where their child receives quality early childhood experiences. Each HNC should include in their mixed delivery system ways to:

- Work in collaboration to increase the number and percentage of eligible children served in their least restrictive environment within a high quality preschool program.
- Develop and implement a written plan outlining how the programs will collaborate within their communities to combine resources and recruit families
- Develop and implement a written plan to establish a system with a goal that ensures families on a wait list are placed in a HNC option that has the earliest opening.
- Ensure opportunities for collaboration and coordination to strengthen the preschool through elementary school continuum.
- Participate in local Read On communities where applicable.

Providing Services to Families Most in Need

Each HNC must effectively identify and recruit students most in need of services and coordinate a system of communication. Each sub-grantee will create and make available written policies

and procedures for identification, recruitment or screening of participants most in need of preschool services including a description of how need indicators are weighted and ranked within the local program. Most in need indicators include factors beyond the requisite income of 200% of the federal poverty level. Other factors in recruitment may include English Language Learners, identification of children with a disability, and children who identified as at risk based on a developmental screening, foster care, single parent family composition, family mobility, history of abuse, experiencing homelessness or family experiencing deployment. There may be other indicators based on the uniqueness of the HNC. (See [Appendix B](#) for sample most-in-need rubric.)

The HNC will work in collaboration to properly identify which program may serve a child and family most appropriately. Indicators of need are used to manage wait lists (see [Appendix C](#) for sample waitlist sharing protocol) rather than using a first come/first served system. Programs are encouraged to use a variety of methods and resources for recruitment of eligible families. Many more families are eligible for the PDG than can participate, therefore, participants enrolled in the PDG programs need to be families most in need of services.

A written plan for identifying the program's most in need population must be in place prior to enrolling families. Identifying which factors address a particular community's most in need group provides a framework for establishing a system for intake and enrollment.

Once the most in need criteria have been determined by the HNC, the information will be used to make enrollment decisions as well as manage wait lists. Need related factors are identified during the intake process and used in a manner that allows programs to look beyond income eligibility. In this way, programs are consistently assuring that families most in need of services are the ones who are receiving them.

Child Recruitment, Enrollment, and Eligibility

Enrollment and eligibility requirements are intended to increase the number of slots for children to have access to high quality early care and education in the HNC. Sub-grantees are required to demonstrate that children served are age- and income-eligible to participate by obtaining, reviewing, and verifying documentation of age of child and family income. (See [Appendix D](#) for PDG Child/Family enrollment application.)

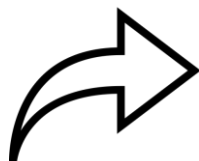
- **Age Requirements** – children shall be 4 years of age before September 1st (and not yet enrolled in kindergarten) of the program year. Appropriate documentation should be obtained and kept on file to determine the child's eligibility (e.g., a copy of child's birth certificate, a copy of child's foreign passport).
- **Family Income** – Families must meet all requirements listed below (this includes children with an IEP):
 - Family income must be at or below 200% of the Federal Poverty Level (FPL). (Poverty is defined as family income at or below 100%; low-income is defined as income at or below 200% of FPL. (See FPL income levels in [Appendix D](#).)
 - Acceptable documentation of income may include current pay stubs; written, notarized statement from employer; documentation of current receipt of unemployment insurance; documentation of receipt of public assistance such as KidsCare, Supplemental Nutrition Assistance Program (SNAP), or Temporary Assistance for Needy Families (TANF); eligibility for the Free and Reduced Lunch Program; or gross income as listed on the most current Federal Individual Tax Form 1040, Form 1099, or W2. (If self-employed, at least one of the tax forms is required.)

- **Important Point:** Documentation of family income eligibility only needs to be verified and **does not need to be collected** for PDG. Verification forms ([Appendix D](#)) must be kept in a locked cabinet in a secure area and be maintained on site for at least 2 years.
- Open enrollment is an acceptable option for children who do not live within the HNC boundaries and otherwise meets all established criteria.

Additional Family Income Eligibility Information:

- Foster children who are age-eligible (foster families are considered a family of zero income)
- Preschool children who are age-eligible and qualify for McKinney-Vento
- Preschool children with IEPs: All children participating in PDG must meet the income eligibility guidelines. According to the guidance provided by the U.S. Dept. of Education, eligible children means, “four-year-old children from families whose income is at or below 200 percent of the Federal Poverty Line.”
 - This being said, a child on an Individualized Education Program (IEP) whose family does not meet the income eligibility may still be placed in a classroom with children funded through PDG if it is identified as the child’s least restrictive environment (LRE). The child may continue to have special education services paid for with IDEA Preschool funds rather than PDG funding, or the child may receive both funding streams (braided) if IDEA only pays for part-time and PDG will fund the other half of the day to create a full-time experience.

Families receiving PDG services may not be charged a registration fee to attend the program. If a family requires before and/or after care outside of the PDG hours, sub-grantees may charge a fee for those extra hours.



ALIGNMENT WITHIN A BIRTH THROUGH THIRD GRADE CONTINUUM

Arizona’s ambitious and achievable plan is rooted in the quest to create quality preschool programs for children that support and align with the local K-3 system. This is a recognized necessity as Arizona continues the evolution of its high expectations and creates college and career ready students. Arizona supports the coordination of early learning programs among the birth to age 8 early childhood system and acknowledges the need to link those efforts with K-3 through intentional communication brought about through the ECQUIP process.

Early Childhood Quality Improvement Practices (ECQUIP) Process



Photo Credit: Eric Bucher (ADE ECE)

Effective programs recognize that building and maintaining quality requires an ongoing and iterative process. Each LEA (school district or charter school) within the HNC will facilitate ECQUIP. LEAs and other sub-grantees within the HNC are required to participate consistently in the HNC ECQUIP process and

shall conduct ongoing, reflective practices that continuously assess the quality and effectiveness of their programs. The program assessment is collaborative and conducted in partnership with the district’s current ECQUIP.

ECQUIP is a self-assessment intended to provide Arizona programs working with young children a framework for evaluating program effectiveness and designing strategies for continuous quality improvement through a rubric and indicators. Upon completion of the rubric, an enhancement plan will be submitted by the LEA/ PEA into ALEAT by **September 30** of the fiscal year.

Program evaluation and improvement is most effective and long lasting when the program staff engages in a systematic process of self-assessment. Program staff is then able to identify both strengths and changes needed in order to bring about and/or maintain a high quality, comprehensive program. Ownership of the assessment results is established when staff is actively involved in the process. For additional ECQUIP Guidance and Resources: www.azed.gov/ece/early-childhood-assessment/.

Transition to Kindergarten

As part of ensuring effective community collaborations and providing children and families with seamless services as they transition to Kindergarten, each HNC will create and implement a written Kindergarten Transition Plan ([Appendix E](#)). The transition plan shall include a clearly described partnership between the early childhood provider/school, parents, community, and the kindergarten program into which the children will enter, whether public or private. Sub-grantees within the HNC are expected to create local transition plans that include preschool assessment data as well as information about the child's approaches to learning, social and emotional development, and preferences that make that child unique and individual.

School Readiness

In collaboration with ADE ECE, sub-grantees will work within the HNC to set the expectation for School Readiness as identified in the [Arizona School Readiness Framework](#) (ASRF). ASRF encourages collaboration between services and the numerous parts of the early childhood system. The framework reflects the purpose of identifying readiness and builds on the state's efforts to establish a system in which all children have access to quality experiences leading to school success.



Photograph Credit: Sonia Salcido (Desert Trails)

The four specific goals of the ASRF are to:

1. Establish a common language around school readiness
2. Develop a clear outline of the readiness framework
3. Determine the roles of standards, effective instruction, and curriculum
4. Identify meaningful, well-aligned assessment of readiness to individualize instruction.

In the ASRF, Arizona defines school readiness as: *Arizona's young children will demonstrate school readiness through the Essential Domains of Language and Literacy development, Cognition and General Knowledge (including early mathematics and early scientific development), Approaches to Learning (curiosity, initiative, persistence, creativity, problem-solving and confidence), Physical Well-Being and Motor Development and Self-Regulation of attention and emotion. Intentional development of skills and knowledge in these domains establishes a critical foundation for children to engage in and benefit from opportunities to learn.*



A HIGHLY-QUALIFIED WORKFORCE

Staff Compensation

As Arizona works to create a specialized early childhood professional workforce, it is expected that those professionals have a current and valid Teaching Certificate through ADE and be paid a wage comparable to the Kindergarten teacher with the same certification within the local school district. Improved expertise and compensatory pay in preschool classrooms will result in improved retention rates of highly effective teachers and continuity of care for young children enrolled in early care and education programs. Additionally, because early childhood instructional support staff plays such a critical role engaging children, it is expected that the preschool instructional aid's salary mirrors that of a comparable K-12 instructional support staff within in the local school district.

Staff Preparation and Planning Time

In addition to equal compensation, sub-grantees must provide consistent protected and paid instructional preparation and planning time for preschool instructional staff, when they are not directly responsible for the supervision of children, to:

- Prepare lesson plans, materials, and curricular activities
- Complete ongoing progress monitoring (Teaching Strategies GOLD data)
- Attend professional development
- Attend IEP, ECQUIP, and/or QF meetings
- Conduct screenings

Staff Qualifications

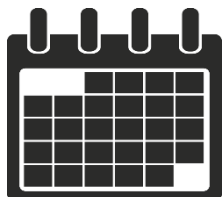
Administration of this grant funding falls under certain statutory requirements. Specifically, any entity receiving the PDG monies are bound by Arizona Administrative Code R7-2-612 which requires either a provisional or standard early childhood education certificate for those individuals teaching in early childhood education programs (see [Appendix F](#) for certification requirements). Those with certification or endorsement will receive weighted points on the ADE ECE PDG proposal rubric ([Appendix A](#)).

Sub-grantees must make and document every effort for recruitment of most highly qualified staff. While not all staff may meet this qualification currently, the goal is to improve the quality of programming through the attainment of higher education degrees and/or certification by the end of the grant period. In this instance, an Education Attainment Plan ([Appendix G](#)) must be submitted for all PDG educators without a BA or higher degree for ADE ECE approval annually. Refer to [PGHQ](#) for staff qualifications.

College Scholarships for Early Childhood Professionals

With funding from PDG, in collaboration with [First Things First](#), Arizona invests in college scholarships for early childhood professionals. The intent of this professional development strategy is to provide access to higher education for the early childhood workforce working directly with, or on behalf of, young children. Scholarship funding is available for eligible participants working towards attaining an undergraduate or a graduate degree in early childhood or early childhood special education.

The expected results of supporting continuing education and degree completion is elevating and professionalizing the field, recruiting and retaining a quality early childhood workforce, and supporting and increasing the quality of services provided to young children. For more information or to apply for scholarship funding: [Arizona Early Childhood Workforce Registry](#).



QUALITY PROGRAM OPERATIONS

Refer to [Appendix H](#) for a list of general sub-grantee due dates and time frames.

Sub-grantees will have 60 days from the start of the fiscal year (July 1) to become fully operational. Fully operational is defined as having the specified number of children, based on allocation, enrolled and participating in the identified program activities, which includes but is not limited to sub-grantees working to:

- Be licensed by applicable state, federal or Tribal licensing agencies.
- Be enrolled and participating in Quality First
- Submit all necessary documents and be actively registered in the ADE Connect and Common Login Applications, Grants Management Enterprise (GME), Arizona Local Education Agency Tracker (ALEAT), and Teaching Strategies GOLD (TSG).
- Collaborate and coordinate efforts to recruit eligible families within the HNC.
- Establish a waiting list to ensure that all sub-grantees maintain full enrollment and will enroll new children as slots become available.
- Collaborate and coordinate with other local programs to share wait lists in the effort to enroll families in the earliest opening available within the HNC.
- Ensure a research- or evidence-based developmentally appropriate curriculum is in place.

Empower Program

Sub-grantees will participate in the [Arizona Department of Health Services \(ADHS\) Empower Program](#) and pledge to adopt the 10 standards that encourage active play, practicing sun safety, supporting healthy eating, promoting good oral health habits, preventing exposure to second-and third-hand smoke, and providing staff three hours of professional development on Empower topics. Sub-grantees will have a written policy for each of the ten standards as a statement of intent and commitment. The benefits of being an Empower program include: reduced licensing fees, state-issued Empower facility designation, an Empower Pack of ready-to-use resources, and an Empower Guidebook. The Empower Guidebook provides information on each of the standards and sample policies for centers to use or to adapt. For additional EMPOWER resources and to register: <http://azdhs.gov/prevention/nutrition-physical-activity/empower/index.php#learning-management>.

Environment

A high quality early education program recognizes and understands how children's goals for learning are framed within the context of learning standards and aligns planning of activities and design of environment to stimulate children's learning across content areas. Effective early education programs provide a wide variety of planned experiences within an intentionally designed environment that enables children to learn through interaction, exploration, manipulation and self-discovery. The environment should reflect, and be supportive of, the curriculum, standards, and assessment.

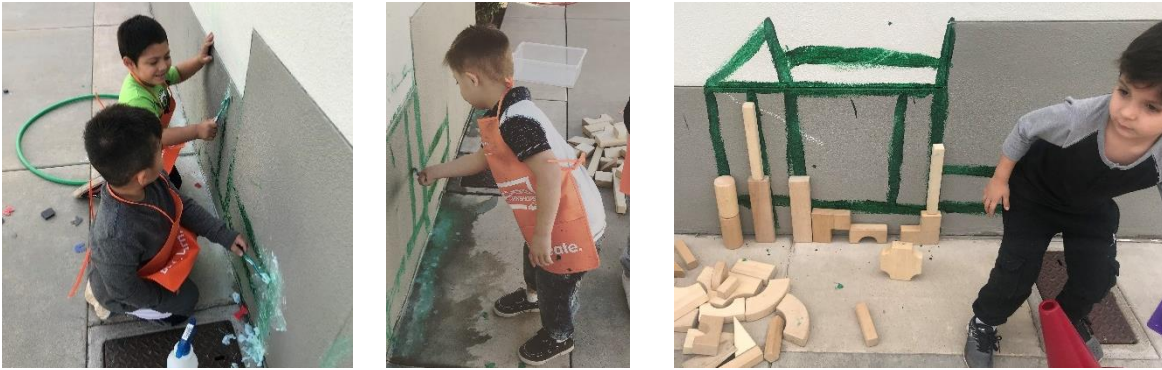


Photo Credits: Cythel Goma (Alhambra Elementary School District)

Sub-grantees will be enrolled in, or continue in, [Quality First](#) (QF). QF services include coaching, assessment, child care health consultation, incentives, licensing fee assistance, etc. The tool used to assess the environment is the Environmental Rating Scale (ERS). Therefore, sub-grantees should use the ERS to set up high quality environments. For additional information, refer to [PGHQ](#) areas related to the environment or connect with the assigned QF Coach.

Culturally and Linguistically Responsive Programming

Language, culture, and identity are integral parts of children’s lives. High quality early education programs show acceptance of, and value for, all children and families by integrating their languages and cultures into the ongoing experiences of the program and by finding ways to reach out to and communicate with families. Sub-grantees will help children to understand similarities and differences and to deal in a positive way with misconceptions based upon language, gender, culture, ethnicity, age, and ability. Linguistic and cultural needs are met by emphasizing strategies for integrating multi-cultural and anti-bias themes into all curricular areas:

- [Anti-Bias Education Content](#)
- [NAEYC Position Statement: Responding to Linguistic and Cultural Diversity: Recommendations for Effective Early Childhood Education](#)

Curriculum, Standards, and Instructional Strategies

The following are required to ensure curricular approaches are used that meet the individual **and** developmental needs of children while providing them with intentionally designed instruction and activities:

- Designed around children’s interests, needs, and abilities.
- Aligned clearly and fully with the [Arizona’s Early Learning Standards](#).
- Uses ongoing assessment data to inform instructional needs.
- Provides practice through developmentally appropriate activities.
- Looks for ways to apply reasoning, problem solving, and other cognitive skills (see [Appendix I](#) for differences between standards and curriculum)

When choosing a curriculum, consider the following. For more information: www.azed.gov/ece/preschool.

