



# Preschool Development Grant Guidance Manual FY18

Arizona Department of Education  
Early Childhood Education





## *Preschool Development Grant Guidance Manual FY18*

**Mailing Address:**

Arizona Department of Education  
Early Childhood Education Section  
1535 W. Jefferson St., Bin #15  
Phoenix, AZ 85007

**Physical Address:**

Arizona Department of Education  
Early Childhood Education Section  
3300 N. Central Ave.  
Phoenix, AZ 85007

**PDG Inquiries:**

Contact your ADE ECPS first: <http://www.azed.gov/ece/contactus/>

[PDG@azed.gov](mailto:PDG@azed.gov) or 602.542.3143 | Fax: (602) 542-3050  
[www.azed.gov/ece/current-initiatives](http://www.azed.gov/ece/current-initiatives)

**General Inquiries:**

[ECE@azed.gov](mailto:ECE@azed.gov) or 602.364.1530 | Fax: (602) 542-3050  
[www.azed.gov/ece](http://www.azed.gov/ece)

To request our e-Newsletter: [ECEInbox@azed.gov](mailto:ECEInbox@azed.gov)

## Table of Contents

<b>OVERVIEW .....</b>	<b>4</b>
Summary .....	4
<b>HIGH NEEDS COMMUNITIES .....</b>	<b>4</b>
Mixed Delivery System.....	5
Providing Services to Families Most in Need .....	6
Student Recruitment, Enrollment, and Eligibility .....	6
• Age Requirements.....	6
• Family Income .....	6
<b>ALIGNMENT WITHIN A BIRTH THROUGH THIRD GRADE CONTINUUM.....</b>	<b>7</b>
Early Childhood Quality Improvement Practices (ECQUIP) Process .....	7
Transition to Kindergarten.....	8
School Readiness.....	8
<b>A HIGHLY QUALIFIED WORKFORCE.....</b>	<b>8</b>
Staff Compensation.....	8
Staff Preparation and Planning Time .....	9
Staff Qualifications.....	9
College Scholarships for Early Childhood Professionals .....	9
<b>HIGH QUALITY PROGRAM OPERATIONS .....</b>	<b>9</b>
Empower Program .....	10
Environment .....	10
Culturally and Linguistically Responsive Programming .....	10
Curriculum, Standards, and Instructional Strategies .....	11
Child Screening.....	11
Inclusion of Children with Disabilities.....	11
Local Attendance Policy .....	12
Early Childhood Expulsion.....	12
On-Going Progress Monitoring and Child Assessment .....	12
Program Hours .....	12
Quiet Time/Napping .....	13
Staff-to-Child Ratio and Class Size .....	13
Primary Home Language Other Than English (PHLOTE) .....	13
<b>COMPREHENSIVE SERVICES REQUIREMENTS.....</b>	<b>13</b>
• Least Restrictive Environment (LRE) .....	14
• Child Find .....	14
• Family Engagement.....	14

Sustainability .....	16
<b>GRANT ADMINISTRATION AND FISCAL REQUIREMENTS</b> .....	16
Proposals .....	16
Award Letters .....	17
Allocations .....	17
Grant Submission .....	17
Substantially Approved .....	18
New Entities .....	18
Application Instructions .....	19
Budget Requirements .....	19
Allowable Expenditures .....	19
Additional Guidelines .....	20
Budgeting .....	20
Indirect Cost Rates vs. Direct Costs .....	23
Guidelines for Preparing Indirect Cost Proposals .....	24
Amendments .....	27
Completion Reports .....	27
Programmatic Reporting .....	27
Matching Funds .....	28
Duplicate Funding .....	28
<b>PROGRAM EVALUATION</b> .....	31
Quality First .....	31
ADE ECE Quality and Compliance Monitoring .....	31
<b>PROFESSIONAL DEVELOPMENT (PD)</b> .....	32
<b>EARLY CHILDHOOD PROGRAM SPECIALIST (ECPS)</b> .....	32
Primary Responsibilities of the ECPS .....	32
Federal Scope of Work .....	33
<b>TECHNICAL ASSISTANCE (T/A)</b> .....	33
APPENDIX A: PDG FY18 Proposal Scoring Form .....	34
APPENDIX B: Sample Most-In-Need Rubric .....	35
APPENDIX C: PDG FY18 Child/Family Application .....	36
APPENDIX D: Kindergarten Transition Plan .....	37
APPENDIX E: Early Childhood Education Certificate and Endorsement .....	38
APPENDIX F: Education Attainment Plan .....	42
APPENDIX G: The Difference between Standards and Curriculum .....	43
APPENDIX H: Sample 45 Day Screening .....	44

APPENDIX I: How Assessment Works .....	45
APPENDIX J: State PHLOTE.....	46
APPENDIX K: Pre-Award Cost Request Form Sample .....	47
APPENDIX L: Substantial Approval, Obligations, and Pre-Award Cost Approval Letter and Frequently Asked Questions (FAQ) .....	48
APPENDIX M: Sample ADE PDG Monitoring Form.....	50
APPENDIX N: Professional Development Growth Plan.....	59
APPENDIX O: Comprehensive Professional Development Plan.....	60

## OVERVIEW

### Summary

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 children. Neuroscientists, economists and educators are aligned in identifying that early care and education beginning at birth is an investment that pays dividends as children enter kindergarten and move through the early elementary grades, transition to college and 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, are available where families live and work; and, are affordable.

The Arizona Department of Education (ADE) Early Childhood Education (ECE) unit has an opportunity to partner with high needs communities (HNC) to increase the number of children who receive high quality early care and education services in order to improve 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 that children who come from families with several risk factors show the most gain from access to high quality early childhood programs. The Preschool Development Grant (PDG) offers an opportunity 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 children participate in a high quality program or by increasing the number of children who can be served.

In Arizona, a high quality preschool program means an early learning program that fully implements to a significant degree the [Program Guidelines for High Quality](#) (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, The PDG defines HNC by zip codes, 80% or greater Free and Reduced lunch, 25% or greater English Language Learners (ELL), and 50% or less Preschool capacity around Local Education Agencies (LEA). In FY18, the grant was made available statewide, and programs were awarded based on a proposal scoring rubric (**See: Appendix A**). To be eligible for funding, sub-grantees must be licensed and "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, Child Care Health Consultants (CCHC), Mental Health Consultants, Inclusion Coaches, Arizona Self Study Project Specialists, ADE ECPS, Licensing Surveyors, DES Certification Specialists, and Institutes of Higher Education.

The ADE ECPS for each HNC will support the collaboration efforts, as needed, by:

- Facilitating meetings between programs within the HNC
- Coordinating outreach to service providers
- Collaborating with Quality First and other community partners as necessary
- Encouraging community participation in the ECQUIP

### **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 high needs community 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 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.

### **Student 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 eligible to participate by obtaining, reviewing, and verifying documentation of age of child and family income (See: Appendix C).

- Age Requirements - children shall be 4 years of age before September 1<sup>st</sup> (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.
- 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.)
- Additional Eligibility Criteria
  - Foster children who are eligible (considered a family of zero income)
  - Children who are eligible and qualify for McKinney-Vento
- 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.)
- Open enrollment is an acceptable option for children who do not live within the HNC boundaries and otherwise meets all established criteria.

**Important Point:** Documentation of family income eligibility **does not** need to be collected only verified, and verification forms must be kept in a locked cabinet in a secure area and be maintained on site for at least 2 years.

