First 5 IMPACT (Improve and Maximize Programs so All Children Thrive)

Request for Application

July 2015

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I. INTRODUCTION

History of First 5 California

In 1998, California voters passed Proposition 10, the California Children and Families Act (the Act), which established the California Children and Families Commission, also known as First 5 California (F5CA), to promote, support, and improve the early development of children from the prenatal stage through five years of age. Since its inception, F5CA has launched innovative programs and services designed to help young children grow up healthy and be successful in school and in life.

Per the Act, the intent of Proposition 10 calls for F5CA to "facilitate the creation and implementation of an integrated, comprehensive, and collaborative system of information and services to enhance optimal early childhood development and to ensure that children are ready to enter school." The promise of F5CA is to continue to invest in systems and programs that directly benefit children and families, that build upon past accomplishments and the latest research, and that advocate for a sustainable early childhood system for future generations.

In addition to supporting the implementation of the Act, First 5 IMPACT (Improve & Maximize Programs so All Children Thrive) helps accomplish F5CA's mission to "convene, partner in, support, and help lead the movement to create and implement a comprehensive, integrated, and coordinated system for California's children prenatal through 5 and their families." It specifically addresses Strategic Priority Areas 1 and 2 and corresponding Goals 1.1, 1.2, 1.3, 2.1, and 2.2 (see Appendix A). Furthermore, it builds upon F5CA's past and current program investments and integrates recent research along with federal, state, and local direction to support F5CA's vision that "California's children receive the best possible start in life and thrive."[1]

The Need and Science

Each year, more than half a million babies are born in California. With approximately three million children ages 0 to 5, California has more children in this age span than any other state.[2] California also has the highest number of children in the U.S. living in poverty, contributing to a high number of families with limited access to the resources necessary to help children grow up healthy and ready to succeed. Nationally, 76 percent of children under the age of 5 with mothers in the workforce spend a significant amount of time in non-parental care arrangements, making high-quality early learning a priority. [3]

A robust body of research demonstrates high-quality early learning programs and services can improve young children's health, social-emotional, and cognitive outcomes; enhance school readiness; and help close the wide school readiness gap

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[1] F5CA 2014 Strategic Plan. http://www.ccfc.ca.gov/pdf/commission/resources/F5CA_Strategic_Plan.pdf
[2] *State of California, Department of Finance, Report P-3: State and County Population Projections by Race/Ethnicity, Detailed Age, and Gender, 2010-2060.* Sacramento, California, December 2014.
[3] Capizzano, J. Adams, G. & Sonenstein, F. (2000). Child care arrangements for children under five: Variation across states. Urban Institute. Series B, B-7 (March 2000).

that exists between children with high needs and their peers at kindergarten entry. [4,5,6,7] Children with high needs who participate in high-quality early learning benefit greatly, often exceeding national averages on measures of school readiness. In fact, when controlling for risk factors such as maternal education, race, and parents' ages, these gains persist. These children experience the benefits that result from early and effective instruction, which includes a focus on language and literacy, early math skills, and social-emotional competence. On the other hand, a child who is considered to have high needs and who does not receive quality early learning faces a life filled with disadvantages. Children with high needs are 50 percent more likely to be placed in special education classes, 25 percent more likely to drop out of school, 70 percent more likely to be arrested for a violent crime, and 40 percent more likely to become a teen parent.[8]

Researchers have conducted extensive studies and identified quality elements and "effectiveness factors" in early learning settings consistently associated with improving child outcomes. These include the following principle characteristics: highly skilled teachers, small class sizes, high adult-to-child ratios, age-appropriate curricula and stimulating materials, safe physical settings, language-rich environment, warm and responsive interactions between staff and children, and high and consistent levels of child participation.[9] Moreover, quality programs include connections to both health and home. Developmental screenings and follow up promote healthy cognitive, social-emotional, and physical development. Quality early learning programs also model and support positive parent-child interactions.[10]

Unfortunately, strong outcomes for children often are not achieved because much of the education and care provided in center-based facilities and family child care homes (FCCH) are not of sufficient quality. This is true of early learning experiences of children from both middle-class and lower-income families. Both access and quality must be

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[4] Camilli, G., Vargas, S., Ryan, S., & Barnett, W. S. (2010). *Meta-analysis of the effects of early education interventions on cognitive and social development*. Teachers College Record, 112(3), 579-620.

[5] Reynolds, A.J., Temple, J.A., Ou, S., Arteaga, I.A., & White, B.A.B. (2011). *School-based early childhood education and age-28 well-being: effects by timing, dosage, and subgroups*. Science, Retrieved from http://www.sciencemag.org/content/early/2011/06/08/science.1203618.abstract doi: 10.1126/science.1203618.

[6] Princiotta, D., Flanagan, K. D., and Germino Hausken, E. (2006). *Fifth Grade: Findings From The Fifth-Grade Follow-up of the Early Childhood Longitudinal Study, Kindergarten Class of 1998–99 (ECLS-K)*. (NCES 2006-038) U.S. Department of Education.

[7] Halle, T., Forry, N., Hair, E., Perper, K., Wandner, L., Wessel, J., & Vick, J.(2009). *Disparities in Early Learning and Development: Lessons from the Early Childhood Longitudinal Study – Birth Cohort (ECLS-B)*. Washington, DC: Child Trends.

[8] Ounce of Prevention, http://www.ounceofprevention.org/about/why-early-childhood-investments-work.php.