1. Refer to the agency’s or organization’s procurement process
2. Convene a review team that includes at least 1 preschool teacher and 1 parent

3. Provide the review team with information on choosing a curriculum. Some examples include: National Association for the Education of Young Children (NAEYC) [Position Paper](#), National Center on Quality Teaching and Learning (NCQTL) [Choosing a Preschool Curriculum](#), and the National Institute for Early Education Research (NIEER) [Preschool Policy Brief](#).
4. Choose or create a rubric to use to evaluate the curricula. Examples include: [Guideline to Comprehensive Curriculum](#) and [Sample Rubric](#).

Child Screening

Early identification of children's needs ensures that young children receive the services and supports necessary to maximize their opportunities for healthy development and learning. Screening activities are a first step in the identification process. Therefore, it is imperative that a screening procedure be in place to ensure children are identified and receive the supports they need. All children participating in PDG will receive developmental, hearing, and vision screenings within the first 45 calendar days of the first day of attendance in the program. .

Sample 45-day screener available at:

<https://cms.azed.gov/home/GetDocumentFile?id=599201403217e10c7831a97c>.

Inclusion of Children with Special Needs

One of the outcomes of PDG is to increase the number of children with special needs in their LRE. Therefore, sub-grantees will serve no less than 10% of children with identified special needs in the PDG classrooms (at least 2 children with identified special needs for every 20 children). ADE will support sub-grantees with meeting this goal in these specific ways:

- **QF Inclusion Specialists:** As part of the QF System, participants can access Inclusion Specialists, child development and special education specialists who provide consultation to facilitate the inclusion of children with special needs by offering assessment and technical assistance. Supports may include onsite consultation and training to promote early screening activities, identify children who need follow-up assessment, and make classroom modifications to meet the needs of children with special needs.
- **ADE ECE Technical Assistance (T/A):** Sub-grantees will be able to access T/A from an ADE ECPS assigned to their HNC . This T/A may include assistance needed with making modifications to the environment to enable meaningful participation for all students, assistance with instructional strategies or modalities to meet the learning needs of students, and/or professional development on how to make accommodations or adaptations along a continuum to meet the needs of children with various types of disabilities and levels of severity.
- Additional inclusion resources are available at: www.azed.gov/ece/laws under the "Resources" tab and the Early Childhood Technical Assistance (ECTA) Center: <http://ectacenter.org/default.asp>.

Local Attendance Policy

Children's consistent attendance leads to maximum learning opportunities; therefore, attendance policies must support consistency and ongoing participation. Sub-grantees will:

- Put written policies in place to determine when a child shall be excluded from participation due to non-attendance. These policies must be in writing and given to families at time of enrollment.
- Put written policies in place for suspension and expulsion protocol (See "[Early Childhood Expulsion](#)" section.)
- Document all decisions regarding children's continued participation.

Early Childhood Expulsion

Children in early learning environments are expelled from programs at an alarming rate. Sub-grantees of PDG should consider that they are providing a critical early experience for young children. Children should not be expelled for behavioral issues; instead, sub-grantees should work collegially with families, QF technical assistance providers, and other community specialists in order to provide children and families resources and connections to the services they need to successfully participate.. For the United States Department of Education policy statement: <https://www2.ed.gov/policy/gen/guid/school-discipline/policy-statement-ece-expulsions-suspensions.pdf>.

On-Going Progress Monitoring and Child Assessment

On-going progress monitoring of children’s progress for the purpose of more effectively guiding interactions and making instructional and programmatic decisions is a critical part of high-quality programming (see [Appendix J](#)). PDG sub-grantees will:

- Register with Teaching Strategies GOLD (TSG) under the Arizona Department of Education’s license. TSG is the early childhood assessment instrument approved by the Arizona State Board of Education. Contact the AZ TSG representative: Christopher Lawrence, 623-606-0501, Christopher.L@teachingstrategies.com
- Activate portfolios through TSG for the specified number of slots funded by PDG: <https://teachingstrategies.com>. Every child funded by PDG is required to have a portfolio in TSG.
 - PDG funds can be allocated in the grant application budget to purchase TSG portfolios for the specified number of slots. The cost is \$10.95 plus tax per portfolio.
 - When a child is enrolled under PDG funding, their portfolio will be activated by the sub-grantee within 5 business days.
- Obtain an Arizona Education Data Standards (AzEDS) number for each eligible child to link assessment data to the state’s longitudinal data system (SLDS). To produce AzEDS numbers, the program representative needs to be given an application on an ADE Connect account called “AzEDS Identity”. To gain AzEDS Identity access or for questions and technical assistance: www.azed.gov/aelas/azeds/faq or ADE ECE Program Specialist, Elizabeth Hamilton, Elizabeth.Hamilton@azed.gov.
- Collect and maintain ongoing child assessment data using TSG. For rubric for reviewing the quality of TSG documentation: www.azed.gov/ece/early-childhood-assessment/.
- Finalize and submit TSG data by the ADE ECE checkpoint dates. Checkpoint Dates are available in TSG under the “Assess” icon then under the “Checkpoint Dates” link.
- Attend Introduction to TSG and/or TSG Administrator trainings, participate in the online trainings available through TSG, become interrater reliable through TSG, and attend other early childhood assessment professional development as applicable.
- Develop a written comprehensive assessment protocol. The protocol must include information regarding the PDG program’s:
 - Use of 45 day screeners
 - Involvement in Child Find
 - Role in the evaluation process
 - Process for ongoing progress monitoring
 - Submission of TSG data
 - Process for how data is shared with families
 - Process for how data is shared with the Kindergarten program
 - Process for how data is used for quality improvement efforts

For further guidance: [The Assessment Continuum Guide for Pre K-Grade 3 in Arizona](#)

Program Hours of Operation

Sub-grantees are required to enroll children for a minimum number of hours per day, a minimum number of days per week and for a minimum number of program days per year.

- PDG program services must be provided for 9 or 10 months and outlined in the sub-grantee proposal. The service schedule should align with the local school district's K-3 calendar. Sub-grantees should offer a scheduled *minimum of 180 days* or the equivalent of a *minimum of 900 hours per school year* for a full day program to maximize opportunities for learning.
- Children must be enrolled in a full day of service based on the following:
 - A full day of service for children is defined as a minimum of 4 days a week, 6 hours per day for a total of at least 24 hours per week.
 - Sub-grantees must run at least 24 hours per week over at least 4 days to meet the requirements of this grant.
 - Sub-grantees may combine a PDG part-time slot with other funding sources to enhance to a full-time slot of at least 24 hours per week over at least 4 days.

Quiet Time/Napping

A site should have supplies available in case a child requests to lie down or rest. For more information: [Code R9-5-511: Sleeping and Napping](#). Sub-grantees should also note that *ECERS-R*, Indicator 11 addresses a nap/quiet time for children in a program for four hours or more. Since all PDG children must attend at a minimum 6 hours per day, this indicator will affect the schedule of the day. Quiet time can consist of the children being on mats to listen to a story or an appropriate chapter book. Some children may fall asleep during this time, while others will engage in play activities after the reading; the needs of each child should be honored. According to the definition of a "High-Quality Preschool Program," structural element (h) states "individualized accommodations and supports so that all children can access and participate fully in learning activities should be provided." For some children (especially at the beginning of the year), this may mean quiet time/nap.

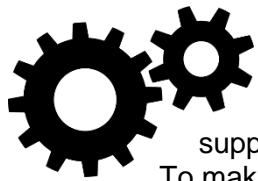
Staff-to-Child Ratio and Class Size

Although Code R9-5-404 of [ADHS childcare licensing rules and regulations](#) (p. 24) establishes a 1:15 teacher to child ratio for 4-year old children, the *PGHQ* establishes a higher level of quality as a 1:10 teacher-to-child ratio for 4-year old children. The *PGHQ* also recognizes that these ratios may be lowered based on the needs of children with disabilities to ensure appropriate, meaningful inclusionary practices are being implemented. In addition, *PGHQ* establishes the group size maximum to be 20 children enrolled per group of 4-year old children. ADE ECE will closely monitor ratios and group sizes of sub-grantees as it is truly reflective of what is needed to provide high-quality experiences for children ([PGHQ](#), pp. 10-11). Sub-grantees must maintain ratio and class size during PDG hours or risk losing funding.

Primary Home Language Other Than English (PHLOTE)

Many children in Arizona live in households where a language other than English is spoken. The PDG HNCs were specifically identified as communities with high levels of English Language Learners (ELL). The PDG is expected to provide an opportunity for children to access quality interactions, academic vocabulary, and robust language experiences in English. As part of the registration packet for enrollment in the PDG program and to better understand the linguistic needs of the children and families, programs may ask families to complete a PHLOTE form (see [Appendix K](#) for state PHLOTE), which can also provide information for children's portfolios in TSG. This form becomes part of the child's record and should be used as part of the Kindergarten Transition information. ADE will collect data from sub-grantees regarding the number of children who had a language other than English as identified on the state home-

language survey. The PHLOTE form cannot be conducted until two weeks prior to the child's start date at the program.



COMPREHENSIVE SERVICES

Comprehensive services expand access to information, services, and supports families need to help their young children achieve their fullest potential. To make the best choices, families need access to information that educates them about what their child is learning and doing, how to optimally support early childhood development and child health, and what resources or programs are available in their community. Families also need opportunities to connect with other families in their community. High-quality programs link families with supports in a comprehensive, collaborative, culturally and linguistically responsive manner that best meets the needs and preferences of families. Sub-grantees will leverage available resources and involve families in the program development and implementation. The ADE ECPS for each community will support the collaboration effort to acquire services needed by facilitating meetings between programs in the community, coordinating outreach to service providers, collaborating with the QF coach, and encouraging community participation in ECQUIP.

At the local level, providers in the community will collaborate and build on community services that are meeting families' needs. Sub-grantees and community partner agencies must see collaboration as a primary benefit to families and act as a bridge to unify families and children with additional support services. Comprehensive service needs and availability will vary based on the uniqueness of the community. Sub-grantees will develop and implement a written continuum of comprehensive services including LRE, Child Find, and Family Engagement:

1. **Least Restrictive Environment (LRE):** Programs will be required to serve no less than 2 children with identified special needs within a classroom of 20. This will require IEP teams to work together with families to intentionally find the most-appropriate LRE environment placement for the child within the community. The grant will support programs to meet this goal through participation with a QF Inclusion Coach along with technical assistance from an ADE ECPS as needed. For more information: [HELP Manual](#).
2. **Child Find:** It is imperative that a screening procedure be in place to ensure children with special needs are identified and receive the supports they need. Sub-grantees within the HNC must create local procedures to conduct routine, collaborative Child Find system. All sub-grantees must understand how to connect with service providers operating under Parts B (619) & C of the IDEA, as appropriate. In addition, local IDEA Part C and Part B (619) providers must work together to ensure that IDEA regulations are implemented with fidelity and in accordance with state and federal laws. For more information: [Child Find/ AZ Find](#).
 - Early learning providers should coordinate screening opportunities for all children within the community. This will assist with Child Find efforts, but it will also identify children who may benefit from additional resource supports from programs such as home visitation or Early Head Start/Head Start. ADE will intentionally work with the community to create relationships between sub-grantees, Early Head Start/Head Start Maternal, Infant and Early Childhood Home Visiting (MIECHV) coordinators, FTF staff and resources, LEA leadership, and other community partners.
 - Follow-up referrals and activities that are initiated to secure appropriate services will be documented and tracked to ensure that families receive the necessary information and/or services. Community programs will work in partnership with the LEA to ensure and maintain coordinated and seamless efforts. Hearing and vision screening performed on children must be conducted by those who have been trained to

administer the screening instruments. This may require some coordination between the early learning providers in the community. If no such person is available at the community program site, the community program can collaborate with their LEA or their QF CCHC to conduct these screenings.

- For more information: www.azed.gov/ece/early-childhood-special-education.

3. ***Family Engagement:*** The family plays a central role as the most influential caregivers in a child's life. Sub-grantees must create and implement plans for family engagement and keep a copy of the written plan available on-site. Family engagement activities shall include a focus on involving the family as key decision makers and assessors of the program. Sub-grantees must:

- Engage families in meaningful, culturally and linguistically responsive ways
- Intentionally help families be partners in their children's education.
- Implement ways to continually identify family needs and garner their feedback.
- Create procedures to coordinate resources and services for families and children.
 - Connect with appropriate local businesses, family resource centers, agencies and other local groups relating to health/mental health, domestic violence, substance abuse, adult literacy, financial asset building, food pantry, and other services.
 - Other activities outlined in the plan may include but are not limited to the following:
 - Home visits (initial or ongoing)
 - Family conferences
 - Classroom visits with options for parents to participate
 - Parent satisfaction surveys
 - Child progress reports

Community Partnerships and Resources

Providers in the HNC will work in ongoing collaboration with local partners to assess additional comprehensive services needed for children and their families, and local support options. The HNC will develop a working relationship with the local FTF Regional Partnership Councils (RPC) and other education, business, and philanthropic community partners to obtain greater resources, share knowledge, learn together, and build consensus. To find the local FTF RPC: www.firstthingsfirst.org/regions. The following are examples of FTF Strategies that fund comprehensive serves, *in regions where they are funded by the FTF RPC*, and availability is dependent on the unique needs of the community:

- **Local Family Resource Centers** serve as community hubs for connecting families with children birth to age 5 to the information, resources, and services they need to support their child's optimal health and development. The expected results of access to a Family Resource Center are improved parenting skills and social supports for families; increased knowledge of child development; and support for school readiness.
- The **Food Security** strategy works to provide food and other healthy living information to meet the nutritional needs of families that lack access to sufficient, safe and nutritious food. Information is also provided on age appropriate feeding schedules and food content standards for food boxes, food backpacks, or food vouchers. The expected result is access to sufficient, safe and nutritious food for children birth to age 5.
- The **Parent Kits** give families of every infant born in birthing hospitals in Arizona critical information about healthy parenting practices and how to support their baby's early

learning. In the parenting kit, families receive 6 DVDs about good parenting practices, a resource guide, and a book to encourage early literacy.

- **The Family Outreach and Awareness** strategy works to increase families' awareness of positive parenting; child development including health, nutrition, early learning and language acquisition; and, knowledge of available services and supports to support their child's overall development. The expected result is an increase in knowledge and a change in specific behaviors addressed through the information and activities provided.
- The **Reach Out and Read** strategy expands children's access to reading by promoting child literacy as a part of pediatric primary care. Training is provided to pediatric practitioners on how to engage parents and young children in early literacy activities and provides books to pediatricians or their staff to distribute to families with young children.
- The **Care Coordination/Medical Home** strategy embeds a care coordinator into a clinical practice to assist at-risk families with young children to navigate the complex health care and social services systems. The expected result of effective care coordination is that children receive services they need (i.e., well-child visits) and families receive efficient assistance to avoid duplication of services or demands on their time, and unnecessary stress. An important component of care coordination is its association with a medical clinic that is designated as a "medical home" for the child and their family.
- The **Oral Health** strategy provides best practice approaches on enhancing the oral health status of children birth through age 5. The expected results are prevention of tooth decay and reduction in the prevalence of early childhood tooth decay. Tooth decay puts children at risk for pain and infections that can lead to lifelong complications of their health and well-being. The approaches for this strategy include: oral health screening for children and expectant mothers with referrals to oral health providers for follow up care as needed; fluoride varnishes for children; oral health education for families and other caregivers; and, outreach to families, other caregivers including early learning and care providers, and oral health and medical professionals.

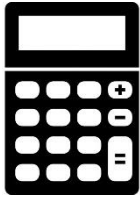
Sustainability

At the local level, sub-grantees will collaborate and build on existing community services, resources, and local, state, and federal funding sources to increase access and sustain high quality early childhood services for young children and their families. Sub-grantees will work towards creating sustainable programs by coordinating existing early learning funds and using federal grant dollars and other matching funds to support their efforts.

Sustainability efforts may include the planning, coordination, and implementation of local and statewide strategies that focus on building partnerships through collaboration, engaging stakeholders and advocating for support, and finding applicable funding.