- 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 PDG classroom if it is identified as the child’s least restrictive environment (LRE). The child continues to have special education services paid for with IDEA Preschool funds rather than PDG funding.
- 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**

Effective programs recognize that building and maintaining quality requires an ongoing and iterative process. Each LEA within the HNC will facilitate ECQUIP. LEAs and other programs in the HNC 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. All programs administered through ADE ECE are required to participate in ECQUIP. Upon completion of the rubric, an enhancement plan will be submitted by the LEA participating in PDG. **The enhancement plan must be uploaded to ALEAT by September 30<sup>th</sup> of each 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.

### **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 (**See: Appendix D**). 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, 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. 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.



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 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 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 meetings and conduct screenings

### **Staff Qualifications**

Administration of this grant funding falls under certain statutory requirements. Specifically, any entity receiving the PDG 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 E**). Those with certification or endorsement will receive weighted points on the ADE rubric (**See: 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 at the present time, the goal is to improve the quality of programming through the attainment of certification by the end of the grant period. In this instance, an Education Attainment Plan must be submitted for ADE approval. Once submitted, the Education Attainment Plan will be reviewed for approval. This Education Attainment Plan must be updated and submitted by programs to ADE ECE for approval annually (**See: Appendix F**). Refer to [PGHQ](#) for staff qualifications.

### **College Scholarships for Early Childhood Professionals**

With funding from PDG, in collaboration with First Things First, Arizona plans to invest 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.

## **HIGH QUALITY PROGRAM OPERATIONS**

**Sub-grantees will have 60 days 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. Sub-grantees will also work to:

- Be licensed by applicable state, federal or Tribal licensing agencies.
- Establish a waiting list to ensure that all sub-grantees maintain full enrollment and will enroll new students 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.
- Collaborate and coordinate efforts to recruit eligible families 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.

### **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.

As part of PDG, sub-grantees will be enrolled in, or continue in, [Quality First \(QF\)](#). QF services include coaching, assessment, child care health consultation, financial 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.

### **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 respect 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 everyone. Sub-grantees will help children to understand similarities and differences, and to deal in a positive way with misconceptions based upon language, gender, culture, race, age, and ability. Linguistic and cultural needs are met by emphasizing strategies for integrating multi-cultural and anti-bias themes into all curricular areas.



## **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 G** for differences between standards and curriculum)

When choosing a curriculum, consider the following. For more information:

[www.azed.gov/ece/preschool](http://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. (**See: Appendix H** for sample developmental screening tool)

## **Inclusion of Children with Disabilities**

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

1. **Quality First Inclusion Specialists:** As part of the Quality First System, participants can access Inclusion Specialists. These are 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 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.
2. **Technical Assistance (T/A):** Sub-grantees will be able to access T/A from an ADE ECPS assigned to their area. 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.

### **Local Attendance Policy**

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

- 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.
- 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 with families and specialists in order to provide children and families connections to the services they need to successfully participate. Sub-grantees should review local policy and only consider expulsion in terms of the conditions of A.R.S. 15-841.

### **On-Going Progress Monitoring and Child Assessment**

On-going progress monitoring of children's progress for the purpose of guiding instruction and making curricular decisions is a critical part of high-quality programming (**See: Appendix I**). PDG sub-grantees are required to:

- Collect and maintain quality child assessment data using an instrument approved by the Arizona State Board of Education.
- Obtain AzEDS numbers for each eligible child to link assessment data to the state longitudinal data system.

Information from the assessment should be passed to the child's kindergarten teacher as part of the Kindergarten Transition Plan to help the kindergarten teacher know how to begin addressing individual learning needs of the child. For further guidance: [The Assessment Continuum Guide for Pre K-Grade 3 in Arizona](#)

### **Program Hours**

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.

- 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.
- 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 six 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 nap/quiet time.

### **Staff-to-Child Ratio and Class Size**

Although Code R9-5-404 of ADHS childcare licensing rules and regulations establishes a 1:15 teacher to student 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 olds. ADE 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 funding of 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 HNC's were specifically identified as communities with high levels of English Language Learners (ELL). The PDG opportunity is expected to provide an opportunity for children to access high quality interactions, academic vocabulary and robust languages experiences in English. As part of registration packet for preschool, a PHLOTE form may be completed with families. This form becomes part of the child's record and should become part of the Kindergarten Transition information. ADE is interested in 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 school. Information from the PHLOTE is one piece of data to assist local program staff in meeting the individual needs of a child. (See: [Appendix J](#) for state PHLOTE)

## **COMPREHENSIVE SERVICES REQUIREMENTS**

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 **must** 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](http://www.azed.gov/ece/early-childhood-special-education).

**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. For more information: <http://www.azed.gov/ece/family-engagement/>. Sub-grantees must:

- Engage families in meaningful 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
  - Parent night or family activity night

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 should have a relationship with the local FTF Regional Partnership Councils (RPC) to obtain greater resources, share knowledge, learn together, and build consensus. To find the local FTF RPC: [www.firstthingsfirst.org/regions](http://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.
- [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 education 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. Sub-grantees within the HNC 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.
- Have the capacity to meet grant deliverables

Funding allocations will be determined based on the information submitted in the proposal, the number of eligible programs in the HNC and total funding available. Proposals are submitted via email to ADE ECE at [PDG@azed.gov](mailto:PDG@azed.gov) 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. Please be aware that there is the possibility that not all eligible programs will be chosen for participation nor may proposal be fully funded.

### **Award Letters**

Award letters will be sent via email to awarded programs. The award letter will indicate total program funding as well as the number of children that can be served with the funding.

### **Allocations**

Allocations are based on the number of slots (full-time or part-time combined with other funds to complete a full day) and number of service months (9 or 10 months). Total funding is limited to the formula cost per child (to be reviewed annually) and will be calculated as follows on the chart:

<b>Length of Service Day</b>	<b>Months of Program</b>	<b>Monthly per Child Rate</b>	<b>Annual per Child Rate</b>
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**

General Statement of Assurance (GSA) is a document that guarantees accountability to the United States and to the State of Arizona. All sub-grantees wishing to apply for and receive grant monies must have a current GSA on file at ADE. This document is renewed yearly, and is due **by May 15th**. For GSA and instructions: [www.azed.gov/grants-management/gsa](http://www.azed.gov/grants-management/gsa).

- Review the GSA Cover Memo for instructions.
- Download General Statement of Assurance (GSA) for the upcoming fiscal year.
- Complete the GSA. Original signatures must be completed in blue or black ink.
- Mail the hard copy document directly to: **ADE Grants Management Office**, ATTN: Grants Project Specialist, 1535 W. Jefferson St., Bin #3, Phoenix, AZ 85007.

Sections A, C, D, and E of the GSA must be signed by:

- Districts – Board President, Superintendent
- Charters – Charter Contract Signer
- Private Providers – Director/Owner

### **Substantially Approved**

**Important Note:** According to a recent evaluation, ADE has made a change to all federal grants. Funds cannot be spent/obligated before the application obtains final ADE Director level approval. For FY18, all grant applications must include the Pre-Award Cost Request form (**See: Appendix K**) which must be uploaded into the grant application under “Related Documents.”

**Example:** A sub-grantee submits the grant application on September 1, and the Director approves it on September 15. The sub-grantee can start spending/obligating funds as of September 1. However, if the Pre-Award Cost Request form was submitted with the grant application, the sub-grantee can start spending/obligating needed funds as of July 1 of the fiscal year. (**See: Appendix L** for FAQ)

### **New Entities**

A new entity (first time applicants only) that wishes to apply for a grant through ADE Grants Management Office (“Grants Management”) should:

- 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 to Grants Management.
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 FY 2014 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](http://www.azed.gov/grants-management/gsa).