[9] *A Science-Based Framework for Early Childhood Policy: Using Evidence to Improve Outcome in Learning, Behavior, and Health for Vulnerable Children*. Center on the Developing Child, Harvard University. National Forum on Early Childhood Program Evaluation; National Scientific Council on the Developing Child.

[10] ECE Consensus Letter for Researchers | nieer.org. (n.d.). Retrieved January 5, 2015, from http://nieer.org/publications/ece-consensus-letter-researchers.

addressed in order to reduce the achievement gap.[11] Access to programs of insufficient quality does not produce positive outcomes for children and may actually worsen early disparities in development. A recent report published by the U.S. Department of Education stated, "As a nation, we must ensure that all children, regardless of income or race, have access to high-quality preschool opportunities."[12] First 5 IMPACT takes the next step in striving to achieve that goal for all children in California birth through age 5.

Continued Commitment

A critical focus of F5CA and many of our partners across the state, including First 5 county commissions, is supporting California's youngest learners and helping ensure children ages 0 to 5, especially children with high needs, enter kindergarten ready to succeed in school and in life. To address the school readiness gap, F5CA has identified strengthening the quality of early learning programs for all children, particularly those with high needs, as a key strategy. In addition, engaging and strengthening families in the early learning process is critical to a child's ability to grow and thrive and therefore is a critical component in the implementation of this strategy.

Since 2000, F5CA's ongoing commitment to improving the quality of early learning experiences and environments, along with children's optimal physical, emotional, and general health, positions it as an effective child development champion. F5CA will continue to build on and enhance evidence-based programs while integrating the best of past F5CA funding initiatives. Through past investments in programs such as the Power of Preschool (PoP), the Comprehensive Approaches to Raising Educational Standards (CARES) Plus, and the Child Signature Program (CSP), F5CA and the First 5 county commissions have helped meet the critical need in our state for making quality early learning programs accessible to children and families of greatest need.[13]

Authority and Funding Summary

California Health and Safety Code (HSC) Section 130105(d)(1)(B) authorizes the expenditure of funds from the California Children and Families Trust Fund to ensure that children are ready to enter school. It also authorizes the development of programs focusing on education, including, but not limited to, the development of educational materials, professional and parent education and training, and technical support for county commissions. HSC Section 130125(i) provides F5CA the authority to allocate funds to county commissions to carry out the purposes of the Act.

In April 2015, the F5CA Children and Families Commission approved a total of $190 million in funding for FYs 2015–16 through 2019–20 for First 5 IMPACT (http://www.ccfc.ca.gov/pdf/F5IMPACT.pdf) without fiscal year constraints and as long as sufficient resources exist to expend the allocated funds. Building on F5CA's past

[11] *Equalizing Opportunity in California*. Stanford Pathways, Winter 2015.
[12] United States Department of Education, *Report A Matter of Equity: Preschool in America.* Washington D.C., April 2015.
[13] Between fiscal years (FY) 2012–13 and 2014–15, the State Commission authorized $177 million for CSP and CARES Plus with significant additional investments from 2000-2012 in similar programs.

investments and state and local investments in Quality Rating and Improvement Systems (QRIS), First 5 IMPACT supports a continuum of quality open to all counties and helps build capacity across the state while supporting quality across the continuum of setting types.[14]

The period of funding and program authority to operate First 5 IMPACT is July 1, 2015, through June 30, 2020, based on a state fiscal-year basis (July 1 through June 30). Local expenditures prior to and after the period of program authority will not be eligible for reimbursement.

II. FIRST 5 IMPACT OVERVIEW AND DESIGN

Purpose and Goals

The purpose of First 5 IMPACT is to support a network of local quality improvement systems to better coordinate, assess, and improve the quality of early learning settings. First 5 IMPACT is an innovative approach that forges partnerships between F5CA and counties to achieve the goal of helping children ages 0 to 5 and their families thrive by increasing the number of high-quality early learning settings, including supporting and engaging families in the early learning process. Supporting more sites to achieve high-quality standards helps ensure more of California's children enter school with the skills, knowledge, and dispositions necessary to be successful. It provides families the information and support they need to promote and optimize their children's development and learning, both inside and outside the home.

California Quality Rating and Improvement System

A foundation of the First 5 IMPACT work is the California QRIS (CA-QRIS) Framework which stems from the Race to the Top-Early Learning Challenge (RTT-ELC) grant.[15] As depicted in Figure 1 below, the CA-QRIS includes the Rating Matrix (Appendix D) and the Continuous Quality Improvement Pathways (CQI Pathways) (Appendix E). It encompasses 15 elements of quality including seven rated elements and eight elements on the CQI Pathways. For purposes of First 5 IMPACT, the CA-QRIS is inclusive of a continuum of quality improvement efforts ranging from quality improvement (QI) efforts with a single focus, such as family engagement, to a quality improvement system (QIS) that covers multiple quality elements, such as CARES Plus, and finally to a full QRIS which includes rating and public outreach.

[14] First 5 county commissions have first right of refusal to apply for First 5 IMPACT funds.
[15] Glossary and Acronyms referenced in this document can be found in Appendices B and C respectively.