Sustainability planning resources may include:

- Arizona Association for the Education of Young Children (AzAEYC): [AZ Toolkit: Resources to Improve Quality and Business Practices](#)
- Build Initiative: [Shared Services: A Support Strategy](#)
- ECTA Center: [Financing Strategies and Collaborative Funding](#)
- ELCTA: [Shared Services as a Strategy to Support Child Care Providers](#)
- National Center for Education Statistics: [SLDS Sustainability Toolkit: Best Practices & Resources](#)



GRANT ADMINISTRATION AND FISCAL REQUIREMENTS

Proposals

PDG is a competitive grant. Eligible providers that wish to participate must:

- Submit a proposal that outlines the number of children they *propose* to serve, as well as their service opportunities (full-day, or part-day combined with other funds to complete a full-day, and number of months); and
- Be determined eligible and of sufficient quality to participate in the funding; and
- Have the capacity to meet grant deliverables including programmatic, fiscal, and infrastructure capacities.

Funding allocations will be determined based on the information submitted in the proposal, the number of eligible programs, and total funding available. Proposals are submitted via electronic survey link to ADE ECE and must be submitted by the due date to be considered.

Allocations are dependent on available funding. Funding will be distributed based on the eligible programs who submit proposals for the upcoming fiscal year funding. There is the possibility that not all eligible programs will be chosen for participation nor may proposals be fully funded.

Award Letters

All proposals will receive notification of award or non-award of PDG. Award letters will be sent via email to awarded sub-grantees which will indicate total program funding award as well as the total number of children that can be served with the funding.

Allocations

Allocations are allotted as a total award sum and are calculated by the number of slots (full-time or part-time, combined with other funds to enhance a full day) and number of service months (9 or 10 months) and are limited to the funding amounts in the chart below.

Length of Service Day	Months of Program	Monthly per Child Rate	Annual per Child Rate
Full Day	9/10 Months	\$511/\$460	\$4,600
The monthly per child rate of \$511 or \$460 per month will be used as a basis for prorating the formulas for full day programs that are 9 or 10 months in length.			
Part Day (only to enhance to a full day)	9/10 Months	\$255/\$230	\$2,300
The monthly per child rate of \$255 or \$230 per month will be used as a basis for pro-rating the formulas for part day programs that are 9 or 10 months in length.			

Grant Submission

Awarded sub-grantees will submit a detailed grant application through ADE GME which outlines how the sub-grantee will use the total PDG funding to support the program goals. A sub-grantee representative must have GME access in order to complete and submit a grant application to ADE ECE. For more information on gaining access to GME: www.azed.gov/grants-management/support.

The grant application must be budgeted, completed, and submitted within a timeframe that allows it to be ADE ECE Director approved by June 30, 2018.

All sub-grantees receiving grant monies must have a current General Statement of Assurance (GSA) on file with the Grants Management Office, a document that guarantees accountability to the United States and to the State of Arizona. This document is renewed yearly by the sub-grantee, and is due **by May 15th** for the upcoming fiscal year. For the GSA template and how-to instructions: www.azed.gov/grants-management/gsa.

GME Navigation instructions and how-to guides for grant applications, reimbursement requests, and completion reports are available in the “Grants Management Resource Library” in GME which can be accessed through ADE Connect.

New Entities

A new entity (first time applicants) will complete several steps in order to submit the necessary documents, gain access to the Grants Management (GME) system, and submit a grant application:

- Apply for a DUNS# number online.
 - Apply for a CTDS# number online.
 - Submit the completed General Statement of Assurance (“GSA”) to Grants Management.
 - Submit a W-9 or any other necessary fiscal documents to Grants Management.
 - Work with Grants Management to attain an ADE Connect account and administrator access for the sub-grantee fiscal representative in GME
1. Apply for a DUNS number, go to <https://iupdate.dnb.com/iUpdate/companylookup.htm>
 2. Apply for a CTDS number online.
 - To apply for a CTDS number, go to the ADE’s School Finance website and download and complete the [Entity Profile Form](#). (The form is accepted by e-mail only.)
 - Follow the directions from the [Entity Profile](#) Form webpage. If you are a new entity, please use CTDS# 00-00-00-001 when completing the form and select “School Finance” as your LEA Account Analyst.
 3. [Submit the completed GSA to Grants Management](#)
 4. Submit a W-9 Form to Grants Management.
 - The AZ W-9 form is used to generate payment from ADE. For AZ W-9 Form and Instructions: www.azed.gov/grants-management/gsa.

For T/A: Grants Management Office, 602-542-3901, www.azed.gov/grants-management. For information on how to access GME: [Instructions to Gain Access to ADE GME](#).

To access the GME System once ADE Connect access and GME access are granted, follow the below instructions. If the sub-grantee does not have an ADE Connect Account, contact the Grants Management Office: 602-542-3901, www.azed.gov/grants-management.

- Go to the ADE website at www.azed.gov.
- Click on **ADE Connect**
- Enter your **ADE Connect User Name and Password**.
- Select **Grants Management** from ADE Connect Application Menu
- Once on the Grants Management Home Page click on Search
- Click **Funding Application**
- Click on the **Preschool Development Grant**
- Click **Search**

- Click on **your organization name**
- Start Application

Budget Requirements

The ADE Budget Report in the PDG application includes acceptable categories of expenditures for funds. ADE ECE will review and approve for budget expenditures or will send back grant applications that do not meet the necessary, reasonable, or allocable definitions as listed below. Sub-grantees should budget for quality, and the budget line items should reflect the needs and goals of the sub-grantee. Budgeted items should be correctly coded, including any applicable “Project Time (FTE)” percentages or cost-allocations based on other funding sources, in the grant application. Moreover, the total budgeted amount should match the allocated award as indicated in the sub-grantees current PDG award letter.

For more information, sub-grantees should refer to the Uniform Systems of Financial Records (USFR) Chart of Accounts, Section III-E-2.1 through III-E.3.9 or the [Uniform Systems of Financial Records for Charter Schools](#) (USFRCS).

Allowable Expenditures

Allowable expenditures for the PDG funds must advance a high quality educational program for preschool and promote early learning achievement using developmentally appropriate practices. All costs must be necessary, reasonable and allocable:

- **Necessary:** Is the cost a type generally recognized as ordinary and necessary for the operation of the PDG program?
- **Reasonable:** Do I really need this? Is it required in the PDG classroom to meet the definition of high quality? If I were asked to defend this purchase, would I be able to? Did I pay a fair rate?
- **Allocable:** Is the cost allocable to PDG? Does the cost benefit the PDG program?

Allowable Costs will be aligned with the definition of [High Quality Preschool](#) as indicated in the “Overview” section of this Guidance Manual:

- Personnel employed by the program who have responsibilities that are SPECIFIC to the PDG program.
- Contract services when the service is specific to the PDG program.
- Supplies and materials needed to implement the definition of High Quality preschool program.
- Equipment needed to implement the PDG program.
- Printing materials such as PDG parent handbook, PDG staff handbook, PDG newsletters, PDG assessment reports, etc.
- Parent training activities related to the PDG program.

- Professional Development (meals, transportation, lodging and conference registration fees)
- Printer for the PDG classroom.
- Tablets/computer for teacher documentation.
- Teaching Strategies GOLD portfolios
- Rent and cleaning of the PDG classroom
- Field trips, up to 3 per year.
- Family engagement activities
- Licensing fees



Photo Credit: Juan Mares (San Luis Preschool)

Acceptable expenditure categories for the PDG include, but are not limited to:

- Meeting and maintaining developmentally appropriate practices as set forth in the *Program Guidelines for High Quality Early Education: Birth through Kindergarten (3rd Edition)*
- Meeting and maintaining programming that clearly aligns with the *Arizona Early Learning Standards*, Quality First, and/or national early childhood accreditation standards
- Providing opportunities for family engagement such as family training activities related to PDG
- **Direct Instruction (function code: 1000)**: teacher salaries and benefits; supplies such as manipulative, books, other classroom items such as a small printer for PDG classroom, field trip admissions, ongoing progress monitoring tool subscriptions, substitute teachers, etc.
- **Support Services (function code: 2100)** such as contracted services when the service is specific to PDG, proportional salaries and benefits for PDG support staff, supplies for family trainings or workshops, workshop or training opportunities for teaching staff, travel expenses to attend approved trainings, or Teaching Strategies GOLD portfolios.
- **Administrative Costs (function codes: 2300 and 3000) may not exceed 5%** of the total allocation awarded.
- **Capital Outlay** (e.g., classroom furniture and equipment needed to implement PDG, classroom computers aligned with developmentally appropriate practices or for use in collecting evidence for Teaching Strategies GOLD, etc.)

Other Expenditures such as rent, cleaning, or licensing fees cost-allocated for PDG classroom(s); outreach for the open PDG slots; printing materials such as PDG family handbooks, PDG newsletters, PDG fliers.

Disallowable Expenditures

Disallowable costs include:

- Overtime
- Refrigerators, copiers/ printers exceeding \$1,000 in cost, food preparation equipment
- Animals
- Attorney fees
- Custodial care; before and after school care (Families receiving PDG scholarships may not be charged a fee or registration to attend the program. If a family requires before and after care outside of PDG hours, programs may charge for those extra hours).
- Entertainment
- Religion
- Alcohol

- Program wide PD not specifically directed at meeting the identified academic or developmental needs of the PDG students
- Out-of-state travel
- General expenditures that will generally benefit all students in a program
- Vehicles
- Permanent fixed classrooms units
- Construction, modernization, or renovation of permanent installations (sunscreens, playground structure, ramps, bathrooms, carpets, etc.)
- Non-Instructional items, office equipment, office furniture
- Any allocations that do not benefit the PDG program or do not advance the quality of the PDG program

Budgeting

Sub-grantees should use the below codes to accurately code line items in the grant application budget. Grant applications with correct coding that meet the allowable costs for PDG will be reviewed and approved by ADE ECE while grant applications not correctly coded will be sent back to the sub-grantee for edits which may impact the ability of programs to begin dropping down reimbursement through GME for PDG costs incurred.

The narrative box for each budgeted line item should be *detailed* and *descriptive* of the purpose of these allocations and illustrate how the sub-grantee will use these federal funds to support the implementation of their PDG program.

***2300 and 3000 are allowable under this grant; cost allocation is a must and CANNOT exceed 5% of the total award.** Only a maximum of 5% of administrative costs (under function codes 2300/3000) can be allocated throughout the total grant budget.

6100 Salaries: PDG is looking to establish parity with the program's local District Salary Scale for equal qualifications/ years of service.

- **1000 Instruction** (activities directly impacting the students): Lead Educators, Assistant Educators, floaters, substitutes directly from the district/ program (Coach/mentor for Head Start Only)
- **2100 – Support Services** (supports the PDG teacher, the PDG classroom, or the PDG program): stipends for teacher above & beyond teaching and substitute teachers in the classroom (while regular teachers attend training).
- **2300 – Administration*** – operational activities not related to the PDG classroom but that are necessary to carry out the PDG program
- **3000 – Non-instructional Services*** – activities that are neither administration nor instruction but are necessary to carry out the PDG program

6200 Employee Benefits: (Employee Related Expenditures): Indicate what % of the salary is going to be paid for Employee Related Expenditures and a description of benefits such as FICA, worker compensation, social security, etc.; optional benefits (dental, vision, health, retirement, etc.). The "Project Time (FTE)" and "Quantity" amounts must match those requested in 6100 Salaries. If benefits will be paid out of another funding source, the sub-grantee will indicate that in the narrative section of 6100 Salaries as applicable.

6300 Purchased Professional Services: (Note: Teaching Strategies GOLD (TSG) child subscriptions belong under 6600 Supplies/ Support Services)

- **1000 Instruction:** contracted teachers, consultants and substitutes (no salary)

- **2100 Support Services** – Trainings & conferences registration fees for teachers including any PDG-specific ADE ECE hosted conferences and meetings listed in the sub-grantee’s award letter
- **2300 – Support Services** – In PDG, administrative training is not covered except for Teaching Strategies GOLD for administrators or ADE ECE hosted conferences/summits for administrators

6400 Purchased Property Services: Cleaning services or rent of the PDG classroom only (3000- Operation of Non- Instructional Services). Consider matching funds when charging these items to the grant.

6500 Other Purchased Services: PDG does not cover insurance unless the cost of having the PDG students exceeds their existing policy. Proof is required to justify.

- **2100 – Support Services** – Field trip transportation for students, up to 3 field trips per year are allowed under this grant, justification for field trips will be included in the narrative.
 - Teachers travel to and from professional development training (travel includes: hotel, meals, mileage as applicable at the allowable state per diem rate)
 - Printing materials such as: PDG parent handbook, PDG staff handbook, PDG newsletters, TSG reports, etc.)
 - Outreach to families of 4 year olds to meet the enrollment needs of PDG (recruitment fairs, promotional flyers describing the PDG Program not the entity)
- **2300 – Support Services Administration** – Travel for Administrators to attend TS GOLD training for Administrators or any ADE-hosted conferences/summits for Administrators

6600 Supplies: In an effort to provide high-quality experiences during the fiscal year, all **classroom materials, supplies, technology, and furniture must be obligated before October 30 of the fiscal year.** The intent is for materials, supplies, and furniture to be available and effectively utilized in the PDG program during the fiscal year.

- **1000 – Instruction** – any supplies that directly impact the learning experience of the children itemized out in the narrative box or with an attached Supplies Worksheet in “Related Documents”
- Food costs should be linked to learning experiences and aligned with *Arizona Early Learning Standards* and/or EMPOWER and health and nutrition program goals.
 - **Example:** “Meals for: Breakfast and Lunch for #___of children X \$ cost per day X #___of days or months (In this example, this is the net cost after CACFP reimbursement). Providing breakfast and lunch ensures that children’s nutritional needs are met and is also linked to children learning about nutrition and making good food choices. We serve fresh fruit and vegetables and whole grains”.
 - Food for Cooking Experiences in the Classroom \$ amount X # ___of months = \$ total.
Providing wholesome cooking activities in the classroom is linked to teaching nutrition and helping children make good food choices; it’s also linked to math, science and literacy. Children learn how to measure and follow good hygiene when handling food.”

- Child Adult Care Food Program (CACFP) or National School Lunch Program (NSLP) should be used first, and PDG funds can be used to cover any remaining expenses.
- **2100 – Support Services** – TSG child subscriptions, wipes and other health and safety related program materials; bathroom supplies reimbursed only for the PDG classroom and should be cost-allocated if supplies are shared with other children not in PDG.

6700 Property: ADE requires Quantity, Cost per unit, description and purpose for all capital outlay items as an uploaded Capital Outlay Worksheet in “Related Documents”.

- **6731-6733** Furniture for the PDG classroom; costs should be cost-allocated if other students not covered in the grant use the classroom. (6731 for items costing less than \$5,000; 6733 for items \$5,000 or more). **6737-6739** Technology related hardware and software with an uploaded Technology Equipment Worksheet in “Related Documents”. Tablets, computers, or cameras for teacher documentation are allowable, but must be used for PDG purposes only. (6737 for technology less than \$5,000; 6739 for technology \$5,000 or more)

6800 Other Expenses:

- **1000 – Instruction** – Field trip entrance fees, up to 3 field trips per year are allowed under this grant, justification for field trips must be included in the narrative box with detail regarding how the field trips enhance the children’s curricular experience.
- **3000 – Operation of Non-Instructional Services** – Licensing fees appropriately cost-allocated; family engagement activities, parent education workshops.

6910 Indirect Costs:

Indirect costs are those expenditures that incurred for the joint benefit of more than one project and cannot be readily and specifically identified with the particular project without effort disproportionate to the resolves achieved, such as rent, utilities, phone service, insurance, use of copier machine.

Administrative Costs/Indirect Costs are general or centralized expenses of overall administration of an organization that receives grant funds and does not include particular program costs. Those are for activities or services that benefit more than one project. Their precise benefits to a specific project are often difficult or impossible to trace. (See [Appendix O](#) for Guidelines for Preparing Indirect Cost Proposals.)

Direct Costs are those for activities or services that benefit specific projects (e.g., salaries for teachers, aids, paraprofessionals and materials required for a particular project). Because these activities are easily traced to projects, their costs are usually charged to projects on an item-by-item basis.

Sub-grantees must choose option A, B or option C, based on their applicable allowance for indirect costs, and provide proper justification for expenses in the grant application (see [Appendix O](#) for Guidelines for Preparing Indirect Cost Proposals).