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

To access the GME System:

- Go to the ADE website at [www.azed.gov](http://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

### **Application Instructions**

PDG instructions are available in the document library in GME on ADE Connect. To access the application instructions in GME:

- Go to [ADE Connect](#)
  - On the side menu, select **Document Library**
  - Select **Early Childhood**
  - Select **Preschool Development Grant**
  - Click on **PDG Instructions**

### **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. Sub-grantees should budget for quality. Budget line items should reflect the needs and goals of the sub-grantees.

For more information, sub-grantees should refer to the Uniform Systems of Financial Records (USFR) Chart of Accounts, Section III-E-2.1 thorough 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 academic achievement using developmentally appropriate practices. All costs must be necessary, reasonable and allocable.

- **Necessary:** whether cost is 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:** A cost is allocable to PDG and benefits the project.

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

- Meeting and maintaining developmentally appropriate practices in early childhood programs as set forth in the [Program Guidelines for High Quality Early Education](#)
- Meeting and maintaining programming that clearly aligns with the [Arizona Early Learning Standards](#), [Quality First](#), and/or national accreditation standards for preschool programs
- Providing opportunities for **family engagement** such as family training activities related to PDG.
- **Direct Instruction:** teacher and assistant 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** such as contracted services when the service is specific to PDG, proportional salaries and benefits for front office staff, supplies for family trainings or workshops, workshop or training opportunities for teaching staff, travel expenses to attend approved trainings, Teaching Strategies GOLD portfolios, etc.
- **Capital Outlay** (e.g., classroom furniture and equipment needed to implement PDG, classroom computers, 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

### **Additional Guidelines**

**Administration costs may not exceed 5%** of the total allocation awarded. Non-allowable costs:

- Overtime
- Refrigerators, copiers
- 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
- Food Preparation equipment
- 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.

### **Budgeting**

**6100 – Salaries:** PDG is looking to establish parity with District Salary Scale for equal qualifications/ years of service

- **1000 Instruction** (activities directly impacting the students): Lead Teachers, Aids, floaters, substitutes(Coach/mentor for Head Start Only)
- **2100 - Support Services** (supports the teacher, the classroom or the 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 classroom, necessary to carry out the program
- **3000 – Non-instructional Services\*** – activities that are neither administration nor instruction

**\*2300 and 3000 are allowable under this grant, cost allocation is a must, and DO NOT exceed 5% of the total award.**



**6200 - Employee Benefits:** (Employee Related Expenditures): Indicate what % of the salary is going to be paid for Employee Related Expenditures such as FICA employer share, worker compensation, social security, etc. **Optional benefits** = dental, vision, health, retirement, etc.,

**6300 – Purchase Professional Services:** (Note: Teaching Strategies GOLD student subscriptions do NOT belong here, but under 6600 Supplies/Support Services)

- **1000 Instruction:** contracted teachers, consultants and substitutes, no salary
- **2100 Support Services** – Trainings & conferences registration fees for teachers
- **2300 – Support Services** – In PDG, administrative training is NOT covered except for Teaching Strategies GOLD for administrators or ADE-hosted conferences/summits for administrators

**6400 – Purchased Property Services:** Cleaning services for the PDG classroom only or rent of the PDG classroom (3000- Operation of Non- Instructional Services). Please consider your 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 is a must.
  - Teachers travel to and from professional development training (travel include: hotel, meals, mileage/state per diem rate)
  - Printing materials such as: PDG parent Handbook, PDG staff handbook, PDG newsletters, PDG assessment reports, etc.)
  - Outreach families of 4 year olds to meet the necessary needs of the 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 fiscal year 2018, all purchasing and ordering of **classroom materials, supplies and furniture must be purchased before December 30, 2017.**

- **1000 – Instruction** – any supplies that directly impact the learning experience of the children; need to be listed in some detail.
- Food costs should be linked to learning experiences. See 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.”

- Check to see if program receives Child Adult Care Food Program (CACFP) funding. If so, make sure that this funding is used first, and PDG funds can be used to cover any remaining expenses.
- **2100 – Support Services** – TS GOLD student subscriptions, hand sanitizer, wipes; bathroom supplies reimbursed only for the PDG classroom and should be cost-allocated if supplies are shared with other students not in PDG.

**6700 – Property:** ADE requires Quantity, Cost per unit, description and purpose for all capital outlay items.

- **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. I-pads for teacher documentation are allowable, but must be used for PDG purposes only. 6739 for items \$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 is a must.
- **3000 -Miscellaneous** – Licensing fees, 5% of administrative costs (if the costs include salaries for employees, it should be coded under 6100 salaries (2300/3000) or 6300 for contractors), family engagement activities, parent education workshops.

**6910 – Indirect Cost:**

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 achieve. Such as: Rent, utilities, phone service, insurance, use of copier machine. Sub-grantees must choose option A, B or option C and provide proper justification for expenses included:

- Option A – for all school districts
- Options B and C – Child Care providers may choose
- Option C – 5% of total award has to be coded under 6800, Other Expenses, Operation of Non-Instructional Services, 3000

**Allocation of Costs among Multiple Sources:**

Please list the funding source(s) as applicable, what cost is covered, 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 (could pay for tuition or to pay for classroom needs)
- Title 1 = 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 her time working on the PDG program

- Paraprofessional spends 90% of her time working on the PDG program and 10% on the 2 year old classroom.
- Floater spends (10)% of her time working on the PDG program and (90)% on 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
	<del>\$ 68,000</del>		\$ 52,700★

- Allocation based on the number of children served: the cost of the supplies, materials, equipment is allocated based upon the number of 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 documentation** such as cancelled checks, paid bills, payrolls, receipts, cancelled invoices, time and attendance records, contract documents, etc.

### **Indirect Cost Rates vs. Direct Costs**

**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.

**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 and provide proper justification for expenses included:

- 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.
- 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.

*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.*

### **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 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: Gary Holland, 1535 W. Jefferson St., Bin #3, Phoenix, AZ 85007.

### **Amendments**

Sub-grantees must electronically submit an amendment 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**. *Approval is obtained by submitting an amendment through the GME system.*

Fiscal amendments to the budget must be made when the anticipated expenditures will exceed the budgeted line item by 20% 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 project 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, the information should be updated by submitting an amendment to include changes and updates. The information you provide on the contact page is used to send program updates, information and send correspondence. It is the sub-grantee's responsibility to keep information current.

### **Completion Reports**

A completion report is an end-of-the-year financial report that will be completed by the program's financial department. Completion Reports must be submitted electronically through the ADE GME **no later than 45 days** after the end of the project's 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 this grant until the funds have been returned.

### **Programmatic Reporting**

Throughout implementation of PDG, ADE will partner with sub-grantees to improve the quality of practices within the HNC. In addition, ADE is responsible for ensuring that children served in a high quality environment will be prepared for success as they enter into the K-3 educational system. In order to ensure successful implementation and documentation of improvement efforts, ADE will collect information in a variety of ways:

1. Grant Applications (open July 1 of each program year)
2. Uploaded required plans and other scope of work documents into ALEAT
3. ECQUIP meeting visits
4. Reimbursement requests with supporting documentation of expenditures
5. Completion Reports
6. On-site monitoring
7. Participation in and on-time submission of Teaching Strategies Gold data



### **Matching Funds**

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

Fiscal Year	PDG Share	Local 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

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.

### **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.

### *****GUIDANCE FOR REIMBURSEMENT OF FEDERAL AND OTHER GRANT EXPENDITURES*****

[Cash Management Improvement Act](#) (CMIA) of 1990 and 31 CFR Part 205; Education Department General Administrative Regulations (EDGAR) 34 CFR §80.21 and §74.22. CMIA 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. Both the State and a sub-grantee must assure that funds have been, or will be, spent within a minimal amount of time after having been drawn from the federal government.