Figure 1: CA-QRIS Framework Elements

CA-QRIS Framework (15 total elements)	
Elements in the Rating Matrix (7 elements)	**Elements in the CQI Pathways (8 elements)**
CORE I: Child Development and School Readiness	
1. Child Observational Assessments 2. Developmental and Health Screenings	1. School Readiness 2. Social-Emotional Development 3. Health, Nutrition, and Physical Activity
CORE II: Teachers and Teaching	
3. Qualifications for Lead Teacher/FCCH Owner (Education and Professional Development) 4. Classroom Assessment Scoring System® (CLASS®)	4. Effective Teacher-Child Interactions 5. Professional Development
CORE III: Program and Environment	
5. Ratios and Group Size (Centers only) 6. Environment Rating Scales (ERS) 7. Director Qualifications (Centers only)	6. Environment 7. Program Administration 8. Family Engagement

Alignment, Connections, and Key Components

First 5 IMPACT is designed to incorporate recent research and effective practices from current and past local, state, and federal initiatives; and leverage existing resources, including non-First 5 dollars. It evolved from concept to design based on extensive First 5 county and stakeholder input. In December 2014, a statewide representation of county First 5 executive directors and F5CA staff developed "Principles of the California Quality System of Support."[16] Overarching themes include prioritizing leveraging of non-First 5 dollars, allowing for local flexibility, and utilizing and aligning with the CA-QRIS Framework. The development group also decided First 5 IMPACT should be research-based and provide an opportunity for innovation. The RTT-ELC framework, which became the CA-QRIS, drew on nationally recognized effectiveness factors that lead to improved learning and development outcomes for children, including quality criteria components from F5CA's PoP Program. In addition to the RTT-ELC work, First 5 IMPACT also aligns with the California Department of Education's (CDE) California State Preschool Program (CSPP) QRIS Block Grant (http://www.cde.ca.gov/fg/fo/r2/csppqris1516rfa.asp), Promise Zone and Neighborhoods, and Early Head Start-Child Care Partnership Grants**.**

The intent of First 5 IMPACT is to work in cooperation with other quality improvement efforts and investments to support the implementation of the CA-QRIS Framework,

[16] January 2015 First 5 Commission Meeting. Appendix A, Principles of the California Quality System of Support.

including strengthening family participation in early learning. First 5 IMPACT alone does not provide sufficient funding to cover the whole system and support all setting types. Rather, it is designed to align with and leverage other initiatives and funding sources, such as the CSPP QRIS Block Grant, the Infant/Toddler QRIS Block Grant, RTT-ELC, Child Care and Development Block Grant Quality Improvement investments (e.g., CDE Quality Projects), and local quality projects to expand efforts and reach more diverse settings. Where the CSPP QRIS Block Grant supports quality in CSPP, First 5 IMPACT and the Infant/Toddler QRIS Block Grant will support quality improvements in other program types. Collectively, these investments provide the opportunity to serve a full spectrum of program types, expand the reach of QRIS, and effectively increase quality throughout the state.

First 5 IMPACT emphasizes local flexibility, partnerships with counties, local and regional capacity-building efforts, and fosters innovation by incorporating state and federal promising practice models. In addition, by using the same quality framework (CA-QRIS) as other major initiatives mentioned above, First 5 IMPACT promotes alignment both horizontally across systems that serve the same age children (e.g., child care, Head Start, CSPP, early intervention services) and vertically to provide continuity and coordination as they participate in services for children ages 0 to 5.[17]

Other key components of First 5 IMPACT include effective teacher-child interactions, family engagement and strengthening, and inclusion of priority populations, such as children with disabilities and other special needs, dual language learners (DLL), and infants and toddlers. Specifically, First 5 IMPACT supports parents and families as their children's first teachers by providing them with the information and support they need to optimize their children's development and learning, including connections to the *Talk. Read. Sing.*® campaign. It also incorporates culturally and linguistically effective strategies to engage families and their children who are DLLs and families who have children with disabilities and other special needs. Additionally, First 5 IMPACT will link to F5CA's future DLL and Family Engagement Pilots, which are under currently development.

First 5 IMPACT Funding Structure and Application Process

First 5 IMPACT funding supports four key areas, including County/Regional Allocations, Regional Training and Technical Assistance (T&TA) Hubs, State-level System Support and Statewide T&TA, and Evaluation and Research Projects. The County/Regional Allocations will be distributed using a layered funding approach. The three layers are Base Layer Funding, Implementation Step Layer Funding, and Incentive Layer Funding. This funding is further described in Section VI.

First 5 county commissions have priority and first right of refusal to apply for First 5 IMPACT and to serve as the Lead Agency. This information will be gathered by submission of a Letter of Intent (LOI). Application for First 5 IMPACT funding will take place through a two-phased (Phase 1 and Phase 2) application process. Phase 1 of the