- a. **Option A – Federally Approved Indirect Cost Rate:** If your organization has an approved indirect cost rate agreement in place, you must use that rate for this grant.
- b. **Option B – If the organization does not have an Indirect Cost rate agreement:** The Sub-grantee may charge the 10% provisional rate for up to 90 days and must submit an

indirect cost proposal to the Arizona Department of Education within 90 days after the grant award is issued and, if it does so, may continue charging the 10 percent provisional rate until the cognizant agency has provided the Sub-grantee with a negotiated indirect cost rate; and if after the 90-day period, the Sub-grantee has not submitted an indirect cost proposal to the Arizona Department of Education, the Sub-grantee may not charge its grant for indirect costs until it has negotiated an indirect cost rate agreement with the Arizona Department of Education; or

- c. **Option C – Direct Charge:** With proper justification, Sub-grantee may include an allocation for administrative costs up to 5% of the total funds awarded. Administrative costs may include: cost of auditing, accounting, financial, payroll, salaries and benefits of the program director and other administrative staff.

Allocation of Costs among Multiple Sources

List any additional funding source(s) as applicable, what cost is covered by that funding source, and the total amount. Some examples of other funding source allocations include, but are not limited to:

- CACFP
- Private = Tuition (for salaries, etc.)
- Head Start = (Salaries and Supplies, etc.)
- FTF QF = scholarships or incentives
- Title I = possibly for SLL teacher (closes learning gap for second language learners)

Example of Cost Allocations:

- Allocation based upon Time and Effort: The cost of the instructional staff is proportionally allocated based on the number of hours spent on the project.
 - Lead Teacher spends 100% of time working on the PDG program
 - Paraprofessional spends 90% of time working on the PDG program and 10% in the 2-year-old classroom.
 - Floater spends 10% of time working on the PDG program and 90% in the 2-year-old classroom

Title	Salaries	%	Amount charged to the PDG
Teacher	\$ 35,000	100%	\$ 35,000
Paraprofe	\$ 18,000	90%	\$ 16,200
Floater	\$ 15,000	10%	\$ 1,500
	\$ 68,000		\$ 52,700

- Allocation based on the number of children served: the cost of the supplies, materials, and/ or equipment is allocated based upon the number of PDG children served.

Inclusion Classroom Materials				
Cost of Materials	\$5,000			
Funding Source	Number of Children	%	Amount per funding source	Amount charged to the PDG
IDEA-PRE	5	25%	\$ 1,250.00	\$ -
PDG	15	75%	\$ 3,750.00	\$3,750.00
Total	20	100%	\$ 5,000.00	\$3,750.00

All expenditures must be supported by legible and original documentation such as cancelled checks, paid bills, payrolls, receipts, invoices, time and attendance records, contract documents, etc.

Matching Funds

Matching funds are funds that are set to be paid in equal amount to funds available from other sources. Sub-grantees will match funds at a minimum percentage of the total cost of PDG award as listed below. **Federal funds may NOT be used as match funding.**

Fiscal Year	PDG Share	Sub-grantee Share	Total Budget
FY16 (PDG Year 1)	No more than 90%	At least 10%	= 100%
FY17 (PDG Year 2)	No more than 85%	At least 15%	= 100%
FY18 (PDG Year 3)	No more than 80%	At least 20%	= 100%
FY19 (PDG year 4)	No more than 75%	At least 25%	= 100%

Matching funds may be provided in cash or through in-kind contributions, fairly evaluated, and may consist of, but are not limited to:

- Building space
- FTF QF Scholarships; regional QF investment in comprehensive services
- Other state or tribal dollars
- Donations
- Volunteer hours

Calculations, formulas, and details of the matching funds should be included in the Program Details of the GME grant application. Sub-grantees will calculate the matching funds based on how the program will contribute local or state funds to the implementation of the PDG program.

Example of Matching Funds Calculation in the Program Details section of the GME grant application:

PROGRAM DETAILS:
According to the PDG Manual, matching funds for Year 4 are 25%. Please describe your matching funds:

The PDG program was awarded \$184,000 in PDG funding. The program is providing 25% or more of matching funds for the PDG program in the form of payment of utilities for PDG classrooms and support staff salaries and benefits. Matching funds will be funded out of state Maintenance and Operation funds and are calculated below:

- The school campus averages \$4,000 a month in **utilities** (when averaging the total monthly utilities from the previous school year, August through May) and PDG occupies approximately half of the campus space including classrooms, office space, and all working spaces, which would equate to \$2,000 a month in utilities. \$2,000 a month x 10 months of PDG program service = **\$20,000**.
- The program provides **maintenance support**, including daily cleaning of the classrooms, with a cost/salary of \$32,00 and benefits at \$13,000 = \$45,000. 50% of his duties go towards supporting the PDG program = **\$22,500**.
- The district pays for a **secretary** to support the PDG registration/paperwork with a salary of \$20,000 and benefits at \$4,000 = \$24,000. 30% of her duties go towards supporting our PDG program which equates to **\$7,200**.
- The district also pays for an additional **instructional assistant** to support the PDG classrooms only, with salary at \$17,500 and benefits at \$10,000 = **\$27,500**.

All these expenses total **\$77,200** (41%) which exceeds the program's 25% matching funds.

Providing a full range of high quality early childhood services requires both appropriate funding levels as well as significant matching of program resources therefore, programs may braid funding in order to provide quality preschool services to the maximum number of eligible children but shall **not supplant** any current funding source.

Grant Revisions

Sub-grantees must electronically submit a revision through the ADE GME System for fiscal and/or programmatic changes. Expenditures for line items not approved on the original application **must have prior approval** which *is obtained by submitting a revision through the GME system*.

Fiscal revisions to the budget must be made when the anticipated expenditures will exceed the budgeted line item by 10% or \$1000 (whichever is greater). Additional amendments should be submitted when expenses include items such as technology, classroom furniture, or other significant purchase changes. Amendments may be submitted throughout the year. The deadline date for submittal of all amendments is 90 days prior to the fiscal year end date. Documentation for all other expenditures must include evidence that the expenditures are allowable costs and demonstrate the relationship of the expenditure to the sub-grant's cost objectives. For questions, contact the HNC's ADE ECPS.

All information listed on the PDG grant application must be kept current. If there are programmatic changes such as changes in staff, the information should be updated by submitting a revision to include changes and updates, and the sub-grantee should notify their regionally assigned ADE ECPS. The information provided on the contact page is used to send program updates, information and important grant correspondence. It is the sub-grantee's responsibility to keep information current.

Completion Reports

A completion report is an end-of-the-fiscal-year financial report that will be completed and submitted electronically by the sub-grantee through the ADE GME **no later than 45 days** after the end of the PDG fiscal year. .

- There are **no carry-over funds** for PDG.
- Funds not expended by the program during the fiscal year for which they were allocated must be returned to the ADE Accounting Office by the date listed on the Completion

Report Approval Notice. Failure to comply will result in ineligibility for future funding opportunities through ADE until the funds have been returned.

Duplicate Funding

Children participating in PDG may not be receiving duplicate programming through other funding available from State, Federal or Tribal sources such as: Department of Economic Security (DES) child care subsidy, Title I, Special Education Programs, Head Start, or FTF childcare scholarships. Children eligible for these resources but who are currently on waiting lists for these programs are eligible to participate. A child receiving part-time funding from any of the above sources may be eligible to receive a part-time PDG scholarship in unduplicated time periods.

Supplanting

Federal law prohibits recipients of PDG funds from supplanting— that is, replacing state, local, or agency funds with federal funds. This means that existing funds for a project and its activities may not be displaced by federal funds and reallocated for other organizational expenses. For example, if a sub-grantee is already paying for a Director Salary with other school funds, it cannot use PDG funds to pay Director Salary and use the “savings” for other purposes. Since the Director was already paid with local sources, it is not legitimate to transfer that position's salary under the funding of the new grant.

Reimbursement

The PDG is a cost-reimbursement grant, a type of grant under which ADE ECE will reimburse the sub-grantee for work performed and/or costs incurred by the sub-grantee up to the total amount specified in the grant and contingent upon allowable use of funds. PDG Reimbursement Requests will be made using the ADE electronic GME System. For more information: [Reimbursement Requests](#). (See [Appendix P](#) for Reimbursement Guidance.)



PROGRAM EVALUATION

Quality First

The sub-grantees in the high needs communities will participate in the [Quality First](#) (QF) program. QF, a signature program of First Things First, partners with child care and preschool providers to improve the quality of early learning across Arizona. Their research-based practices help children birth to 5 thrive. QF initiatives support education for teachers to expand their expertise in working with young children and parents with information about what to look for in quality early childhood programs going beyond health and safety to include a nurturing environment that supports their child's learning. For additional information: www.qualityfirstaz.com/providers.

Quality child care and preschool settings build on basic health and safety to include:

- Teachers and caregivers who know how to work with infants, toddlers and preschoolers;
- Positive, nurturing relationships that give young kids the individual attention they need;
- Learning environments that encourage creativity and imaginative play;
- Hands-on activities that stimulate and encourage positive brain connections in children; and,
- Caregivers who provide regular feedback to families on the development of their child.

Participation in QF starts with an initial program assessment which will provide a clear picture of each program including its quality strengths and the opportunities for quality improvement. A QF assessor will visit the program to observe classrooms and interview teachers. The assessor will then rate various aspects of the program (e.g., the environment, curriculum, teacher-child interactions) using valid and reliable assessment tools. These scores will be used to determine an initial QF Star Rating and the supports and benefits a program is eligible to receive. This initial rating will not be made public.

Sub-grantees with sites not yet enrolled in QF must submit a QF enrollment application online before the start of the PDG fiscal year for each separately licensed site approved by ADE ECE for PDG funding: www.qualityfirstaz.com/providers/apply-to-quality-first. If a sub-grantee has sites that are not yet licensed, it should complete the licensing process in an efficient, timely manner to ensure services can be provided to children within 60 days of the start of the fiscal year. The site is required to be licensed by an applicable state, federal, or tribal licensing agency, enrolled in ADHS Empower, participating in QF, and [fully operational](#) by August 30 of the program year, or the local district school start date, whichever is first.

ADE ECE Quality and Compliance Monitoring

Monitoring of program sites (see [Appendix L](#)) is a proactive approach to ensuring PDG sub-grantees are following guidelines and providing high quality and comprehensive educational programs that promote improved student achievement. A formal monitoring visit (compliance validation) will occur as follows:

FY16 – (PDG Year 1)	FY17 – (PDG Year 2)	FY 18 – (PDG Year 3)	FY19 (PDG year 4)
All sub-grantees	All sub-grantees	All sub-grantees	All sub-grantees

The compliance validation will be pre-scheduled by ADE ECE with the sub-grantee. The monitoring of the sub-grantee will include:

- Classroom visitations
- Interviews with program teachers, administrators, and/or families
- Fiscal review
- Review of implementation of standard, curriculum, and assessment records such as portfolios/work samples and teacher anecdotal observation notes (ongoing progress monitoring data)
- Review of program compliance information for *PGHQ* and PDG deliverables as identified by PDG
- Review of program documentation and requirements such as ECQUIP meeting results, documentation of family income, licensure, accreditation information (if applicable), and collaboration documentation
- Review of child find system, community partnerships, family engagement strategies, kindergarten transitions and others as identified in the *PGHQ*
- Review of program documentation and scope of work documents related to the written wait list policy, selection criteria, suspension/expulsion policy, etc.

The formal monitoring will conclude with ADE staff meeting with sub-grantee administrator(s) or staff to discuss observations and to provide T/A as needed. For the monitoring form and other monitoring resources: www.azed.gov/ece/current-initiatives.

Program Reporting

Sub-grantees will maintain detailed evidence of all PDG programmatic and fiscal efforts which may be reviewed by ADE ECE at any point during or after the funding period. This includes, but is not limited to, any demographic, assessment-related, and implementation documents and other PDG deliverables.

Both to engage in self-evaluation to improve the quality of the program's preschool services and to support the ADE ECE local, state, and federal funding reporting, sub-grantees will submit scope of work (SOW) documents related to PDG implementation through links in the [ALEAT](#) system by **October 15** of the fiscal year:

- Child Find Analysis
- [Individual Professional Development Growth Plans \(Appendix M\)](#)
- Comprehensive PD Plan ([Appendix N](#))
- Family Engagement Needs Assessment
- [Family Engagement Assessment Action Plan](#)
- [Kindergarten Transition Plan](#)

Additionally, to ensure successful implementation and documentation of quality improvement efforts, ADE ECE will collect information in a variety of ways from sub-grantees. Examples are listed below. ADE ECE may request additional reporting as necessary.

- Monthly absenteeism, suspension, and expulsion reports for the awarded PDG slots, due via survey link by the 15th of the month for the previous month's data from August through June of the fiscal year:
<http://www10.ade.az.gov/SelectSurveyNET/TakeSurvey.aspx?SurveyID=n2M0m66K>.
- Grant application and revisions, which outline the proposed budgeting of the total award sum for the sub-grantee, due into GME as "SEA Director Approved" by the ADE ECE specified date.
- End-of-year demographics report, due via survey link by the ADE ECE specified date.
- Completion report, which outlines the budget actual expenditures, due into GME within 45 days of the end of the funding period
- ECQUIP and HNC meeting notes and agendas
- Reimbursement requests with supporting documentation of expenditures submitted through GME
- On-site monitoring as indicated in the "[ADE ECE Quality and Compliance Monitoring](#)" section
- Participation in and on-time submission of early childhood assessment data through Teaching Strategies GOLD as indicated in the "[Ongoing Progress Monitoring and Child Assessment](#)" section



PROFESSIONAL DEVELOPMENT (PD)

All program staff will participate in continuing education to remain current in ECE research and methods and continually update skills and knowledge through professional development (PD) based on local program professional development plans. Each sub-grantee will support program staff in writing an [individualized PD plan](#) based on needs and analyzing that data to develop a larger comprehensive PD plan for the program. (See Appendixes [M](#) & [N](#).) PD opportunities could include, but are not limited to: Developmentally Appropriate Practices, Arizona Early Learning Standards, On-Going Progress Monitoring, or the *PGHQ* for program directors and administrators.

For upcoming ADE PD: [ADE Events Management System](#). For a list of ADE ECE PD: [ADE ECE PD Opportunities](#). For additional early childhood PD: [Arizona Early Childhood Workforce Registry](#).

Per the sub-grantee fiscal year award letter, programs were awarded additional allocations for PD. PDG sub-grantees are required to attend the conferences, summits, or institutes hosted by ADE ECE. These funds are to be allocated and used only for these PD opportunities as specified in the award letter. Any unspent funds will need to be returned to ADE ECE.



EARLY CHILDHOOD PROGRAM SPECIALISTS (ECPS)

An ADE Early Childhood Program Specialist (ECPS) working within the HNC will be assigned to work with the sub-grantees and to support quality improvement efforts and facilitate collaborative relationships. The ECPS will work in conjunction with sub-grantee QF coaches and other QF service providers to ensure continuity of services.

Primary Responsibilities of the ECPS include, but are not limited to:

- Assisting in the development of an infrastructure to ensure sustainability of the collaborative relationship of ECE within the high needs community to improve outcomes for children.
- Providing technical assistance and professional development/training to participants with the purpose of supporting the implementation of strategies and approaches that are developmentally appropriate
- Developing and working with existing implementation plans with participants to achieve improved levels of quality and improved outcomes for young children
- Attending meetings, conferences, workshops in the community to continually seek ways to bridge theory and practice for project participants
- Collecting, developing, and providing informational and educational materials to project participants
- Conducting applicable training and PD sponsored by ADE ECE.
- Visiting the school/community partner sites and conferring with the principal/director on a prescribed basis
- Assisting the local school district and community partners within a high needs community in writing and implementing a robust kindergarten transition plan
- Assisting the preschool programs within the high needs community to see how they align with the district literacy plan.

Federal Scope of Work

As part of the Federal Office of Early Learning Requirements, ADE submitted a Scope of Work (SOW) to outline in further detail how the proposed application will come to fruition. The SOW provides a detailed plan of how Arizona will fulfill the terms of PDG. For more information and to review the SOW: www.azed.gov/ece/current-initiatives.