ADE ECE has put in place guidance to be followed by sub-grantees in submitting Reimbursement Requests. PDG Reimbursement Requests shall be made using the Department's electronic GME System. For more information: [Reimbursement Requests](#).

### **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.
- **Sub-grant** means an award of financial assistance to an eligible sub-grantee, in this case, awards by the Arizona Department of Education to local education agencies or other eligible entities.
- **Sub-grantee** means the local education agency or other legal entity to which a sub-grant 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 PDG.

## **GUIDANCE**

### **a. Functionality**

- Sub-grantees will submit payment requests using the Reimbursement Request option of the grants management system. For more information: <http://www.azed.gov/grants-management/rr-cr-help/>
- The Reimbursement Request option is enabled upon final approval of the sub-grant application through GME.

### **b. Submission of Reimbursement Requests**

- A sub-grantee will make Reimbursement Requests for individual awards.
- Preferably, only TWO Reimbursement Requests per month may be submitted for an individual title or award.
- A sub-grantee 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 sub-grantee has ordered and received supplies and has paid the vendor. The sub-grantee may Request Reimbursement.
  - **Example B:** A sub-grantee has ordered and received equipment but has not yet paid the vendor. The sub-grantee expects payment to be made on the seventh of the following month, following the monthly Board meeting. The sub-grantee may request reimbursement since the sub-grantee will make payment within five (5) business days of receipt of funds.
  - **Example C:** A sub-grantee makes salary payments on the first and fifteenth of each month. In a given month, the sub-grantee 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 sub-grantee will make the payroll expenditure within five (5) business days of receiving the funds. The sub-grantee 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 sub-grantee is responsible for payment of health benefits to its provider on a quarterly basis. The sub-grantee 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 sub-grantee constitutes a certification by the sub-grantee 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 sub-grantee also constitutes a certification that the expenditures are allowable and appropriate to the cost objective(s) of the sub-grant.
  - Reimbursement Requests must be in accordance with approved grant applications.
- Sub-grantees are responsible for submitting an amendment application to ADE for approval if a new budget category for which no funds were previously budgeted or approved has been created.
- Sub-grantees are responsible for submitting an amended application to ADE for approval if cumulative transfers among expenditure categories exceed 10% of the total award. Sub-grantees are responsible for monitoring the cumulative 10% level of fiscal change.

**c. *Processing Timelines***

- A sub-grantee may submit Reimbursement Requests at any time after the sub-grant has received final ADE approval. Preferably, no more than TWO Reimbursement Requests may be submitted per month for any one sub-grant.
- 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 sub-grantee level. However, this documentation should not be submitted to the Arizona Department of Education with a reimbursement request. The sub-grantee 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 sub-grant’s cost objectives.

**e. *Review and Approval of Reimbursement Requests***

- ADE ECE will review Reimbursement Requests to determine whether or not the Reimbursement Request meets the sub-grant’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 sub-grantee 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 sub-grant's cost objectives. Approval of expenditures will continue to be processed through the final report. The Sub-grantee 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 payment.

## 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.

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 what's great about it and the opportunities to do even better. A highly-trained 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 and more) 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.

### **ADE ECE Quality and Compliance Monitoring**

Monitoring of program sites (**See: Appendix M**) 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 programs	All programs	All programs	All programs

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](http://www.azed.gov/ece/current-initiatives).

## 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 N & O**) PD opportunities should include, but are not limited to: Developmentally Appropriate Practices, Arizona Early Learning Standards, and 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 SPECIALIST (ECPS)

An 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 in order 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](http://www.azed.gov/ece/current-initiatives).

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 funding agreements**. 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, comprehensive curriculum
- Early childhood assessment (State Board Approved Tool)
- Highly qualified staff or plan in place
- Full enrollment and wait list

## **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](http://www.azed.gov/ece/contactus)

## APPENDIX A: PDG FY18 Proposal Scoring Form

Identifying Information
Program Name
Contact Name
Contact Phone Number
Contact Email Address

Criteria Area	Points Possible	Score
Previously participated in PDG and in good standing*	10	
Tribal	5	
Teacher for PDG classroom with Bachelors Comments:	10	
Teacher for PDG classroom with ECE or ECSE certification	5	
Lead Teacher has an AA and is enrolled in a credit- bearing program working towards ECE certification	5	
Rural or underserved area Please describe how you define rural:	5	
School Percentage Free and Reduced Lunch (programs outside the school area may use the local school numbers) <input type="checkbox"/> 80-100 <input type="checkbox"/> 71-79 <input type="checkbox"/> 60-70	10	
School Percentage English Language Learner (programs outside the school area may use the local school numbers), <input type="checkbox"/> 25 or higher <input type="checkbox"/> 20-29 <input type="checkbox"/> 15-19	10	
Licensed and in good standing* (tribal, state, or federal)	20	
Enrolled in and in good standing* with Quality First	10	
Quality First star rating (if enrolled in Quality First) <input type="checkbox"/> 5 <input type="checkbox"/> 4 <input type="checkbox"/> 3 <input type="checkbox"/> 2 <input type="checkbox"/> 1 <input type="checkbox"/> Not yet assessed <input type="checkbox"/> Not Yet Enrolled	10	
Total Score		
Name of reviewer:	Date:	

\* 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

Programs can choose to use this form as an additional, supplemental tool to the required PDG FY18 Child/Family application. Families must be verified to meet income- and age-requirements to be eligible for PDG scholarships.

### *Preschool Development Grant Selection Criteria*

Child's Name : \_\_\_\_\_ DOB: \_\_\_\_\_ Age: \_\_\_\_\_ Gender: M / F

#### **1) ELIGIBILITY (No Points)**

\_\_\_\_\_ 4 before September 1

\_\_\_\_\_ Income Eligible

#### **2) AUTOMATIC SELECTION**

\_\_\_\_\_ TANF/DES

\_\_\_\_\_ Foster Child

\_\_\_\_\_ Homeless

\_\_\_\_\_ Child on IEP

#### **3) PRIORITIES**

\_\_\_\_\_ Single Parent Household

\_\_\_\_\_ Grandparent(s) with Legal Custody

\_\_\_\_\_ Teen Parent of Child Being Enrolled (19 or younger at time of childbirth)

\_\_\_\_\_ Enrolled in School (GED/Certification/AA/BA)

\_\_\_\_\_ Serious Medical Problem with Doctor Certification

\_\_\_\_\_ Rehab Program \_\_\_ Verified \_\_\_ Drugs \_\_\_ Alcohol

\_\_\_\_\_ Domestic Violence

\_\_\_\_\_ Parent Currently Incarcerated (At time of Intake)

\_\_\_\_\_ CPS Involvement

\_\_\_\_\_ Military Family (Active)

\_\_\_\_\_ Widowed Parent

\_\_\_\_\_ Any Family Member with Certified Disability

\_\_\_\_\_ Child attended last year

**TOTAL POINTS**

Comments : \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Form Completed by : \_\_\_\_\_ Date : \_\_\_\_\_ Time : \_\_\_\_\_

## APPENDIX C: PDG FY18 Child/Family Application

[Available on the ADE ECE Website](#)

Preschool Development Grant

Child & Family Application SY17/18

**Child must be 4 years old before September 1, 2017**

Child's Name:

Date of Birth:

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 circle):

☐ American Indian or Alaskan Native  
Islander

☐ Asian

☐ Native Hawaiian/Other Pacific

☐ 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

**Amount of Gross Income for the most recent month for each parent in household (please select all sources that apply)**

Name Parent/ Guardian #1		Name Parent/ Guardian #2	
	Wages from paid employment		Wages from paid employment
	Child support payments		Child support payments
	Spousal maintenance (alimony)		Spousal maintenance (alimony)
	Government payments		Government payments
	Unemployment payments		Unemployment payments
	Other (please describe below)		Other (please describe below)

% Gross Yearly and Monthly Income		
Persons in Family/ Household	200% Poverty Guideline Yearly	200% Poverty Guideline Monthly
1	\$24,120	\$2,010
2	\$32,480	\$2,707
3	\$40,840	\$3,403
4	\$49,200	\$4,100
5	\$57,560	\$4,797
6	\$65,920	\$5,493
7	\$74,280	\$6,190
8	\$82,640	\$6,887
For families/households with more than 8 persons, add \$8,360 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 D: Kindergarten Transition Plan

[Available on the ADE ECE Website](#)

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

### 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 E: 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:
    - (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**
  - A minimum of eight semester hours of practicum, including:
    - 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**
    - 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 F: 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.