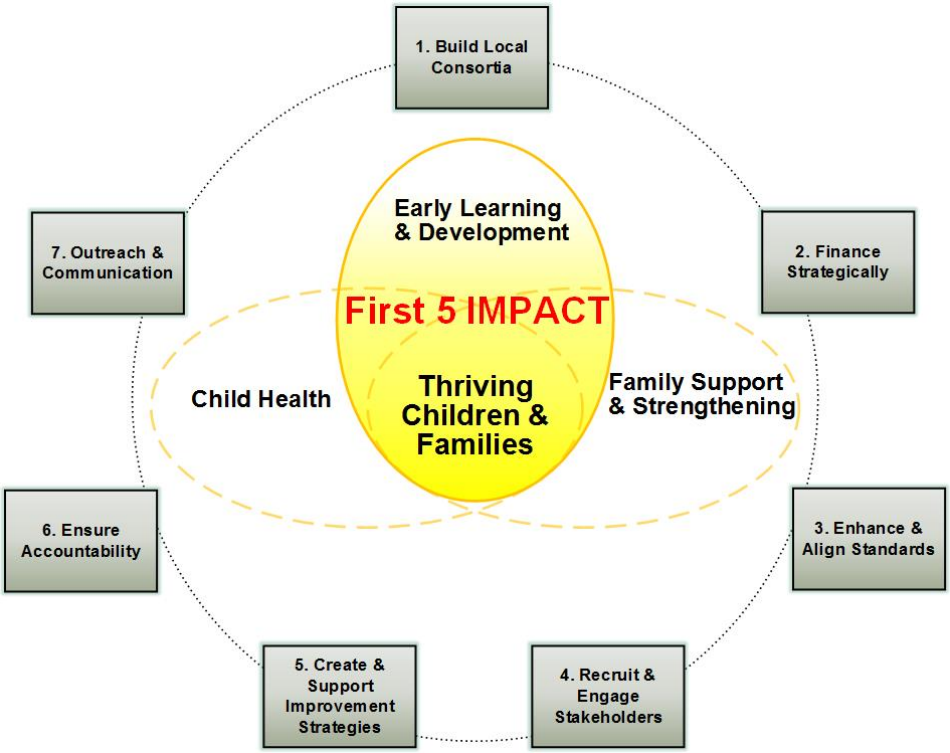
[17] *Birth to 5 and Beyond: A Growing Movement in Early Education.* Zero to Three, July 2006.

First 5 IMPACT RFA will determine eligibility for Base Layer funds. The Phase 1 application will include an Inventory of Current Community Assets (Asset Map). The Phase 2 Application will determine eligibility for First 5 IMPACT Implementation Step Layer funds. The application will include a High-Quality Action Plan describing how First 5 IMPACT funds will support the local CA-QRIS. The LOI, application process, and requirements are further described in Section IV.

CA-QRIS and Seven System Functions

The primary focus of First 5 IMPACT is coordinating and improving the quality of the early learning settings through implementation of the CA-QRIS Framework. First 5 IMPACT funds target the intersection of three key systems within the Comprehensive Early Childhood System – Early Learning and Development, Child Health, and Family Support and Strengthening (see Figure 2 below). [18]

Figure 2. Comprehensive Early Childhood System and First 5 IMPACT Seven System Functions



Additionally, to reach the desired outcome of thriving children and families, the seven First 5 IMPACT system functions must be effectively coordinated. These seven system

[18] The CA-QRIS Framework, embedded within the Early Learning and Development System, also aligns with F5CA's other investments in CSP and CARES Plus (see Appendix F).

functions are further described in Section V, as well as in the First 5 IMPACT High-Quality Action Plan (Form 3).

In addition, F5CA's future DLL and Family Engagement pilots and investments, as well as county-funded and leveraged efforts, will support connections to the Child Health and Family Support and Strengthening systems as follows:

- **Child Health** – These are strategies that support quality in early learning programs addressing behavioral, developmental, and health needs. These include, but are not limited to, early identification and developmental screenings and referrals; oral health; nutrition; social-emotional development; and physical activity. Strategies are also inclusive of local, state, and national programs and partners such as *Help Me Grow* and the Collaborative on the Social and Emotional Foundations for Early Learning (CSEFEL).

- **Family Support and Strengthening** – This includes linguistically and culturally sensitive family support strategies that promote and enhance the parent-child relationship, provide parents with information about their children's growth and development, and encourage parents' involvement and advocacy in their children's education, health, and development through a variety of school readiness and home visiting strategies. It also refers to strengthening families by assisting with access to social supports for needs such as employment assistance, shelter, food, health care, substance abuse treatment, family counseling, domestic violence, and English-as-a-Second-Language (ESL) classes. Strategies include, but are not limited to, Strengthening Families; Touchpoints; Parents as Teachers; The Special Supplemental Nutrition Program for Women, Infants, and Children (WIC); Raising a Reader; Triple P; Parent-Child Interaction Therapy; and Child-Parent Psychotherapy.

County/Regional CA-QRIS Implementation

First 5 IMPACT funding will be used to support local efforts linked to the CA-QRIS to ensure integration and coordination across systems (Early Learning and Development, Family Support and Strengthening, and Child Health). Local efforts funded by First 5 IMPACT will focus on improving the quality of early learning sites and be inclusive of all settings across the early learning continuum, including licensed centers and FCCH; legally license-exempt centers; family, friend, and neighbor (FFN) care; and alternative settings for children ages 0 to 5. Alternative settings encompass community and home-based settings which are not child care or preschool sites and provide early learning and school readiness services to parents and young children. These include, but are not limited to, Early Head Start Home-Based Services, and family support and school readiness groups held at family resource centers, Boys and Girls Clubs, and libraries. This focus supports continuous quality improvement (CQI) for participating sites, and ultimately ensures a system of quality and information for children and families.

For the purposes of First 5 IMPACT, a local consortium refers to a local entity, administered by a Lead Agency, which convenes a planning body to design and implement a local CA-QRIS model. A regional consortium refers to a group of counties within a geographic region that collaborate to submit an application for First 5 IMPACT and design and implement a common local CA-QRIS model across the region.