As a reminder, PDG, afforded to Arizona's HNCs, has a goal of closing the learning gap through intentional, quality early learning experiences. In order to meet our goal, ADE and local sub-grantees must partner to quickly scale up, and **all sub-grantees must be fully operational with 60 days of the start of the fiscal year (July 1)**. It is also expected that all elements of the PGHQ are in place and being implemented. This includes, but is not limited to:

- An appropriate, evidence- or research-based, comprehensive curriculum

- Early childhood assessment (State Board Approved Tool)
- Highly qualified staff or educational attainment plans in place
- Full enrollment and written wait list and most-in-need protocols for enrollment



TECHNICAL ASSISTANCE (T/A)

ADE ECE is available throughout the year to provide T/A regarding PDG. Please contact ADE ECE at any time to address concerns or questions. The sub-grantee's ADE ECPS, assigned to local regions and PDG HNCs around the state, can provide support, T/A, and PD as necessary to support PDG efforts. For specific contacts: www.azed.gov/ece/contactus. For additional early childhood resources: www.azed.gov/ece.

Appendix A: PDG FY2019 Proposal Scoring Rubric

Please use this rubric to self-evaluate and award points to your PDG FY2019 proposal submission. ADE ECE will use this rubric to assess each proposal in order to make determinations for funding awards based on the priority indicators and the program's capacity to implement the PDG.

<u>Program Information:</u>	
Program Name:	Primary Contact Name:
Primary Contact Phone Number:	Primary Contact Email Address:

Priority Indicators	Total Points Available	Total Points Self-Awarded
Program has previously participated in PDG and is in good standing*.	10	0
Program is licensed by a tribal, state, or federal licensing body and is in good standing*.	15	0
Program is on tribal land or serves children who are tribal.	5	0
50% or more of proposed PDG Slots will be served by a teacher with a BA or higher degree.	20	0
50% or more of proposed PDG Slots will be served by a teacher with ECE or ECSE certification <u>OR</u> Proposed PDG teachers have an Associate Degree and/or are currently enrolled in a credit-bearing program working towards ECE/ECSE certification	5	0
Program operates in a rural or underserved area.	5	0
Program is enrolled and participating in Quality First <u>OR</u> Program is on the Quality First waitlist <u>OR</u> Program is participating in the Quality First Redesign Field Test	10 (Enrolled) 5 (Waitlist or Redesign Field Test) 0 (Not Yet Enrolled)	0
Program has achieved quality levels in Quality First <u>OR</u> Program is accredited by a national early childhood accreditation agency (e.g., NAEYC, NECPA). List accrediting body (if applicable):	5 (3-5 Stars and/or Accredited) 3 (1-2 Stars or Not Yet Assessed) 0 (Not Yet Enrolled)	0
Program is serving children with identified special needs.	5	0
School Percentage Free and Reduced Lunch (programs outside the school area may use the local school numbers)	10 (80-100%) 8 (71-79%) 6 (60-70%) 4 (59% or lower)	0
School Percentage English Language Learner (programs outside the school area may use the local school numbers)	10 (25% or higher) 8 (20-29%) 6 (15-19%) 4 (14% or lower)	0
Total Score (out of 100 points):		0
Name of Reviewer: Notes (as applicable):	Date of Review:	

* In good standing means:

- ✓ No major findings during compliance monitoring (i.e. financial, licensure, child safety) **and**
- ✓ Are able to fully participate in Arizona Department of Education, DHS/DES licensing, Quality First programs **and**
- ✓ No adverse action is pending

Appendix B: Sample Most-in-Need Rubric

Sub-grantees can choose to use this form as an additional, supplemental tool to the required PDG FY19 Child/Family application. Families must be verified to meet income- and age-requirements to be eligible for PDG slots.

PRESCHOOL DEVELOPMENT GRANT
SELECTION CRITERIA

Child's Name: _____
Date of Birth: Date _____ Age: _____ Gender: M/ F/ Other

1) **PDG Eligibility (no points; must meet eligibility criteria to receive PDG slot):**

- 4 before September 1
- Income Eligible (200% of the FPL or below)

2) **Automatic Selection:** Enter 1 point for any eligible criteria.

- TANF/ DES enrolled
- Foster Child
- Homeless/ McKinney Vento eligible
- Child on IEP

3) **Priorities:** Enter 1 point for any eligible criteria.

- Single Parent Household
- Grandparents with Legal Custody
- Teen Parent of Child being Enrolled (age 19 or younger at time of birth)
- Parent Enrolled in School (GED, certification, Associate degree, or Bachelor degree)
- Serious Medical Problem with Doctor Certification
- Rehab Program (verified, drugs, alcohol)
- Domestic Violence
- Parent Currently Incarcerated (at time of intake)
- Department of Child Safety (DCS) Involvement
- Active Military Family
- Widowed Parent
- Any Immediate Family Member with Certified Disability
- Child Attended Program Last School Year

Total Points

Comments:

Form Completed by: _____ Date: Date _____ Time: _____

Appendix D: PDG Child/Family Application

Child's Name: _____ Date of Birth (must be 4 before Sept. 1): _____

Primary Parent/Guardian Name: _____ Street Address: _____

City, State: _____ Zip Code: _____ Telephone #: _____

Mailing Address (if different from above): _____

City, State: _____ Zip Code: _____ Email Address: _____

Child Ethnicity (Please check):

- American Indian or Alaskan Native Asian Native Hawaiian/ Other Pacific Islander
 Black or African American Hispanic/ Latino White, not Hispanic two or more races

_____ Total number of adults in the household
 _____ Total number of children in the household

Include the <i>accurate</i> total calculations of Gross Income for the most recent month for each adult in household (please fill out all sources that apply). If yearly income is \$0, attach a written statement describing the circumstances.	
Name (Parent/ Guardian #1): Select income type listed below: <input type="checkbox"/> Weekly <input type="checkbox"/> Bi-Weekly <input type="checkbox"/> Monthly <input type="checkbox"/> Yearly	Name (Parent/ Guardian #2): Select income type listed below: <input type="checkbox"/> Weekly <input type="checkbox"/> Bi-Weekly <input type="checkbox"/> Monthly <input type="checkbox"/> Yearly
_____ Wages from paid employment	_____ Wages from paid employment
_____ Child support payments	_____ Child support payments
_____ Spousal maintenance (<i>alimony</i>)	_____ Spousal maintenance (<i>alimony</i>)
_____ Government payments	_____ Government payments
_____ Unemployment payments	_____ Unemployment payments
_____ Other (<i>please describe below</i>)	_____ Other (<i>please describe below</i>)
_____ TOTAL Income Calculations	_____ TOTAL Income Calculations

2018 % Gross Yearly and Monthly Income		
Persons in Family/ Household	200% Poverty Guideline Yearly	200% Poverty Guideline Monthly
1	\$24,280	\$2,023.33
2	\$32,920	\$2,743.33
3	\$41,560	\$3,463.33
4	\$50,200	\$4,183.33
5	\$58,840	\$4,903.33
6	\$67,480	\$5,623.33
7	\$76,120	\$6,343.33
8	\$84,760	\$7,063.33
For families/households with more than 8 persons, add \$8,640 for each additional person in the "200% Poverty Guideline Yearly" column.		

Declarative Statement: I affirm that the above information is true and correct to the best of my knowledge. I understand that my personal information contained on this application will be made available to the Preschool Development Grant funding source.

Signature

Printed Name

Relationship to Child

For Completion by Provider	
_____	All items in application are completed.
_____	Family income verified
_____	Specify documents used to verify income (i.e. w-9 forms, paystubs, etc.)
_____	Child citizenship/legal residency verified
_____	Child's age verified
_____	Date
_____	Initials

Appendix E: Kindergarten Transition Plan

Additional documents available at: www.azed.gov/ece/current-initiatives/.

Helping children and their families make the transition to kindergarten involves a year-long planning process and an array of transition practices that meet the needs of the families, schools, and community.

Elements of a Kindergarten Transition Plan	
Type of Connection	Transition Activity
Child-School	<ul style="list-style-type: none"> • Preschool children visit a K classroom • Preschool children participate in a school-wide activity (assemblies) • Informal playground and popsicle nights to familiarize children with the kindergarten playground • Preschool children practice kindergarten rituals (special K stories, songs, photo books, etc.) • Preschool children attend a spring orientation about kindergarten • Preschool children visit the specific kindergarten class they anticipate attending in the next school year
Family-School	<ul style="list-style-type: none"> • Periodic contact with family to ensure that they are aware of upcoming activities • Family participation in classroom and school events • Family meetings about transition issues (concerns, questions about the K experience) • Parents of preschool children attend an orientation about kindergarten • Individual meetings are held with parents of a preschool children to discuss and share kindergarten information • Kindergarten teachers meet with the preschoolers and his/her family before the start of the school year • Kindergarten parents attend an orientation about kindergarten
School-School	<ul style="list-style-type: none"> • Kindergarten teacher visits the preschool classroom • Kindergarten and preschool teachers meet to discuss curriculum (vertical alignment of standards) • Kindergarten and preschool teachers meet to discuss and share information regarding specific children (such as children receiving special education services) • Written records of children’s preschool experiences are shared with the next years teacher • Preschool teacher visits the kindergarten classroom • Kindergarten visit the preschool classroom
Community Engagement	<ul style="list-style-type: none"> • All students entering kindergarten are screened to identify those most at risk • Kindergarten students found at risk follow the same RTI procedures as in other grades

Steps to creating a Kindergarten Transition Process:

- *Form a collaborative team* – preschool teachers, kindergarten teachers, families, principals, parents, community partners
 - This team will facilitate the kindergarten transition process by arranging team meetings, establishing priorities, developing and implementing the transition plan and activities.
- *Identify a Transition Coordinator/Designated Leader*
 - This person will provide continuity and will coordinate the transition activities.
- *Create Goals and Objectives*
- *Create a Timeline*
 - Start with activities already in place. Include activities over the entire school year – not just the end of the school year or once the children have already entered kindergarten.
- *Create a Written Policy and Procedure*
 - This will facilitate the transition process will foster continuity for children and families.
- *Implement Transition Practices*
- *Evaluate and Revise*
 - An on-going process, discover what works and what doesn’t.

APPENDIX F: Early Childhood Education Certificate and Endorsement
REQUIREMENTS FOR THE EARLY CHILDHOOD EDUCATION CERTIFICATE

Arizona Department of Education - Certification Unit

All teachers serving children birth through kindergarten must have either an early childhood education certificate or early childhood endorsement. An individual who holds the early childhood education teaching certificate or the early childhood endorsement in combination with an Arizona cross-categorical, emotional disability, learning disability, mental retardation, orthopedic / other health impairment or severely and profoundly disabled special education teaching certificate is not required to hold the early childhood special education certificate.

➤ PROVISIONAL EARLY CHILDHOOD EDUCATION, BIRTH THROUGH AGE 8 OR GRADE 3 CERTIFICATE

The Provisional certificate is valid for 3 years and is not renewable, but may be extended once for 3 years.

Requirements for the Provisional Early Childhood Education, Birth through Age 8 or through Grade 3 certificate are:

1. Completed [Application for Certification](#)
2. Appropriate fee (See *Application for Certification*)
3. A photocopy of your valid Arizona Department of Public Safety Identity Verified Prints (IVP) fingerprint card (plastic).
For more information visit the [Arizona Department of Public Safety](#) website or call (602) 223-2279.
4. A Bachelor's or more advanced degree from an accredited institution. Official transcript(s) required.
5. **Option A, B, or C:**
 - A. Completion of a teacher preparation program in early childhood education from an accredited institution or a Board-approved teacher preparation program.
 - B. Thirty seven (37) semester hours of early childhood education courses from an accredited institution to include **all** of the following areas of study **and** a minimum of **8** semester hours of practicum. Practicum must include a minimum of **4** semester hours in supervised field experience, practicum, internship or student teaching setting serving children birth through preschool **or** one year of full-time verified teaching experience birth through preschool **and** a minimum of **4** semester hours in a supervised student teaching setting serving children in kindergarten through grade 3 **or** one year of full-time verified teaching experience kindergarten through grade 3.
 - Early childhood education courses shall include **all** of the following areas of study (1) foundations of early childhood education, (2) child guidance and classroom management, (3) characteristics and quality practices for typical and atypical behaviors of young children, (4) child growth and development, including, health, safety and nutrition, (5) child, family, cultural and community relationships, (6) developmentally appropriate instructional methodologies for teaching language, math, science, social studies and the arts, (7) early language and literacy development, (8) assessing, monitoring and reporting progress of young children.
 - **One (1) year** of verified full-time teaching experience with children in birth through preschool may substitute for **4** semester hours in supervised field experience, practicum, internship or student teaching setting serving children birth through preschool. Submit a [Verification of Teaching Experience](#) form signed and completed by the District Superintendent or Program Director of a school-based education program or center-based program licensed by the Department of Health Services or regulated by tribal or military authorities to verify teaching experience.
 - **One (1) year** of verified full-time teaching experience with children in kindergarten through grade 3 in an accredited school may substitute for **4** semester hours in a supervised student teaching setting serving children in kindergarten through grade 3. Submit a [Verification of Teaching Experience](#) form signed and completed by the District Superintendent or Personnel/HR Director to verify teaching experience.
 - C. A valid early childhood education certificate from another state.
6. Professional Knowledge Early Childhood Exam. **One of the following (Option A or B):**
 - A. A passing score on the Professional Knowledge Early Childhood (#93) portion of the Arizona Educator Proficiency Assessment (AEPA).

- B. A valid Early Childhood Generalist certificate from the National Board for Professional Teaching Standards. Submit a photocopy of the certificate.
- 7. Subject Knowledge Early Childhood Education Exam. **One of the following (Option A or B):**
 - A. A passing score on the Subject Knowledge Early Childhood Education (#36) portion of the AEPA.
 - B. A valid Early Childhood Generalist certificate from the National Board for Professional Teaching Standards.

Requirements # 8 and # 9 are required within one year or three years.**

- 8. Arizona Constitution (a college course or the appropriate examination).
- 9. U.S. Constitution (a college course or the appropriate examination).

****NOTE:** If you otherwise qualify for the certificate but are deficient in Arizona and/or U.S. Constitution you have **three years** under a valid teaching certificate to fulfill the requirement, except that if you are teaching an academic course on History, Government, Social Studies, Citizenship, Law, or Civics, you have **one year** to fulfill the requirement(s).

➤ STANDARD EARLY CHILDHOOD EDUCATION, BIRTH THROUGH AGE 8 OR THROUGH GRADE 3 CERTIFICATE

The Standard certificate is valid for 6 years or 8 years and may be renewed.

Requirements for the Standard Early Childhood Education, Birth through Age 8 or through Grade 3 certificate are:

- 1. **One** of the following (Option A, B, or C)
 - A. Qualify for and hold the Provisional Early Childhood Certificate for two (2) years **and** complete two years of fulltime teaching during the valid term of the Provisional Early Childhood certificate. Submit an Application for Conversion signed by the District Superintendent or Personnel Director verifying two years of full-time teaching experience during the valid period of the Provisional certificate being converted.
 - B. Meet all requirements for the Provisional Early Childhood certificate **and** hold a National Board for Professional Teaching Standards Middle Childhood Generalist certificate.
 - C. Hold a valid Early Childhood certificate from another state that included a requirement to pass that state's certification exams in order to be certificated in that state if required at the time of certification, and is in good standing with that other state.
- 2. A photocopy of your valid Arizona Department of Public Safety Identity Verified Prints (**IVP**) fingerprint card (plastic). For more information visit the [Arizona Department of Public Safety](http://www.azdps.gov) website or call (602) 223-2279.

**** REQUIREMENTS MAY BE SUBJECT TO CHANGE AND ARE FULLY REFERENCED IN THE ARIZONA REVISED STATUTES AND ADMINISTRATIVE CODE. ****

Revised 9-30-2016

<http://www.azed.gov/educator-certification/>

REQUIREMENTS FOR THE EARLY CHILDHOOD SPECIAL EDUCATION CERTIFICATE

Arizona Department of Education - Certification Unit

An individual who holds the Early Childhood teaching certificate or the Early Childhood endorsement in combination with an Arizona Mild-Moderate Disabilities, Emotional Disability, Learning Disability, Intellectual Disability, Orthopedic / Other Health Impairment or Severely and Profoundly Disabled Special Education teaching certificate is not required to hold the Early Childhood Special Education certificate.