**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

### **For Administrative Use:**

Verified: ☐

Follow-up (if necessary):

Evidence:

Comments:

## APPENDIX G: The Difference between Standards and Curriculum

For more information: [www.azed.gov/ece/preschool](http://www.azed.gov/ece/preschool)

### 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 4<sup>th</sup> 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

### HOW IT WORKS

#### State 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)

**Adopted by state**

**ARS §15-701 & 15-701.01**

#### Curriculum

"Casey At The Bat" by Ernest Thayer

**Adopted by local governing board**

**ARS §15-721 & 15-722**

#### Lesson Plan

Students read "Casey At The Bat".

Students will be able to identify character traits of Casey by writing an essay using evidence to explain how his characteristics impact the poem.

**Developed by teacher**

## APPENDIX H: Sample 45 Day Screening

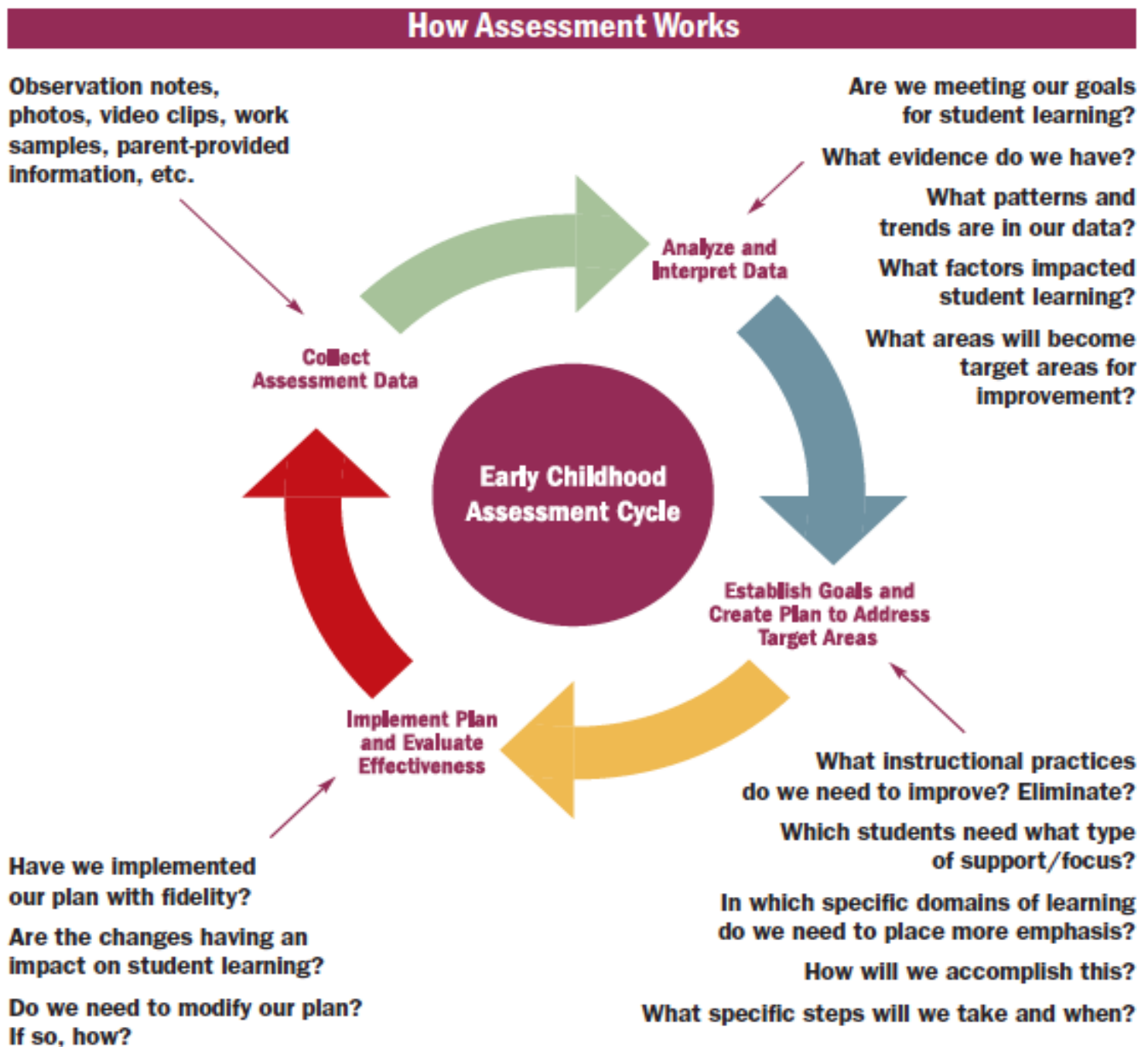
<b>Name of Student:</b>		<b>DOB:</b>	<b>SAIS #:</b>
<b>Date of Entry:</b>	<b>Date of Screening:</b>	<b>Teacher:</b>	<b>School/Site:</b>
<b>VISION</b> <b>Yes    No</b> <input type="checkbox"/> <input type="checkbox"/> Appears to see well up close <input type="checkbox"/> <input type="checkbox"/> Appears to see well at a distance <input type="checkbox"/> <input type="checkbox"/> Squints or turns head to see <input type="checkbox"/> <input type="checkbox"/> Holds hand over one eye <input type="checkbox"/> <input type="checkbox"/> Has trouble with eyes <input type="checkbox"/> <input type="checkbox"/> Other: _____		<b>COMMUNICATION</b> <b>Yes    No</b> <input type="checkbox"/> <input type="checkbox"/> Has speech that is difficult to understand <input type="checkbox"/> <input type="checkbox"/> Does not talk in class <input type="checkbox"/> <input type="checkbox"/> Often stutters <input type="checkbox"/> <input type="checkbox"/> Has difficulty expressing ideas <input type="checkbox"/> <input type="checkbox"/> Speaks too loudly <input type="checkbox"/> <input type="checkbox"/> Speaks too softly <input type="checkbox"/> <input type="checkbox"/> Uses three or more words in a sentence <input type="checkbox"/> <input type="checkbox"/> Other: _____	
<b>MOTOR</b> <b>Yes    No</b> <input type="checkbox"/> <input type="checkbox"/> Can feed self <input type="checkbox"/> <input type="checkbox"/> Can dress self with help <input type="checkbox"/> <input type="checkbox"/> Problems with gross motor development (clumsy or awkward) <input type="checkbox"/> <input type="checkbox"/> Problems with fine motor skills (reaching, grasping, manipulation of objects, picking up small objects) <input type="checkbox"/> <input type="checkbox"/> Other: _____		<b>HEARING</b> <b>Yes    No</b> <input type="checkbox"/> <input type="checkbox"/> Does not respond to name, directions, or questions in class <input type="checkbox"/> <input type="checkbox"/> Frequently asks for information to be repeated or asks "What?" <input type="checkbox"/> <input type="checkbox"/> Has significantly delayed language <input type="checkbox"/> <input type="checkbox"/> Has frequent earaches <input type="checkbox"/> <input type="checkbox"/> Seems not to pay attention <input type="checkbox"/> <input type="checkbox"/> Difficulty telling where sounds and voices are coming from <input type="checkbox"/> <input type="checkbox"/> Speaks too loudly or too softly <input type="checkbox"/> <input type="checkbox"/> Other: _____	
<b>SOCIAL/BEHAVIORAL</b> <b>Yes    No</b> <input type="checkbox"/> <input type="checkbox"/> Repeated rocking or head banging <input type="checkbox"/> <input type="checkbox"/> Frequent temper tantrums <input type="checkbox"/> <input type="checkbox"/> Frequent hitting or biting <input type="checkbox"/> <input type="checkbox"/> Easily frustrated <input type="checkbox"/> <input type="checkbox"/> Difficulty completing tasks <input type="checkbox"/> <input type="checkbox"/> Avoids social interaction with peers/adults <input type="checkbox"/> <input type="checkbox"/> Difficulty sharing toys or materials <input type="checkbox"/> <input type="checkbox"/> Difficulty following directions <input type="checkbox"/> <input type="checkbox"/> Cannot remain seated to complete snack or meal <input type="checkbox"/> <input type="checkbox"/> Cannot remain seated to have a book read <input type="checkbox"/> <input type="checkbox"/> Other: _____		<b>SENSORY</b> <b>Yes    No</b> <input type="checkbox"/> <input type="checkbox"/> Dislikes touches <input type="checkbox"/> <input type="checkbox"/> Avoids contact with others <input type="checkbox"/> <input type="checkbox"/> Frequently has hands in mouth <input type="checkbox"/> <input type="checkbox"/> Seems overly sensitive to sound <input type="checkbox"/> <input type="checkbox"/> Frequently makes loud noises <input type="checkbox"/> <input type="checkbox"/> Fearful of activities involving moving through space <input type="checkbox"/> <input type="checkbox"/> Poor safety awareness during climbing/movement activities <input type="checkbox"/> <input type="checkbox"/> Frequent repetitive movements <input type="checkbox"/> <input type="checkbox"/> Fearful of activities which challenge balance <input type="checkbox"/> <input type="checkbox"/> Other: _____	
<b>ADAPTIVE DEVELOPMENT</b> <b>Yes    No</b> <input type="checkbox"/> <input type="checkbox"/> Poor self-care skills related to personal hygiene, dress, maintaining personal belongings <input type="checkbox"/> <input type="checkbox"/> Poor social skills related to working cooperatively with peers, social perceptions, response to social cues, or socially acceptable language <input type="checkbox"/> <input type="checkbox"/> Poor ability to understand directions, communicate needs, and express ideas <input type="checkbox"/> <input type="checkbox"/> Lack of school coping behaviors related to attention to learning tasks, organizational skills, questioning behavior, following directions, and monitoring time use <input type="checkbox"/> <input type="checkbox"/> Other: _____			<b>PRIMARY LANGUAGE INFORMATION</b>  Language used most often by student:  Primary home language of student:  <div style="border: 1px solid black; padding: 5px;"> <input type="checkbox"/> <b>FURTHER SCREENING IS NEEDED</b>  <input type="checkbox"/> <b>NO CONCERNS AT THIS TIME</b> </div>