First 5 IMPACT will support the implementation, evaluation, and expansion of the CA-QRIS Framework by allowing consortia and their early learning sites to enter at their selected level of implementation along the continuum. Counties or regions will apply to participate in First 5 IMPACT in one or more of the three Implementation Steps based on local need and selection: 1) Quality Improvement (QI); 2) Quality Improvement System (QIS); and/or 3) QRIS (see Figure 3 below and Appendix G for further detail and examples). Based on the Implementation Step they choose, counties will need to integrate a minimum number of elements from the CA-QRIS (see Figure 1) as well as the system functions (see Figure 2). Mindful that local CA-QRIS models will most likely operate with sites engaged across the Implementation Step spectrum, First 5 IMPACT allows for a continuum of participation (see Section VI, for more information on how this affects the funding formula).

Figure 3: First 5 IMPACT Implementation Steps

Step	CA-QRIS Framework Elements	System Functions	Quality Improvement Plan	Tiered Rating
Step 1 - QI	Minimum of one element: Local decision	Minimum of six system functions, must include: • Build Local Consortia • Finance Strategically • Recruit and Engage Participants • Enhance and Align Standards • Create and Support Improvement Strategies • Ensure Accountability	Not required	Not required
Step 2 - QIS	Minimum of four elements, must include: • Teacher-Child Interactions • Family Engagement	Minimum of six system functions, must include: • Build Local Consortia • Finance Strategically • Recruit and Engage Participants • Enhance and Align Standards • Create and Support Improvement Strategies • Ensure Accountability	Required of all sites	Not required
Step 3 - QRIS	All elements of Rating Matrix From Pathways, must include: • Teacher-Child Interactions • Family Engagement	All seven system functions	Required of all sites	Required

The design of First 5 IMPACT is intentionally flexible enough to accommodate unique local infrastructure needs and focus areas, but also targeted to address critical elements found to improve child outcomes. Specifically, strategies that address effective teacher-child interactions and family engagement and strengthening are required at Implementation Steps 2 and 3.

Moreover, essential system functions must be developed at a county/regional level in all Implementation Steps. This approach places emphasis on building partnerships, fiscal strategies, and effective communication from the start, with the ultimate goal of sustaining strong systems.

First 5 IMPACT Regional Training and Technical Assistance Hubs

Regional T&TA Hubs will be developed to support counties in achieving their goals for First 5 IMPACT through coordination and project management activities for counties in all Implementation Steps. T&TA Hubs will become a formal structure to help counties coordinate efforts regionally, build capacity, increase efficiency, leverage local and state resources, and build on their existing strengths. By leveraging the needs and assets of counties in a similar region or with similar needs or interests, T&TA Hubs can build cross-county networks of support and learning communities, promote cross-county resource-sharing and problem solving, and help counties integrate county, state, and national research and promising practices into First 5 IMPACT work.

T&TA Hubs will play two essential roles to support counties and regions:

1. Basic coordination, project management, and systems-building activities (e.g., asset mapping) for counties participating in the T&TA Hub

2. Specialized support for counties in the region and across the state, if needed, for at least one additional activity or element from the CA-QRIS and/or function of the local IMPACT systems to increase county capacity or improve system efficiency (e.g., house a Regional Anchor for supporting QRIS assessors or master coaches)

Acting as the “Master-Hub” for First 5 IMPACT, F5CA will coordinate T&TA Hub activities within and across regions, ensure the T&TA Hubs receive state-level T&TA supports needed to carry out basic coordination and specialization activities, and work with external contractors delivering services to them, as needed. A Request for Applications (RFA) for T&TA Hubs will be released in the near future.

First 5 IMPACT’s State-Level System Supports and Statewide Training and Technical Assistance

First 5 IMPACT’s state-level system supports and statewide T&TA include projects and resources for counties, the T&TA Hubs, and the early educator workforce in three major system areas: system supports, early educator workforce supports, and policy and public outreach supports.

1. System Supports

Strategies for system-related supports include training and facilitation to support systems development and coordination (e.g., asset mapping, QRIS annual summit, workgroups, and learning communities); assessor inter-rater reliability training, support for uniform data collection (e.g., workforce registry and QRIS databases),

and connections to Child Health and Family Support and Strengthening.

2. **Early Educator Workforce Supports**

   Strategies to support early educators and administrators include continuing and expanding CARES Plus-related efforts and offering specific training to support cultural, linguistic, and equity competence; promoting early educator-family connections; and improving coaching skills. State-level supports will focus on higher education (e.g., embedding practice-based coaching into coursework), coaching and training institutes to support effective coaches, evidence-based trainings linked to the CA-QRIS, and specific training and partnerships to engage and support family child care (FCC) and FFN. Connections to the *Talk. Read. Sing.*® campaign will be made so early educators can both inform and support parents and act on the knowledge themselves within their early learning settings.

3. **Policy and Public Outreach Supports**

   These are multi-fold strategies to support policy, outreach, and communication include building public will and knowledge through a messaging campaign and increasing parents demand for quality programs. Engaging other state agencies and partners on a shared agenda will be key to this work.