➤ **PROVISIONAL EARLY CHILDHOOD SPECIAL EDUCATION, BIRTH – AGE 8 OR GRADE 3 CERTIFICATE**

The Provisional certificate is valid for 3 years and is not renewable, but may be extended once for 3 years.

Effective January 1, 2016, requirements for the Provisional Early Childhood Special Education certificate are:

1. Completed [Application for Certification](#)
2. Appropriate Fee (See *Application for Certification*)
3. A photocopy of your valid Arizona Department of Public Safety Identity Verified Prints (IVP) fingerprint card (plastic). For more information visit the [Arizona Department of Public Safety](#) website or call (602) 223-2279.
4. A Bachelor's or more advanced degree from an accredited institution. Official transcript(s) required.
5. One of the following (Option A, B, or C):
 - a. Completion of a teacher preparation program in early childhood special education from an accredited institution or a teacher preparation program approved by the Board.
 - b. Thirty-seven (37) semester hours of early childhood which teach the standards described in R7-2-602, to include all of the following areas of study:
 - i. (1) Foundations of early childhood education and special education; (2) Behavioral interventions for children with and without disabilities; (3) Characteristics and quality practices for typical and atypical behaviors of young children; (4) Typical and atypical child growth and development, including health, safety and nutrition with an emphasis on special health care needs for children birth through age 8 or grade 3; (5) Child, family, cultural and community relationships including community organizations that support and assist children with disabilities and their families; (6) Developmentally appropriate instructional and inclusive methodologies for teaching social and emotional development, language arts, math, science, social studies, the arts and diagnosis and remediation of learning difficulties; (7) Early language and literacy development including communication methods in early childhood education/special education; (8) Assessment and evaluation for early childhood special education to include observing, assessing, monitoring and reporting on the progress of young children;
AND
 - ii. A minimum of eight semester hours of practicum, including:
 1. A minimum of four semester hours in a supervised field experience, practicum, internship or student teaching setting serving children with identified special needs birth through preschool or one year of full-time teaching experience with children identified with special needs birth through preschool. Submit a [Verification of Teaching Experience](#) form signed and completed by the District Superintendent or Personnel/HR Director to verify teaching experience; **AND**
 2. A minimum of four semester hours in a supervised student teaching setting serving children with identified special needs in kindergarten through grade 3 or one year of full time teaching experience with children identified with special needs kindergarten through grade 3. Submit a [Verification of Teaching Experience](#) form signed and completed by the District Superintendent or Personnel/HR Director to verify teaching experience
 - c. A valid Early Childhood Special Education certificate from another state.
6. Professional Knowledge Early Childhood Exam. **One of the following:**
 - A. A passing score on the Professional Knowledge Early Childhood (93) portion of the Arizona Educator Proficiency Assessment ([AEPA Website](#)).
 - B. A valid comparable certificate from the National Board for Professional Teaching Standards. Submit a photocopy of the certificate.
7. Subject Knowledge Early Childhood Special Education Exam. **One of the following:**

- A. A passing score on the Subject Knowledge Early Childhood Special Education (83) portion of the Arizona Educator Proficiency Assessment ([AEPA Website](#)).
- B. A valid comparable certificate from the National Board for Professional Teaching Standards. Submit a notarized copy of the certificate.
- C. Master's degree from an accredited institution in Early Childhood Special Education.

Requirements # 8 and # 9 are required within one year or three years.**

- 8. Arizona Constitution (a college course or the appropriate examination).
- 9. U.S. Constitution (a college course or the appropriate examination).

****NOTE:** If you otherwise qualify for the certificate but are deficient in Arizona and/or U.S. Constitution you have **three years** under a valid teaching certificate to fulfill the requirement, except that if you are teaching an academic course on History, Government, Social Studies, Citizenship, Law, or Civics, you have **one year** to fulfill the requirement(s).

➤ STANDARD EARLY CHILDHOOD SPECIAL EDUCATION, BIRTH – AGE 8 OR GRADE 3 CERTIFICATE

The Standard certificate is valid for 6 years and may be renewed.

Requirements for the Standard Early Childhood Special Education certificate are:

- 1. Qualify and hold the Provisional Early Childhood Special Education certificate for **2 years**.
- 2. **Two years** of verified full-time teaching experience during the valid period of the Provisional certificate may be used to **convert** the Provisional certificate to a Standard certificate. Submit a conversion form signed by the District Superintendent or Personnel Director verifying **2 years** of full-time teaching experience during the valid period of the Provisional certificate being converted.
- 3. A photocopy of your valid Arizona Department of Public Safety Identity Verified Prints (**IVP**) fingerprint card (plastic). For more information visit the [Arizona Department of Public Safety](#) website or call (602) 223-2279.
- 4. Complete the Arizona and United States constitution requirements within the allowable timeframe.**

****NOTE:** If you otherwise qualify for the certificate but are deficient in Arizona and/or U.S. Constitution you have **three years** under a valid teaching certificate to fulfill the requirement, except that if you are teaching an academic course on History, Government, Social Studies, Citizenship, Law, or Civics, you have **one year** to fulfill the requirement(s).

**** REQUIREMENTS MAY BE SUBJECT TO CHANGE AND ARE FULLY REFERENCED IN THE ARIZONA REVISED STATUTES AND ADMINISTRATIVE CODE. ****

Revised 2-6-2017

<http://www.azed.gov/educator-certification/>

APPENDIX G: Education Attainment Plan

Preschool Development Grant Instructional Staff Education Attainment Plan

The goal of this plan is to increase the quality of programming through the attainment of certification by the end of the grant period. This plan will ensure that staff that is not currently certified will continue with the necessary/required steps to attain the Early Childhood teacher certification/endorsement. In order to obtain approval a *Curriculum Check Sheet* issued by an Institute of Higher Education must be submitted with the plan. This *Education Attainment Plan* must be updated and submitted by PDG programs to ADE/ECE for approval annually. Available at: <https://cms.azed.gov/home/GetDocumentFile?id=5952e1473217e108207241a1>.

Name of Staff:
Email Address:

Program Name:
Phone Number:

Current Education:

Current Educational Attainment:

Do you have a current Teacher Certification issued by ADE? Yes No

List certification type: Choose an item.

Comment:

Education Attainment Plan:

If no to the above question, which ADE-issued Teacher Certification are you working towards?

List certification type: Choose an item.

Comment:

What degree are you working towards (e.g., CDA, AAS, BAS)?

At what college/university?

What is the anticipated date of completion for degree/certification?

List out your planned college coursework (if applicable):

Course Number & Topic:	Semester & Year:	Notes:

*Attach another completed form for more planned college coursework space.

Applicant Signature

Date

Director/Supervisor Signature

Date

Director/Administrator, please verify below: Verified: Follow-up (if necessary):

Evidence:

Comments:

Appendix H: General PDG FY19 Due Dates

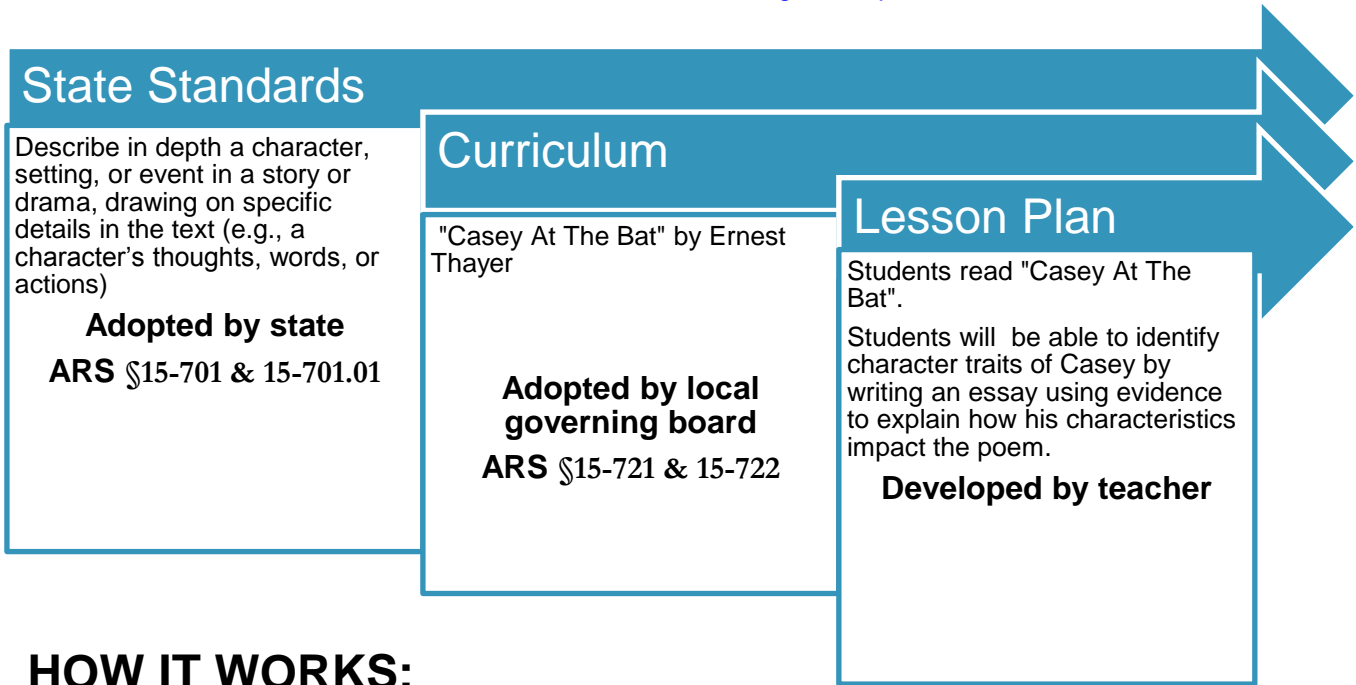


- **March 1, 2018:** PDG FY19 grant applications open electronically at gme.azed.gov. For more information, refer to the “[Grant Submission](#)” section of the Guidance Manual.
- **March 9, 2018:** All proposals will receive notification of award or non-award of PDG. For more information, refer to the “[Proposals](#)” section of the Guidance Manual.
- **June 30, 2018:** The PDG grant application must be ADE ECE Director level approved.
- **July 1, 2018 – June 30, 2019:** PDG fiscal year 2019.
- **August 30, 2018:** Sub-grantee will be fully operational. Fully operational is defined as having the specified number of children, based on allocation, enrolled and participating in the identified program activities. Any unfilled slots funding will be returned to ADE ECE. Reallocations of funding, reductions, or additional slots may be awarded at this time.
- **August-September 2018:** ADE ECE will conduct Age and Income Eligibility Verification visits to verify the age and income of enrolled PDG slots.
- **October 15, 2018:** Scope of work reports due into ALEAT: <https://www.ade.az.gov/CommonLogon/logon.aspx>. The templates for these documents are available at: www.azed.gov/ece/current-initiatives.
 - (1) Child Find Analysis;
 - (2) Comprehensive PD Plan;
 - (3) Family Engagement Needs Assessment;
 - (4) [Family Engagement Assessment Action Plan](#);
 - (5) [Kindergarten Transition Plan](#);
 - (6) [Individual Professional Development Growth Plans](#).
- **October 30, 2018:** All classroom materials, supplies, technology, and furniture will be obligated. The intent is for materials, supplies, and furniture to be available and effectively utilized in the PDG program during the fiscal year.
- **November 1, 2018-January 29, 2019:** ADE ECE will conduct fiscal and programmatic monitoring.
- The **15th of every month** for the previous month’s PDG data: “Monthly Absenteeism, Suspension, and Expulsion” report due via electronic survey link: <http://www10.ade.az.gov/SelectSurveyNET/TakeSurvey.aspx?SurveyID=n2M0m66K>.
- **By August 15, 2019:** Completion reports will be completed and submitted by sub-grantee through GME (45 days from the end of the fiscal year).

ADE ECE may include additional due dates as applicable and will inform sub-grantees of any changes. Sub-grantees are responsible for knowing and understanding the requirements for PDG and for planning to complete the required PDG implementation activities by the defined due date.

APPENDIX I: The Difference between Standards and Curriculum

For more information: www.azed.gov/ece/preschool



HOW IT WORKS:

STANDARDS

WHAT a child needs to know and do in each grade

Adopted by the **Arizona State Board of Education** in public meetings

EXAMPLE
From Arizona's 4th grade reading standards: "Describe in depth a character, setting, or event in a story or drama, drawing on specific details in the text (e.g., a character's thoughts, words, or actions). (4.RL.3)"

CURRICULUM

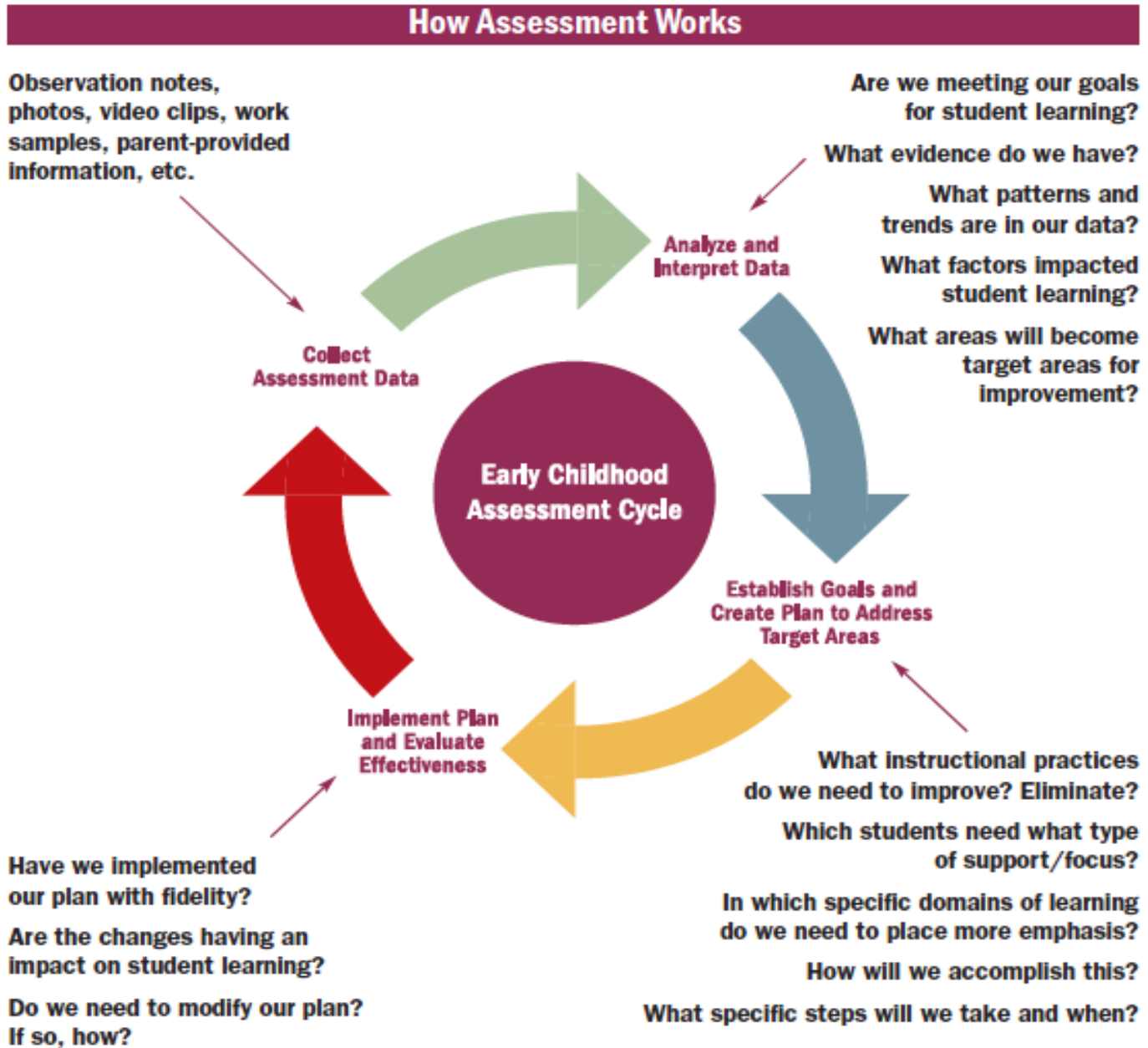
HOW the child is taught, including teaching materials

Adopted by **local district governing boards** in public meetings

EXAMPLES
-Scope and Sequence
-Curriculum Map
-District Adopted Resources
-Teacher-designed projects or worksheets

Appendix J: How Assessment Works

For additional guidance, refer to *The Assessment Continuum Guide for Pre-K through Third Grade in Arizona*: <https://cms.azed.gov/home/GetDocumentFile?id=58efcb706f53b721f8089716> or the ADE ECE website: www.azed.gov/ece/early-childhood-assessment.