Teacher Signature: \_\_\_\_\_

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

## APPENDIX I: How Assessment Works

For more information: [www.azed.gov/ece/early-childhood-assessment](http://www.azed.gov/ece/early-childhood-assessment)



**APPENDIX J: State PHLOTE**  
[Available on the ADE OELAS Website](#)



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 K: Pre-Award Cost Request Form Sample

A blank copy available online under "Document Library": <https://ems.azed.gov/> .



Arizona Department of Education

### Pre-Award Cost Request Form

2 CFR §200.458 allows for the approval of pre-award costs prior to the effective date of the award where such costs are necessary for efficient and timely performance of the scope of work; to the extent that the costs would have been allowed if incurred after the date of the Federal award and only with written approval.

Entity Name:	CTDS #:		Date:
Grant Name:			
<input type="checkbox"/> I assure all pre-award expenditures were in accordance to applicable Federal Uniform Grant Guidance, as well as specific guidance related to the grant listed above.			
<input type="checkbox"/> I assure pre-award obligations for this grant will be proportionate to the award amount and time period of the grant funds.			
LEA Business Manager Print:	Date:		
LEA Business Manager Signature:			

## APPENDIX L: Substantial Approval, Obligations, and Pre-Award Cost Approval Letter and Frequently Asked Questions (FAQ)



State of Arizona  
Department of Education  
Office of Diane Douglas  
Superintendent of Public Instruction

June 7, 2017

Dear Superintendent /Preschool Coordinator/Director:

### **Subject: Substantial Approval, Obligations, and Pre-Award Cost Approval**

Information regarding federal requirements for obligating federal grant funds was recently communicated to all Arizona Local Education Agencies (LEAs) by the Arizona Department of Education (ADE). The Early Childhood Education Unit (ECE) wants to ensure all PDG sub-grantees understand this regulation in Uniform Grant Guidance (UGG) and the impact it will have on the process of applying for and spending 619 funds. We have created a list of FAQs to clarify questions you may have based on the May 10, 2017 communication sent by the ADE. A copy of that communication is attached for your reference.

Q: What does it mean to be substantially approved?

A: A funding application is considered to be substantially approved on the date when the status is changed to LEA Authorized Representative Approved IF the application is compliant with all grant requirements AND is determined to be approvable by the Program Area. The substantially approved date may differ from the date a funding application is approved by the SEA Director.

Q: What if my LEA incurs approvable expenses before the substantially approved date?

A: For FY 2018 applications, an LEA must include the **Pre-Award Cost Request Form** with the submission of their original grant application in order to request approval for expenditures or obligations incurred prior to substantial approval date. Expenditures or obligations prior to July 1, 2017 cannot be included in pre-award costs as they are considered outside the period of availability.

Q: My funding application was returned to me for changes. How does that impact the substantially approved date?

A: Each time a funding application is returned to an LEA for changes, it resets the substantially approved date to the next time the application's status is changed to LEA Authorized Representative Approved AND the application is in an approvable state.

Q: Does the substantially approved date impact Application Revisions?

A: The substantially approved date applies to the Original Application. Application Revisions can be submitted as often as necessary throughout the project period and will not change the substantially approved date.

Q: What is the anticipated time frame for ECE to review funding applications?

A: ECE Program Specialists and Directors will work diligently to ensure grant applications are processed within 10 business days. All funding applications will continue to undergo a fiscal review and a programmatic review with each submission.

Q: Where can I find the substantially approved date in Grants Management Enterprise (GME)?

A: This information is located in the Reimbursement Request section of GME. The date will be listed on the Project Summary page.

Q: FY 2018 important dates are included below.

- FY 2018 PDG Project Period: July 1, 2017 through June 30, 2018
- FY 2018 Projected Application Open Date: June 16, 2017
- **FY 2018 Due Date for submission of grant application: September 30, 2017**
- FY 2018 Application Revision: May 30, 2018
- FY 2018 Completion Report Submission Deadline: September 30 2018

Q: Where can I learn more about this obligation timeframe regulation and other federal regulations?

A: Uniform Grant Guidance (UGG) and Education Department General Administrative Regulations (EDGAR) are the best resources for LEAs to reference for regulations surrounding federal grant spending. LEAs are also strongly encouraged to attend the EDGAR workshop referenced in the May 10, 2017 communication from the ADE.