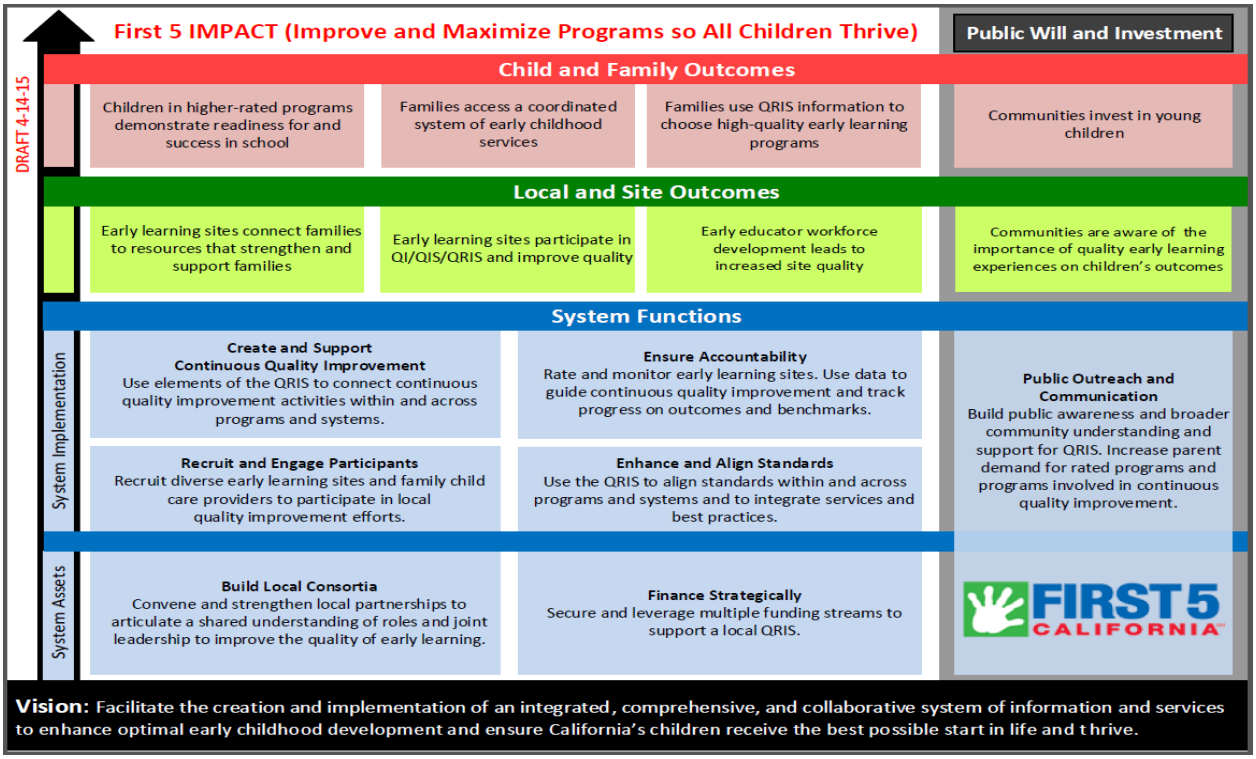
III. EVALUATION, DATA COLLECTION, AND REPORTING

Evaluation Framework

The evaluation of First 5 IMPACT is framed by the First 5 IMPACT Strategy Map describing system functions and outcomes (Figure 4). For the purpose of describing a system and how its partners can support outcomes, a strategy map can be more useful than a standard program logic model because systems operate dynamically across multiple levels of partners and stakeholders.[19] The First 5 IMPACT Strategy Map includes the seven essential system functions of a Comprehensive Early Childhood System (infrastructure components that support quality improvement and measurement), local and site outcomes, and overall child and family outcomes. Together these aspects of a system can be shaped by strategies supporting integrated, comprehensive, and collaborative systems that give young children the best start in life.

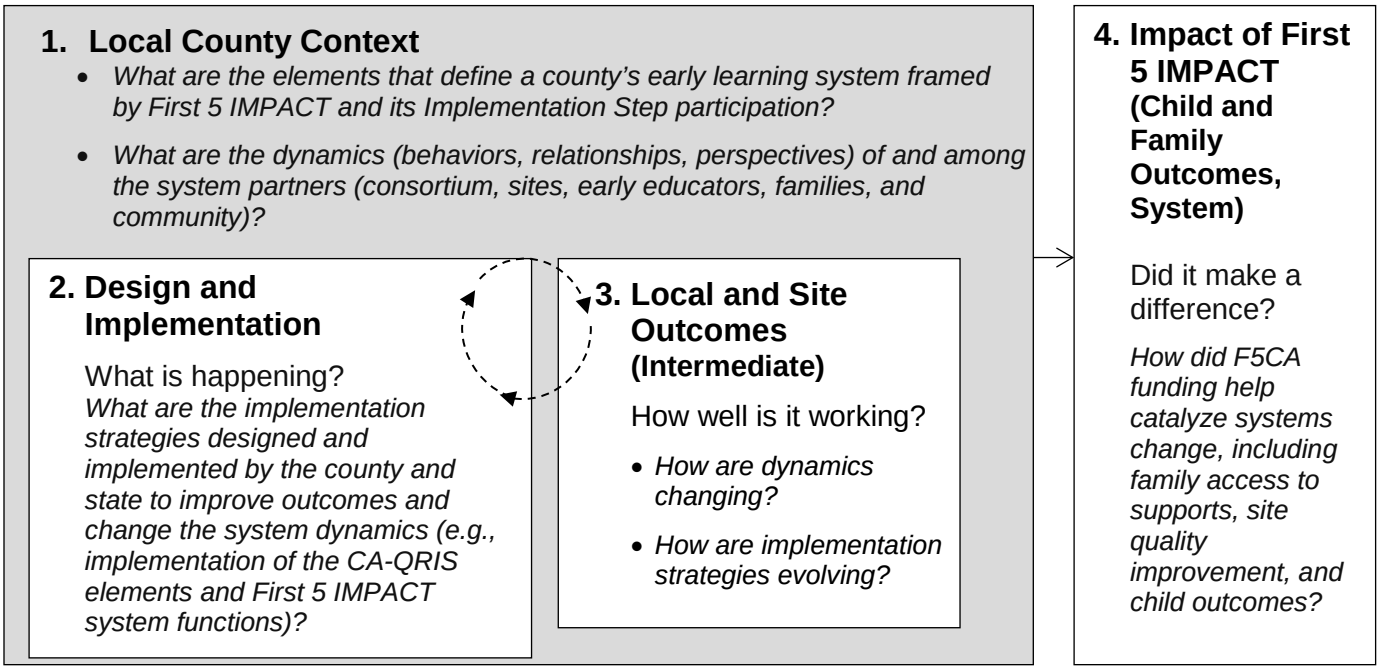
[19] Kaplan, R. S., & Norton, D.P. (2004). *Strategy Maps: Converting Intangible Assets into Tangible Outcomes.* Boston, Massachusetts, USA: Harvard Business School Press.