Appendix K: State PHLOTE

Available on the ADE OELAS Website: www.azed.gov/oelas/forms.



State of Arizona
Department of Education
Office of English Language Acquisition Services

**Primary Home Language Other Than English (PHLOTE)
Home Language Survey
(Effective April 4, 2011)**

These questions are in compliance with Arizona Administrative Code, R7-2-306(B)(1), (2) (a-c).

Responses to these statements will be used to determine whether the student will be assessed for English Language Proficiency.

1. What is the primary language used in the home regardless of the language spoken by the student? _____
2. What is the language most often spoken by the student? _____
3. What is the language that the student first acquired? _____

Student Name _____ Student ID _____

Date of Birth _____ SAIS ID _____

Parent/Guardian Signature _____ Date _____

District or Charter _____

School _____

Please provide a copy of the Home Language Survey to the ELL Coordinator/Main Contact on site.
In SAIS, please indicate the student's home or primary language.

Appendix L: Sample PDG Monitoring Tool

Arizona Department of Education (ADE), Early Childhood Education (ECE) Unit
 Preschool Development Grant (PDG)
 ON-SITE REVIEW

Date of Visit: Date

Date of Follow-Up (if applicable): Date

Sub-Grantee:

Sub-Grantee Local HNC or District:

Number of allocated PDG slots (based on current award or proposal):

Number of current children enrolled:

Program Contact(s) and Email/Phone #	ADE Contact(s) and Email/Phone #

Notes:

Items for Follow-Up:

Evidence should be observed, indicated, and collected to support the component findings. Some of the PDG components can be reviewed and marked or noted before the ADE/ECE monitoring visit.

PDG On-Site Review: ADE ECE Monitoring for Early Childhood Quality & Compliance	
PDG COMPONENT	Evidence and Notes
Yes = In compliance No = Out of Compliance (will be added to an Action Plan and technical assistance will be provided as applicable)	
Licensing	
1. All PDG sites are licensed and in good standing with an applicable licensing agency. DHS/applicable licensing agency certificates are current, valid, and posted. Yes <input type="checkbox"/> No <input type="checkbox"/> Are any sites currently or within the last 12 months in licensing enforcement action? Yes <input type="checkbox"/> No <input type="checkbox"/> If "Yes", list the sites and enforcement actions:	Confirm the licensing certificate for each site and review <u>"in good standing"</u> with licensing agency. <i>Sub-grantee must maintain current licenses and "in good standing" status for all PDG sites.</i> Evidence- Licensing certificate(s): <input type="checkbox"/> Site: License Number: Site: License Number: Site: License Number: Site: License Number: Site: License Number: Site: License Number: Site: License Number: Site: License Number: Site: License Number: Notes:
HNC ECQUIP/Community of Practice (specific to district/charter programs)	
2. ECQUIP Rubric is completed with evidence collected and a standard for improvement has been selected. Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	Confirm in the district/HNC ECQUIP Rubric for participation if the sub-grantee is not a district/charter. Evidence- ECQUIP Self-Assessment Rubric: <input type="checkbox"/> Evidence (Other): Notes:

<p>3. ECQUIP Quality Enhancement Plan has been submitted on ALEAT.</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p>	<p>Evidence- ECQUIP Quality Enhancement Plan: <input type="checkbox"/></p> <p>Evidence (Other):</p> <p>Date submitted into ALEAT: Date</p> <p>Date reviewed/accepted by ADE: Date</p> <p>Notes:</p>
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HNC ECQUIP/Community of Practice (for all sub-grantees)

<p>4. Sub-grantee participates in the local school district’s ECQUIP self-evaluation process and attends meetings regularly (in person or electronically/telephonically).</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>	<p>Evidence- ECQUIP Meeting agenda(s), sign-in sheets: <input type="checkbox"/></p> <p>Evidence (Other):</p> <p>Notes:</p>
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<p>5. Sub-grantee has in place and is following the HNC written protocol in place to determine “most in need” children/families.</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>	<p>Evidence- Written protocol for “most in need”: <input type="checkbox"/></p> <p>Notes:</p>
--	--

<p>6. Sub-grantee has in place and is following the HNC written protocol to share “wait list” for children/families.</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>	<p>Evidence- Written protocol for “waitlist”: <input type="checkbox"/></p> <p>How will the program share wait list information with other local HNC programs?</p> <p>Notes:</p>
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<p>7. Sub-grantee participates in and offers the comprehensive services (LRE, Child Find, Family Engagement and other support services) that were identified by the HNC.</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>	<p>Evidence:</p> <p>What comprehensive services does the program provide?</p> <p>Notes:</p>
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<p>8. Sub-grantee has completed and submitted the appropriate PDG Scope of Work documents into ALEAT by the defined ADE ECE due date.</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>	<p><i>Confirm PDG Scope of Work documents in ALEAT.</i></p> <p>Evidence- Kindergarten Transition Plan: <input type="checkbox"/></p> <p>Date submitted into ALEAT: Date</p> <p>Date reviewed/accepted by ADE ECE: Date</p> <p>Evidence- Child Find Analysis: <input type="checkbox"/></p> <p>Date submitted into ALEAT: Date</p> <p>Date reviewed/accepted by ADE ECE: Date</p> <p>Evidence- Comprehensive PD Plan: <input type="checkbox"/></p> <p>Date submitted into ALEAT: Date</p> <p>Date reviewed/accepted by ADE ECE: Date</p> <p>Evidence- Individual PD Plans: <input type="checkbox"/></p> <p>Date submitted into ALEAT: Date</p> <p>Date reviewed/accepted by ADE ECE: Date</p> <p>Evidence- Family Engagement Self-Assessment: <input type="checkbox"/></p> <p>Date submitted into ALEAT: Date</p>
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	<p>Date reviewed/accepted by ADE ECE: Date</p> <p>Evidence- Family Engagement Action Plan: <input type="checkbox"/></p> <p>Date submitted into ALEAT: Date</p> <p>Date reviewed/accepted by ADE ECE: Date</p> <p>Notes:</p>
Child and Family Eligibility (see Age and Income Verification Visit results)	
<p>9. Sub-grantee ensures all children participating in the PDG program are income eligible.</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>How many files were reviewed on-site?</p> <p>% of files in compliance</p>	<p><i>Confirm all awarded slots for income eligibility including any slots filled since the age and income verification visit. Ensure that families are not charged additional fees during the PDG hours of operation. Follow up within 10 business days if % of files in compliance is not 100%.</i></p> <p>Evidence- PDG Child/Family Application: <input type="checkbox"/></p> <p>Evidence(Other):</p> <p>Notes:</p>
<p>10. Sub-grantee ensures that all children participating in the PDG program are 4 to 5 years of age and were 4 before September 1 of the current school year.</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>How many files were reviewed on-site?</p> <p>% of files in compliance</p>	<p><i>Confirm all enrollment records for age eligibility including any slots filled since the age and income verification visit. Follow up within 10 business days if % of files in compliance is not 100%.</i></p> <p>Evidence:</p> <p>Notes:</p>
Early Childhood Assessment System	
<p>11. A comprehensive written Early Childhood Assessment System is being implemented.</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>	<p>Evidence- Written protocol including 45 Day Screener, Evaluation, ongoing progress monitoring, protocol for data use, etc.: <input type="checkbox"/></p> <p>Notes:</p>
<p>12. Sub-grantee conducts a developmental screening on <u>all</u> children.</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>How many files were reviewed on-site?</p> <p>% of files in compliance</p>	<p><i>Confirm all PDG enrollment records, and request evidence that screening is conducted at most within the first 45 days of the child's attendance in the program. Follow up within 15 days if % of files in compliance is not 100%.</i></p> <p>Evidence:</p> <p>Notes:</p>
<p>13. Teaching Strategies GOLD (TSG) data has been recorded to demonstrate ongoing progress of children and has been completed on <u>all</u> eligible participants.</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>How many portfolios were reviewed?</p>	<p><i>Review at least 10% of eligible portfolios/TSG data using "Child Observations and Portfolio Rubric" for the most recently completed Checkpoint, which can be reviewed prior to on-site visit.</i></p> <p>Evidence- Child Observations and Portfolio Rubric: <input type="checkbox"/></p> <p>Evidence (Other):</p> <p>Date Reviewed by ADE: Date</p> <p>Notes:</p>
<p>14. <u>All</u> eligible children have a valid AzEDS ID number in TSG.</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>	<p><i>Verify that all children are assigned an AzEDS ID number in the online assessment tool. AzEDS numbers are randomly generated and are 8-9 numbers in length.</i></p> <p>Evidence:</p> <p>Notes:</p>
Teaching and Instructional Staff	

<p>15. Instructional staff is highly qualified or have an educational attainment plan in place. (Educational attainment plans should be sent to ADE ECE Specialist within 60 days of the start of the fiscal year.)</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>	<p><i>Verify degree/certification and/or educational attainment plans of PDG instructional staff.</i></p> <p>Evidence: Staff name and educational attainment level: Notes:</p>
<p>16. Certified instructional staff salaries are comparable to the salaries of the local district K-12 instructional staff.</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>	<p><i>Cross check the local district's comparable certified salary schedule with the program's grant application in GME.</i></p> <p>Evidence- District certified salary schedule: <input type="checkbox"/></p> <p>Evidence (Other): Notes:</p>
<p>17. Instructional staff are registered in the Arizona Early Childhood Workforce Registry.</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>	<p>Evidence- Print-out of Registry participant list: <input type="checkbox"/></p> <p>Evidence (Other): Notes:</p>
<p>18. Instructional staff are given sufficient preparation or planning time to complete lesson planning, GOLD entry, planning time with classroom instructional staff team, etc.</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>	<p><i>Interview instructional staff and administrative staff as necessary to ensure sufficiency of prep/planning time. Prep/planning time should be outside of the "instructional hours" during which children are in the PDG classroom.</i></p> <p>Evidence- Instructional staff schedules, staff sign-in sheets: <input type="checkbox"/></p> <p>Evidence (Other): Notes:</p>
<p>Continuous Quality Improvement</p>	
<p>19. All PDG sites are enrolled in Quality First and are participating in the comprehensive Quality First services as identified by the HNC.</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>	<p>Evidence: What is the sub-grantee's current star rating? Site: <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/> 5 <input type="checkbox"/> Pending <input type="checkbox"/> Not Yet Assessed What is the program's previous star rating, if applicable? <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/> 5 <input type="checkbox"/> N/A Additional Sites and Star Ratings: Notes:</p>
<p>Curriculum, Instruction, and Learning Environments</p>	
<p>20. Sub-grantee has an evidence-based curriculum based on early learning standards, thoughtful planning, and design.</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>	<p><i>Refer to "Preschool Curriculum": www.azed.gov/ece/preschool.</i></p> <p>What curriculum is the program using? Evidence: Notes:</p>
<p>21. Sub-grantee ensures developmentally appropriate, culturally, and linguistically responsive instruction.</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>	<p><i>Conduct a brief classroom observation of at least 10% of the sub-grantee's classrooms with PDG slots. Refer to Standard 4 of the PGHQ: www.azed.gov/ece/resources.</i></p> <p>Evidence: Notes:</p>
<p>22. Sub-grantee adheres consistently to the ratios of 1 adult to 10 children and no more than 20 children in the classroom (regardless of size of room and/or number of teachers).</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>	<p><i>Conduct a brief classroom observation of at least 10% of the sub-grantee's PDG funded classrooms and cross-check the number of children attending the program with the award letter.</i></p> <p>What is the ratio of children to instructional staff? Evidence: Notes:</p>

<p>23. Sub-grantee ensures they are providing full-day services.</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>	<p><i>Confirm that the classroom schedule reflects a 6-hour day and ask: How many hours per day are children in the PDG classroom? Children must be in the PDG classroom for at least 6 hours.</i></p> <p>Evidence: Notes:</p>
<p>24. Sub-grantee is enrolled in the Empower Program and has written policies to address each of the 10 standards as a statement of intent or commitment to implement the evidence-based health and safety standards.</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>	<p>Evidence- Staff/program handbook: <input type="checkbox"/></p> <p>Evidence (Other): Notes:</p>
<p>25. Sub-grantee is implementing strategies to provide support so all children have access and fully participate in the learning (i.e., Arizona’s MTSS).</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>	<p><i>Interview instructional staff and administrative staff as necessary to ensure the implementation of strategies to support all children to have access and participate in learning.</i></p> <p>Evidence- Lesson plans with notes regarding individualized instruction: <input type="checkbox"/></p> <p>Evidence (Other): Notes:</p>
<p>Inclusion of Children with Special Needs</p>	
<p>26. Sub-grantee participates in the local school district’s Child Find including referring children, providing resources and information to families, and collaborating with local partners.</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>	<p><i>Request evidence that supports all components of the Child Find requirements. Sub-grantees that are not districts/charters should collaborate with the local school district around marketing, making referrals, and sharing resources related to Child Find.</i></p> <p>Evidence: Notes:</p>
<p>27. Notification provided to parents regarding their placement options for child enrollment in the least restrictive environment (LRE).</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>	<p><i>Request evidence such as a policy or procedure that indicates the continuum of placement options within the program and within the larger HNC/district. Refer to LRE in “PDG Guidance Manual”.</i></p> <p>Evidence: Notes:</p>
<p>28. Sub-grantee participates in the HNC’s system-building to improve outcomes for children with special needs to ensure that each classroom is serving at least 10% (or 1 child for every 10 in each PDG classroom) children with special needs.</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>	<p>How many children with special needs are currently attending the PDG program?</p> <p>Evidence- Written protocol for inclusion: <input type="checkbox"/></p> <p>Evidence (Other): Notes:</p>
<p>Fiscal</p>	
<p>29. Sub-grantee is enrolled in the Grant’s Management System (GME) and has submitted the current grant application by the defined ADE deadline.</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>	<p>Evidence: Date submitted into GME: Date Date reviewed/accepted by ADE: Date Notes:</p>
<p>30. Original and legible records are kept for all goods and services purchased with grant funds.</p>	<p><i>Confirm records such as purchase orders and seek evidence of equipment in classroom(s) with PDG slots.</i></p> <p>Evidence:</p>

Yes <input type="checkbox"/> No <input type="checkbox"/>	Notes:
31. A record of employee time and effort is maintained. Yes <input type="checkbox"/> No <input type="checkbox"/>	Evidence: Notes:
32. Administrative costs are at the allowable rate or lower. Yes <input type="checkbox"/> No <input type="checkbox"/>	<i>Confirm that the administrative costs do not exceed the allowable rate in GME. For more information, see definition of administrative costs in the "PDG Guidance Manual".</i> What is the program's total award amount? What is the amount of the allowable administrative costs? What is the program's total administrative cost in GME? Evidence: Notes:
33. Sub-grantee ensures match funds at a minimum of 25% of the total cost of services. Yes <input type="checkbox"/> No <input type="checkbox"/>	<i>For more information, review matching funds section in the "PDG Guidance Manual".</i> Evidence: Notes:
Attendance	
34. Sub-grantee has a written attendance and an absentee policy in the parent handbook. Yes <input type="checkbox"/> No <input type="checkbox"/>	Evidence- Written attendance and absentee policy: <input type="checkbox"/> Evidence (Other): Notes:
35. Sub-grantee maintains records of attendance of children in PDG classroom(s). Yes <input type="checkbox"/> No <input type="checkbox"/>	How does the sub-grantee record attendance? Evidence: Notes:
36. Sub-grantee has a written suspension/expulsion policy for children in the PDG classroom(s). Yes <input type="checkbox"/> No <input type="checkbox"/>	Evidence- Written suspension or expulsion policy: <input type="checkbox"/> Evidence (Other): Notes:
37. Sub-grantee has consistently documented monthly attendance/ suspension in the online survey by the 15 th of the month for the previous month's data. Yes <input type="checkbox"/> No <input type="checkbox"/>	Evidence: Notes:
38. Have any children funded by PDG been suspended or expelled within the current fiscal year? Yes <input type="checkbox"/> No <input type="checkbox"/>	<i>If "Yes", add item to action plan and provide technical assistance. Request reasons for and documentation of any expulsions.</i> Evidence: Notes:

Completing the Monitoring Process:

If any of the components are marked as "NO" (besides number #38), review action steps and timeline with the sub-grantee and create a "PDG Monitoring Action Plan" to ensure compliance with all components by the defined ADE/ECE deadline.