ECE will continue to communicate any additional information regarding this regulation as it becomes available. We are committed to providing you the support you need to effectively administer your IDEA Preschool Program.

Sincerely,  
Nicol Russell, Deputy Associate Superintendent  
Early Childhood Education unit  
Arizona Department of Education



1535 West Jefferson Street, Phoenix, Arizona 85007 • (602) 542-5460 • [www.azed.gov](http://www.azed.gov)

# APPENDIX M: Sample ADE PDG Monitoring Form

[Available on the ADE ECE Website](#)

## ON-SITE REVIEW

Preschool Development Grant FY18

ADE/ECE Monitoring for Early Childhood Quality & Compliance

Date of Visit: Date

Date of Follow-Up (if applicable): Date

Sub-Grantee/Program:

Sub-Grantee/Program 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/or 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 COMPONENT	Evidence and Notes
<b>Licensing</b>	
<p>The program is licensed and in good standing with an applicable licensing agency.</p> <p>DHS/applicable licensing agency certificate is current, valid, and posted.</p> <p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>	<p><i>Reviewer should confirm the licensing certificate posted at facility and review "in good standing" with licensing agency. <b>Facility must maintain current license and "in good standing" status.</b></i></p> <p>Evidence- Licensing certificate: <input type="checkbox"/></p> <p>License Number: _____ Date of Expiration: _____</p> <p>Date _____</p> <p>Notes:</p>
<b>HNC ECQUIP/Community of Practice (specific to district/charter programs)</b>	
<p>ECQUIP Rubric is completed with evidence collected and a standard for improvement has been selected.</p> <p>Yes <input type="checkbox"/></p>	<p><i>Reviewer should confirm in the district/HNC ECQUIP Rubric for the program's participation if the program is not a district/charter.</i></p> <p>Evidence- ECQUIP Self-Assessment Rubric: <input type="checkbox"/></p> <p>Evidence (Other):</p>

No <input type="checkbox"/> N/A <input type="checkbox"/>	Notes:
The ECQUIP Quality Enhancement Plan has been submitted on ALEAT.  Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	Evidence– ECQUIP Quality Enhancement Plan: <input type="checkbox"/> Evidence (Other): Date submitted into ALEAT: Date Date reviewed/accepted by ADE: Date  Notes:
<b>HNC ECQUIP/Community of Practice (for all programs)</b>	
The program participates in the local school district's ECQUIP and attends meetings regularly (in person or electronically/telephonically).  Yes <input type="checkbox"/> No <input type="checkbox"/>	Evidence– ECQUIP Meeting agenda(s), sign-in sheets: <input type="checkbox"/> Evidence (Other):  Notes:
The program has in place and is following the HNC written protocol in place to determine a program's "most in need" children/families.  Yes <input type="checkbox"/> No <input type="checkbox"/>	Evidence– Written protocol for "most in need": <input type="checkbox"/> Evidence (Other):  Notes:
The program has in place and is following the HNC written protocol to share "wait list" for children/families.  Yes <input type="checkbox"/> No <input type="checkbox"/>	Evidence– Written protocol for "waitlist": <input type="checkbox"/> Evidence (Other): How will the program share wait list information with other local HNC programs?  Notes:
The program has a written plan for kindergarten transition using the state and HNC template.  Yes <input type="checkbox"/> No <input type="checkbox"/>	Evidence– Kindergarten Transition Plan: <input type="checkbox"/> Date submitted into ALEAT: Date Date reviewed/accepted by ADE: Date  Notes:
The program participates in and offers the comprehensive services (LRE, Child Find, Family Engagement and other support services) that	Evidence: What comprehensive services does the program provide?

<p>were identified by the HNC.</p> <p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>	<p>Notes:</p>
<p>The program has completed and submitted the appropriate PDG Scope of Work documents into ALEAT by the defined ADE deadline.</p> <p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>	<p><i>Reviewer should confirm PDG Scope of Work documents in ALEAT.</i></p> <p>Evidence– Uploaded “Child Find Analysis”, “Comprehensive PD Plan”, “Educational Attainment Plans”, “Family Engagement Plan”, “Kindergarten Transition Plan”, and any other applicable SOW forms: <input type="checkbox"/></p> <p>Notes:</p>
<p><b>Child and Family Eligibility</b></p>	
<p>Program ensures all children participating in the PDG program are income eligible.</p> <p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p> <p>How many files were reviewed? % of files in compliance</p>	<p><i>Reviewer should confirm at least 10% of awarded slots for income eligibility and ensure that families are not charged additional fees during the PDG hours of operation. Reviewer will follow up within 30 days if % of files in compliance is not 100%.</i></p> <p>Evidence– PDG Child/Family Applications: <input type="checkbox"/></p> <p>Evidence(Other):</p> <p>Notes:</p>
<p>Program ensures that all children participating in the PDG program are four years of age and were four before September 1 of the current school year.</p> <p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p> <p>How many files were reviewed? % of files in compliance</p>	<p><i>Reviewer should confirm at least 10% of enrollment records for age eligibility. Reviewer will follow up within 30 days if % of files in compliance is not 100%.</i></p> <p>Evidence:</p> <p>Notes:</p>
<p><b>Early Childhood Assessment System</b></p>	
<p>A comprehensive written Early Childhood assessment system is being implemented.</p>	<p>Evidence– Written protocol including 45 Day Screener, Evaluation, ongoing progress monitoring, protocol for data use, etc.: <input type="checkbox"/></p>



Yes <input type="checkbox"/> No <input type="checkbox"/>	Evidence (Other):  Notes:
Program conducts a developmental screening on <u>all</u> children.  Yes <input type="checkbox"/> No <input type="checkbox"/> How many files were reviewed? % of files in compliance	<i>Reviewer should confirm at least 10% of 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. Reviewer will follow up within 30 days if % of files in compliance is not 100%.</i> Evidence:  Notes:
Teaching Strategies GOLD data has been recorded to demonstrate ongoing progress of children and has been completed on <u>all</u> eligible participants.  Yes <input type="checkbox"/> No <input type="checkbox"/> How many portfolios were reviewed?	<i>Reviewer should review at least 10% of eligible portfolios/TSG data using "Child Observations and Portfolio Rubric" for the most recently completed Checkpoint. This can be reviewed prior to on-site review.</i> Evidence– Child Observations and Portfolio Rubric: <input type="checkbox"/> Evidence (Other): Date Reviewed by ADE: Date  Notes:
<u>All</u> eligible children have a valid AZED ID number.  Yes <input type="checkbox"/> No <input type="checkbox"/>	<i>Reviewer should verify that all children are assigned an AZED ID number in the online assessment tool.</i> Evidence:  Notes:
<b>Teaching and Instructional Staff</b>	
Instructional staff are highly qualified or have an educational attainment plan in place.  Yes <input type="checkbox"/> No <input type="checkbox"/>	<i>Reviewer should verify degree/certification and/or educational attainment plans (via ALEAT) of PDG instructional staff.</i> Evidence:  Notes:
Certified instructional staff salaries are comparable to the salaries of the local district	<i>Reviewer should cross check the local district's comparable certified salary schedule with the</i>