Figure 4: First 5 IMPACT Strategy Map



Evaluation activities for First 5 IMPACT are informed by an Evaluation Framework (Appendix H) with three evaluation paradigms: formative (exploratory and descriptive), summative (descriptive and explanatory), and developmental (flexible and emergent) evaluation. Data will be collected on the characteristics of participating stakeholders and what is being implemented, as well as the outcomes of those implementation efforts. Importantly, activities, outcomes, and impacts have the potential to both change and become changed by local context. Thus, the evaluation will study the interplay among context, implementation activities, and outcomes as depicted in Figure 5 below. Appendix H provides more detailed information about the Evaluation Framework, including phases of evaluation work, evaluation paradigms, and questions related to system functions.

Figure 5: First 5 IMPACT Evaluation Framework[20]



Borrowing from literature on collective impact, the First 5 IMPACT Evaluation Framework (Figure 5 above) is proposed as three phases to gather data about both implementation and outcomes.

- Throughout the implementation of First 5 IMPACT, Phase 1 of the evaluation will begin in the first year by collecting data about local context and basic implementation strategies. It will incorporate common data fields differentiated by the consortium's Implementation Step along with the Annual Performance Report (APR) about implementation successes, challenges, and lessons learned.

- Beginning in the second year, the evaluation design calls for exploring the expected local and site outcomes (Phase 2 of the evaluation) detailed in the counties' High-Quality Action Plans as well as child and family outcomes (Phase 3 of the evaluation). Along with data collection efforts to understand the impact on children's readiness for school, these phases will supplement Phase 1 data with targeted efforts, including, but not limited to, surveys, focus groups, key informant interviews, systems maps, and case studies to understand more complex relationships that effect outcomes and impact.

[20] Preskills, H., Parkhurst, M., & Juster, J.S. (n.d.). *Guide to Evaluating Collective Impact: Learning and Evaluation in the Collective Impact Context*. Collective Impact Forum, http://www.fsg.org/tabid/191/ArticleId/1098/ accessed April 9, 2015.

General Evaluation Responsibilities

Because First 5 IMPACT addresses a system in support of improved quality and outcomes; much of the important information about the initiative is qualitative. Therefore, program reports are included as important information supporting the evaluation process.

Evaluation Activities

Lead Agencies will participate in the following program and evaluation activities:

- First 5 IMPACT High-Quality Action Plans including Performance Measure Targets and Asset Mapping
- First 5 IMPACT APR
- First 5 IMPACT Common Data Fields. Appendix I provides a draft summary of the common data fields to be submitted, including differing data elements for Implementation Steps 1, 2, and 3.
- Evaluation Workgroup and Subgroups. A multi-county evaluation workgroup will provide a collaborative forum for monitoring and proposing successful evaluation activities focused on programs, early educator, family, and community outcomes. Workgroup meetings may be conducted in-person or virtually, as needed. The Evaluation Workgroup may propose relevant subgroups such as:
    - CQI data development to identify key sources and levels of data for monitoring improvement including discussion of usefulness of local QRIS data systems or Workforce Registry data.
    - Data sharing to explore useful monitoring models and evaluation models that may be shared across Lead Agencies for First 5 IMPACT evaluation.
    - Evaluation advisory to support the First 5 IMPACT research agenda.
- Lead Agency surveys to assess emerging system issues.

To the extent possible, F5CA will collect required program and evaluation reports and surveys using online tools.

Human Subjects Protection and Data Security

To meet requirements for human subjects' protection under the state government institutional review board, Lead Agencies will:

- Follow protocols approved by the state Committee for the Protection of Human Subjects (CPHS) including use of relevant notices or consent forms provided by F5CA for early educators, parents, or other individuals indicated.

- Maintain local data securely by administrative, electronic, or physical safeguards in general accordance with the *CPHS Data Security Requirements* document: http://www.oshpd.ca.gov/Boards/CPHS/DataSecurityRequirements.pdf.

Evaluation in Support of First 5 IMPACT Research Agenda

Lead Agencies will be required to participate in evaluation sponsored by F5CA related to CA-QRIS rating validation and to child outcomes. With input from the Evaluation Workgroup, Lead Agencies also may participate in other evaluations related to the DLL Pilot, the Family Engagement Pilot, and other potential research projects.