All PDG Monitoring & Compliance Review documents, including any collected copies of evidence, should be included and stored in the program's ADE electronic file and a copy of the results saved as a PDF should be sent to the sub-grantee via email.

Appendix M: Individual Professional Development Growth Plan

Available on the ADE ECE Website: www.azed.gov/ece/current-initiatives.

Individual Staff Professional Development Growth Plan

Name:

Date:

Program/Site:

Classroom:

What Is My Current Status?

What are my strengths?

Strengths

1.

2.

What are my areas of need?

Areas of Need

1.

2.

What is the common feedback (positive and negative) that I received from others?

Feedback

1.

2.

What Is My Desired Goal(s)?

What is my goal(s)?

Goal(s)

1.

2.

3.

Why do I want to achieve this? What does it give me?

Why do I want it?

1.

2.

3.

How Do I Get There? What Is It Needed?

What must I improve/learn /experience to achieve the desired goal(s)?

1.

2.

3.

What are the possible resources to achieve the goal(s)?

Resources

1.

2.

3.

Appendix N: Comprehensive Professional Development Plan

Available on the ADE ECE Website: www.azed.gov/ece/current-initiatives.

Arizona Department of Education, Early Childhood Education Unit
Comprehensive Professional Development Plan FY19



Professional Development Planning (Based on Individual Staff PD Growth Plans)	What is the Proposed Action, and who is responsible?	What is the professional development Anticipated Outcome?	What is the Timeline (e.g., dates)?	How will Success be Measured (e.g., evidence in TSG, evaluations from staff)?
Child Development (Early Learning Standards, Teacher/Child interactions)				
Observe and Assess (Ongoing Progress Monitoring, Teaching Strategies GOLD, Inter-rater reliability, reflective practices)				
Safe and Healthy Environments (Empower Program, Physical Development Health and Safety module)				
Developmentally Appropriate Curriculum (Early Learning Standards, Language Essentials for Teachers of Readings and Spelling)				
Developmentally Appropriate, Culturally and Linguistically Responsive Practices				
Guidance and Group Management (Social Emotional, Behavioral Management, Classroom Management, Licensing)				
Relationships with Families (Family Engagement, Parent/Teacher Interactions, Collaboration with Parents, Kindergarten Transition)				
Family, Culture, and Society (Social Studies, Social Emotional)				
Professionalism (Ethics, Communication, Dress code)				
Other Areas for quality improvement through professional learning				

Additional Notes: Click or tap here to enter text.

Appendix O: Guidelines for Preparing Indirect Cost Proposals

Indirect Cost Rate Proposals require supporting schedules and documentation. The following steps are suggested in preparing an indirect cost rate proposal. In beginning the process of calculating an indirect cost rate, the program should consider and review the following:

- Organizational structure
- Level of federal funding
- Requirements of OMB Circular A-87 and EDGAR
- Reports generated from the accounting system
- Cost policies related to direct and indirect cost charging
- Availability of data on square footage, number of transactions, number of employees, etc.
- Additional effort and cost required to achieve a certain degree of accuracy
- Need for a restricted indirect cost rate (see Section IV)

Determination of Indirect Cost Rates:

The two basic methods for calculating indirect cost rates include the Simplified and the Multiple Allocation Base Methods. OMB Circular A-87 stresses the need for federal agencies to work with state agencies on: (1) streamlining accounting processes; (2) reducing the burden of maintaining systems for charging administrative costs to federal programs; and (3) simplifying the preparation and approval of cost allocation plans. Organizations are encouraged to use the simplified method whenever possible and to avoid exceeding the complexity of the multiple allocation base method.

In order to prepare an indirect cost rate proposal, total costs, regardless of funding source, must be classified into one of the following categories: direct, indirect, excluded or unallowable. The following detailed steps will guide preparation of the proposal.

Detailed Steps:

- 1. Determine Total Expenditures:** Information from the sub-grantee's accounting system should be used to determine total expenditures.
- 2. Identify Unallowable and Excluded Costs:** Before calculating an indirect cost rate, the organization should review OMB Circular A-87 to determine which costs are unallowable or to be excluded from the indirect cost pool and/or distribution base. OMB Circular A-87 requires all activities which benefit from the governmental unit's indirect costs, including unallowable activities and donated services, to receive an appropriate allocation of indirect costs. All direct costs that are supported by indirect activities, including unallowable costs (e.g., fund raising and lobbying) and the value of donated services will be included in the base when calculating indirect cost rates. Examples of excluded costs are equipment and sub awards. Unallowable costs include debt service, fines and penalties, contingencies, and election expenses. The indirect cost rate calculation and application should remove all unallowable costs.
- 3. Determine Direct Costs:** Direct costs are those that can be identified specifically with a particular cost objective. The direct costs of a federal award can be specifically identified to the program and may be charged directly to the program. Examples of direct costs that may be charged to a federal program include the following:
 - a. Compensation of the employees who works on the program;
 - b. Supplies and materials used for the program;
 - c. Equipment purchased and used for the program; and
 - d. Travel expenses incurred specifically to carry out the program.

4. **Determine Indirect Costs:** OMB Circular A-87 defines indirect costs as those that are incurred for a common or joint purpose benefiting more than one cost objective. In addition, indirect costs cannot be readily identified as benefiting a particular cost objective. Examples of indirect costs include the salaries and expenses for the following:

- a. Data Processing
- b. Accounting
- c. Personnel
- d. Purchasing

Indirect costs are normally charged to federal programs through the indirect cost rate. Grantees must be consistent in treating costs as direct or indirect under federal awards. Once a cost is treated as direct or indirect, it should be treated that way for all projects and activities, regardless of the source of funding.

5. **Reconcile Proposal to Financial Statements/Expenditure Reports:** Reconcile amounts in the indirect cost rate proposal to the audited financial statements or final expenditure reports. The organization is expected to provide support or explanation for any material variances.

6. **Select the Distribution Base:** The direct cost base (distribution base) selected should be the one best suited for assigning indirect costs to all cost objectives in accordance with the relative benefits received. The distribution bases commonly used are listed below. A restricted rate must be calculated using a modified total direct cost base. Organizations preferring to apply the indirect cost rate to a salaries and wages base, may use a conversion calculation. The conversion calculation allows a restricted indirect cost rate to be based on and applied to salaries and wages. Commonly used distribution bases include the following:

- a. Direct salaries and wages including applicable fringe benefits
- b. Direct salaries and wages excluding fringe benefits
- c. Total direct costs excluding distorting items such as equipment purchases, alterations/renovation, or any other cost which may distort the distribution of indirect costs to benefiting activities. This base is referred to as a modified total direct costs (MTDC) base.

7. **Computation of Indirect Cost Rate:** Using the results of Steps 1 - 6 above, compute the appropriate indirect cost rate.

8. **Complete Indirect Cost Rate Proposal Documentation Checklist:** The following information is required to be submitted, on an annual basis, with the indirect cost rate proposal:

- a. Indirect cost rate calculation detailing total direct and indirect expenses by function and cost category, subsidiary worksheets and carry-forward calculations.
- b. Reconciliation of indirect cost rate proposal to audited financial statements, expenditure reports or approved budgets.
- c. The amount of direct costs incurred on federal awards. The costs should be detailed reflecting salaries, wages, fringe benefits and other direct costs.
- d. A schedule of fringe benefits and payroll taxes by type and amount with an explanation of the allocation to benefiting activities.
- e. Certificate of Indirect Costs signed on behalf of the state or local government agency/department by an agency official at the Chief Financial Officer level or above.
- f. Cost Policy Statement that provides background information and identifies cost charging policies and practices.

- g. Organization chart showing the structure of the agency during the proposal period.
 - h. Capitalization policy, along with equipment use allowance or depreciation schedules.
 - i. Financial data (audited financial statements, formal budgets, accounting reports, etc.) upon which the rate is based. Adjustments resulting from the use of unaudited data will be recognized, where appropriate, in a subsequent proposal.
 - j. Approved Statewide Cost Allocation Plan schedule, if state central service costs are included in the indirect cost rate proposal.
 - k. A listing of grants and contracts identified by Catalog of Federal Domestic Assistance (CFDA) number, and by federal agency, total dollar amount, and the period of performance. If applicable, any indirect cost limitations, such as restricted or ceiling rates or amounts restricted by administrative or statutory regulations, should be identified for each grant or contract.
 - l. Details on any significant accounting changes that are planned and may impact the proposed rate.
 - m. Schedule of unused leave payments to separating employees.
 - n. Schedule showing the details of adjustments to the unrestricted rate in order to calculate the restricted rate.
9. **Submission of Indirect Cost Rate Proposals:** An indirect cost rate proposal, with supporting documentation, must be developed (and when required) submitted on an annual basis to the Arizona Department of Education. The proposal should be submitted no later than six months after the close of the governmental unit's fiscal year, unless an exception is approved by ADE. One hard copy of the indirect cost rate proposal should be submitted to the following address: **Arizona Department of Education**, ATTN: Indirect Cost Proposals, 1535 W. Jefferson St., Bin #3, Phoenix, AZ 85007.

Appendix P: Guidance for Reimbursement

Available in the "Grants Management Resource Library" section of GME: gme.azed.gov.

EARLY CHILDHOOD EDUCATION GUIDANCE FOR REIMBURSEMENT OF FEDERAL AND OTHER GRANT EXPENDITURES

OVERVIEW

Cash Management Improvement Act of 1990 and 31 CFR Part 205; Education Department General Administrative Regulations (EDGAR) 34 CFR §80.21 and §74.22. The Cash Management Improvement Act and related regulations require that states minimize the time elapsing between the transfer of funds from the United States Treasury and the expenditure of funds for program purposes. This requirement applies to grantees such as the State of Arizona and their sub-grantees. In other words, both the State and a sub-grantee, such as a school district, must assure that funds have been, or will be, spent within a minimal amount of time after having been drawn from the federal government.

The Early Childhood Education Unit at the Arizona Department of Education (ADE) has put in place guidance to be followed by subgrantees in submitting Reimbursement Requests. Reimbursement Requests for the Preschool Development Grant shall be made using the Department's electronic Grants Management Enterprise (GME) System.

DEFINITIONS

- ***Cost objective*** means a function, organizational subdivision, contract, grant, or other activity for which cost data are needed and for which costs are incurred.
- ***Grant*** means an award of financial assistance by the federal government to the State of Arizona, Department of Education.
- ***Grantee*** means the Arizona Department of Education, to which a grant is awarded by the federal government.
- ***Subgrant*** means an award of financial assistance to an eligible subgrantee, in this case, awards by the Arizona Department of Education to local education agencies or other eligible entities.
- ***Subgrantee*** means the local education agency or other legal entity to which a subgrant is awarded and which is accountable to the Arizona Department of Education for the use of funds provided.
- ***ECE*** means the Early Childhood Education Unit, administrator of the Preschool Development Grant.

GUIDANCE

a. *Functionality*

- Subgrantees will submit payment requests using the Reimbursement Request option of the grants management system. See "Grants Management Resource Library" in GME for specific instructions for preparing and submitting a Reimbursement Request.
- The Reimbursement Request option is enabled upon final approval of the sub-grant application through GME.

b. *Submission of Reimbursement Requests*

- A subgrantee will make Reimbursement Requests for individual awards.
- Preferably, only TWO Reimbursement Requests per month may be submitted for an individual title or award.
- A subgrantee may request Reimbursement only for (a) expenditures that have already occurred or (b) will occur within five (5) business days of receipt of funds.

- A single Reimbursement Request should not exceed 20% of the approved budget. However, if it exceeds 20% of the approved budget, a detailed justification will be needed for approval.
- The following examples are based upon the schedule in Section C, below
 - Example A: A subgrantee has ordered and received supplies and has paid the vendor. The subgrantee may Request Reimbursement.
 - Example B: A subgrantee has ordered and received equipment but has not yet paid the vendor. The subgrantee expects payment to be made on the seventh of the following month, following the monthly Board meeting. The subgrantee may request reimbursement since the subgrantee will make payment within five (5) business days of receipt of funds.
 - Example C: A subgrantee makes salary payments on the first and fifteenth of each month. In a given month, the subgrantee may request reimbursement for payroll expenditures actually made during the month and for the payroll scheduled for the first pay period of the following month because the subgrantee will make the payroll expenditure within five (5) business days of receiving the funds. The subgrantee may not request reimbursement in anticipation of subsequent pay dates, that is, those occurring more than five (5) business days after receiving funds.
 - Example D: A subgrantee is responsible for payment of health benefits to its provider on a quarterly basis. The subgrantee may request reimbursement prospectively if payment to the provider will be made within five (5) business days of receipt of funds.
- The submission of a Reimbursement Request by a subgrantee constitutes a certification by the subgrantee that it has previously made the appropriate expenditures and/or will make the expenditures within five (5) business days of receipt of funds.
- The submission of a Reimbursement Request by a subgrantee also constitutes a certification that the expenditures are allowable and appropriate to the cost objective(s) of the subgrant.
- Reimbursement Requests must be in accordance with approved grant applications.
- Subgrantees are responsible for submitting an amendment application to the Arizona Department of Education for approval if a new budget category for which no funds were previously budgeted or approved has been created.
- Subgrantees are responsible for submitting an amendment application to the Arizona Department of Education for approval if cumulative transfers among expenditure categories exceed 10% of the total award. Subgrantees are responsible for monitoring the cumulative 10% level of fiscal change.

c. *Processing Timelines*

- A subgrantee may submit Reimbursement Requests at any time after the subgrant has received final ADE approval. Preferably, no more than TWO Reimbursement Requests may be submitted per month for any one subgrant.
- Payment requests will be processed by ADE within 10 business days of submittal.

d. *Content of Reimbursement Requests*

- Reimbursement Requests must contain a brief description of the expenditures for which reimbursement is being requested. Individual line items need not be detailed.
 - Example: \$2,000 is being requested in the 6100 function code. The description is “salaries and instructional supplies.”

- Expenditures must be supported by documentation at the subgrantee level. However, this documentation should not be submitted to the Arizona Department of Education with a reimbursement request. The subgrantee is responsible for maintaining supporting documentation for seven (7) years and for making it available to ADE, the United States Department of Education, and/or their authorized representatives upon request.
- Documentation for salary expenditures is subject to the requirements of the applicable federal Office of Management and Budget Circular: A-21, “Cost Principles for Educational Institutions;” A-87, “Cost Principles for State, Local, and Indian Tribal Governments;” A-122, “Cost Principles for Non-Profit Organizations;” and EDGAR. Documentation for all other expenditures must include evidence that the expenditures are allowable costs and of the relationship of the expenditure to the subgrant’s cost objectives.

e. *Review and Approval of Reimbursement Requests*

- ECE Staff will review Reimbursement Requests to determine whether or not the Reimbursement Request meets the subgrant’s criteria, including but not limited to the following:
 - ✓ Adequate description of the expenditures is provided;
 - ✓ No new budget category has been created; and
 - ✓ Reimbursement Request does not exceed the allowable threshold for an amendment as a result of cumulative transfers among expenditure categories.
- When a Reimbursement Request is approved or denied, the subgrantee will receive an email notification through GME.

Approval of a Reimbursement Request by ECE does not imply approval of the expenditures as allowable or appropriate to the subgrant’s cost objectives. Approval of expenditures will continue to be processed through the final report. The Subgrantee assumes responsibility for assuring that all funds requested through GME either have already been expended, or will be expended, within five (5) days of receipt of



The Arizona Department of Education

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