<p>K-12 instructional staff.</p> <p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>	<p><i>program's grant application in GME.</i></p> <p>Evidence– District certified salary schedule: <input type="checkbox"/></p> <p>Evidence (Other):</p> <p>Notes:</p>
<p>The program has a Comprehensive PD Plan, uploaded into ALEAT by the defined ADE deadline, and instructional staff participate in professional development according to the PD plan.</p> <p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>	<p>Evidence– PD plan with PD sign-in sheets: <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>
<p>Instructional staff are registered in the Arizona Early Childhood Workforce Registry.</p> <p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>	<p>Evidence– Print-out of Registry participant list: <input type="checkbox"/></p> <p>Evidence (Other):</p> <p>Notes:</p>
<p>Instructional staff are given sufficient preparation or planning time to complete lesson planning, GOLD entry, planning time with classroom instructional staff team and etc.</p> <p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>	<p><i>Reviewer should 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):</p> <p>Notes:</p>
<p><b>Continuous Quality Improvement</b></p>	
<p>The program is enrolled in Quality First and is participating in the comprehensive Quality First services as identified by the HNC.</p> <p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>	<p>Evidence:</p> <p>What is the program's current star rating?</p> <p><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</p> <p>What is the program's previous star rating, if applicable?</p> <p><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</p> <p>Notes:</p>

<p>The program implements a system for self-evaluation based on the <i>PGHQ</i> and <i>ECQUIP</i>.</p> <p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>	<p>What is the program's self-evaluation tool?</p> <p>How is the program using the tool?</p> <p>Evidence:</p> <p>Notes:</p>
<p><b>Curriculum, Instruction, and Learning Environments</b></p>	
<p>The program has an evidence-based curriculum based on standards, thoughtful planning, and design.</p> <p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>	<p><i>Refer to "Preschool Curriculum":</i>  <a href="http://www.azed.gov/ece/preschool">www.azed.gov/ece/preschool</a>.</p> <p>What curriculum is the program using?</p> <p>Evidence:</p> <p>Notes:</p>
<p>Program ensures developmentally appropriate, culturally, and linguistically responsive instruction.</p> <p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>	<p><i>Reviewer should conduct a brief classroom observation of at least 10% of the sub-grantee's PDG funded classrooms. Refer to Standard 4 of the PGHQ:</i>  <a href="http://www.azed.gov/ece/resources">www.azed.gov/ece/resources</a>.</p> <p>Evidence:</p> <p>Notes:</p>
<p>The program is adhering 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"/></p> <p>No <input type="checkbox"/></p>	<p><i>Reviewer should 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 number of TSG portfolios.</i></p> <p>What is the ratio of children to instructional staff?</p> <p>Evidence:</p> <p>Notes:</p>
<p>Program ensures they are providing full-day services.</p> <p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>	<p><i>Reviewer should confirm that the classroom schedule reflects a 6 hour day and ask program: 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:</p> <p>Notes:</p>

<p>Program is enrolled in the Empower Program and has written policies to address each of the ten standards as a statement of intent or commitment to implement the evidence-based health and safety standards.</p> <p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>	<p>Evidence– Staff/program handbook: <input type="checkbox"/></p> <p>Evidence (Other):</p> <p>Notes:</p>
<p>The program 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"/></p> <p>No <input type="checkbox"/></p>	<p><i>Reviewer should 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):</p> <p>Notes:</p>
<p><b>Inclusion of Children with Special Needs</b></p>	
<p>The program participates in the local school district’s Child Find, and the “Child Find Analysis” has been uploaded into ALEAT by the defined ADE deadline.</p> <p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>	<p><i>Reviewer should request evidence that supports all components of the Child Find requirements. Programs 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:</p> <p>Date submitted into ALEAT: Date</p> <p>Date reviewed/accepted by ADE: Date</p> <p>Notes:</p>
<p>Notification provided to parents regarding their placement options for child enrollment in the least restrictive environment (LRE).</p> <p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>	<p><i>Reviewer should 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:</p> <p>Notes:</p>
<p>The program participates in the HNC’s system-building to improve outcomes for children with special needs to ensure that by PDG Year 4</p>	<p>How many PDG children with special needs are currently attending?</p> <p>If 0, what efforts is the program taking to support this</p>

<p>each classroom is serving at least 10% (or 2 per class) children with special needs.</p> <p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>	<p>component:</p> <p>Evidence– Written protocol for inclusion: <input type="checkbox"/></p> <p>Evidence (Other):</p> <p>Notes:</p>
<p><b>Fiscal</b></p>	
<p>Program 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"/></p> <p>No <input type="checkbox"/></p>	<p>Evidence:</p> <p>Date submitted into ALEAT: Date</p> <p>Date reviewed/accepted by ADE: Date</p> <p>Notes:</p>
<p>Original and legible records are kept for all goods and services purchased with grant funds.</p> <p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>	<p><i>Reviewer should confirm records such as purchase orders and seek evidence of equipment in classroom(s).</i></p> <p>Evidence:</p> <p>Notes:</p>
<p>A record of employee time and effort is maintained.</p> <p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>	<p>Evidence:</p> <p>Notes:</p>
<p>Administrative costs are at the allowable rate or lower.</p> <p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>	<p><i>For more information, see definition of administrative costs in the “PDG Guidance Manual”. Reviewer should confirm that the administrative costs do not exceed the allowable rate in GME.</i></p> <p>What is the program’s total award amount?</p> <p>What is the amount of the allowable administrative costs?</p> <p>What is the program’s total administrative cost in GME?</p> <p>Evidence:</p> <p>Notes:</p>
<p>Program ensures match funds at a minimum of</p>	<p><i>For more information, review matching funds section</i></p>

20% of the total cost of services.  Yes <input type="checkbox"/> No <input type="checkbox"/>	<i>in the "PDG Guidance Manual".</i> Evidence:  Notes:
<b>Attendance</b>	
The program 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:
The program maintains records of attendance of children in PDG classroom(s).  Yes <input type="checkbox"/> No <input type="checkbox"/>	How does the program record attendance? Evidence:  Notes:
The program 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:
The program has uploaded monthly attendance/ suspension forms into ALEAT by the 15 <sup>th</sup> of the month for the previous month's data.  Yes <input type="checkbox"/> No <input type="checkbox"/>	Evidence:  Notes:
Have any children from the PDG classroom/s been suspended or expelled within the current fiscal year?  Yes <input type="checkbox"/> If so, how many? No <input type="checkbox"/>	<i>Reviewer should request reasons for and documentation of any expulsions.</i> Evidence:  Notes:

**Completing the Monitoring Process:**

*Reviewer, if any of the components are marked as "NO", please review action steps and timeline with the sub-grantee/program 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 should be sent to the sub-grantee/program via email.*



## APPENDIX N: Professional Development Growth Plan

[Available on the ADE ECE Website](#)

### Individual Staff Professional Development Growth Plan

Name:  
Program/Site:

Date:  
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 O: Comprehensive Professional Development Plan**  
[Available on the ADE ECE Website](#)

Professional Development Need	Proposed Action	Anticipated Outcome	Timeline	Measures of Success
<b>Child Development</b> (Early Learning Standards, Teacher/Child interactions)				
<b>Observe and Assess</b> (Ongoing Progress Monitoring, Teaching Strategies GOLD, Inter-rater reliability, Self-reflection)				
<b>Safe and Healthy Environments</b> (Empower Program, Physical Development Health and Safety module)				
<b>Developmentally Appropriate Curriculum</b> (Early Learning Standards, Language Essentials for Teachers of Readings and Spelling)				
<b>Guidance and Group Management</b> (Social Emotional, Behavioral Management, Classroom Management, Licensing)				
<b>Relationships with Families</b> (Family Engagement, Parent/Teacher Interactions, Collaboration with Parents, Kindergarten Transition)				
<b>Family, Culture, and Society</b> (Social Studies, Social Emotional)				
<b>Professionalism</b> (Ethics, Communication, Dress code)				



## **Arizona Department of Education**

*The Arizona Department of Education does not discriminate on the basis of race, religion, color, national origin, sex, disability or age in its programs, activities or in its hiring and employment practices. If you have questions or grievances related to this policy, please contact the Administrative Services DAS at (602)542-3186.*