Evaluation will comprise part of the First 5 IMPACT research agenda including focus areas of CA-QRIS rating validation, child outcomes, early educator practice, healthy development and learning, DLLs, and family engagement. F5CA intends to engage Lead Agencies in the planning and implementation of an evaluation for First 5 IMPACT. In order to maximize useful evaluation knowledge with the least possible burden to participating agencies, the Evaluation Workgroup will provide input to shape evaluation efforts.

Data Systems

Lead Agencies will participate in the use, development, or revision of data systems for First 5 IMPACT, including:

- Use of a QRIS data system (developed locally or using an external system, county or T&TA Hub-based) to manage and prepare data for the site-based common data field file submission. Electronic file validation methods may be used by F5CA before the common data fields file is accepted from a Lead Agency.

- Participation in T&TA Hub (workgroups) and county mentoring related to data systems planning, development, and implementation.

- Possible use of the F5CA CARES Plus data systems, depending on county and regional data needs assessment, in collaboration with T&TA Hub data system planning.

- Possible use of the California Early Care and Education Workforce Registry (Registry). As the Registry expands beyond the current pilot phase, F5CA and Consortia will explore using this data system to track ongoing professional development of early educators and sites supported by First 5 IMPACT.

Program and Evaluation Data Reporting Schedule

Figure 6 describes reporting and data activities supporting the evaluation of First 5 IMPACT. Included are due dates, reports or data to be reported to F5CA by Lead Agencies, and evaluation activities to be led by F5CA.

Figure 6. First 5 IMPACT Program and Data Reporting Schedule

Due Dates		Lead Agency Reporting to F5CA	Anticipated Evaluation Activities Led by F5CA
2015	November	First 5 IMPACT High-Quality Action Plan with: • Performance Measure Targets • Asset Map	
2016	March		• Baseline survey of state agency administrators to determine status of collaboration related to quality, led by F5CA • Form and convene Evaluation Workgroup[21] to collaborate on ongoing research agenda for First 5 IMPACT (e.g., CA-QRIS rating validation, child outcomes, early educator practice, healthy development and learning including DLL, and family engagement), data systems, etc.
	September	• APR • First 5 IMPACT Common Data Fields	
2017	September	• APR • First 5 IMPACT Common Data Fields	
2018	March	• Survey/focus groups of parents and community to gauge understanding and influence of First 5 IMPACT, co-developed	• Survey/focus groups of parents and community to gauge understanding and influence of First 5 IMPACT,

[21] Evaluation Workgroup: F5CA evaluation activities will be developed in consultation with the First 5 IMPACT Evaluation Workgroup. The evaluation workgroup will help identify emerging issues related to the First 5 IMPACT research agenda and may recommend topical subgroups.

		with F5CA and county partners, administered by the consortium	co-developed with F5CA and county partners, administered by the consortium
	September	• APR • First 5 IMPACT Common Data Fields	
2019	January		• Follow-up survey of state agency administrators to determine status of collaboration related to quality led by F5CA
	September	• APR • First 5 IMPACT Common Data Fields	
2020	September	• APR • First 5 IMPACT Common Data Fields	

IV. F5CA IMPACT FUNDING APPLICATION

This section covers who is eligible to apply, critical dates, application submission requirements, and funding information.

Eligible Applicants

An eligible applicant refers to the Lead Agency that ultimately submits the First 5 IMPACT Letter of Intent (LOI) and application. A qualifying Lead Agency may either be a First 5 county commission or a Local Public Entity (LPE), as further defined below.

Lead Agencies are encouraged to collaborate whenever feasible to create cohesive programs, share resources, and reduce administrative costs. Inter-county collaboration (including specified partners) on a single application is required, and counties are encouraged to regionalize when advantageous. The Lead Agency must be located within the submitting county or within a participating county if more than one county forms a collaborative region.

The Lead Agency is responsible for developing a consortium consisting of organizations with the same goals and objectives to improve the quality of early learning. At the local level, each consortium must include, at a minimum as applicable, the First 5 county commission, CSPP Block Grant lead, Local Educational Agency(ies) (e.g., county office of education, school district), RTT-ELC lead, Local Child Care Planning Councils, local Resource and Referral agencies, institutions of higher education, and other local entities as determined by the Lead Agency. Consortia members also may include entities and

organizations in the region with the same goal of improving the quality of early learning (see Form 2).

Counties must identify sites serving children with high needs as a primary population of service (see Appendix B for this definition).

First 5 County Commissions

First 5 county commissions have priority and first right of refusal to apply for First 5 IMPACT and to serve as the Lead Agency in their respective counties. To establish its designation as the Lead Agency, the First 5 county commission must submit an LOI by July 13, 2015. The instructions for completing the LOI are detailed in Form 1.

Local Public Entity

In the event a First 5 county commission chooses not to act as the Lead Agency, F5CA will accept an LOI from an LPE. All Lead Agencies, if other than a First 5 county commission, will be required to provide evidence of existing capacity to carry out and implement similar programs, and to meet the specific program and fiscal requirements of First 5 IMPACT.

An LPE applicant must be located within the county it wishes to serve or within a participating county if more than one county wishes to establish a collaborative region for First 5 IMPACT. To be considered as a Lead Agency, the LPE must submit an LOI by July 20, 2015. The instructions for completing the LOI are detailed in Form 1.

For purposes of this RFA, F5CA uses California Government Code, Section 940.4., to define an LPE as a "county, city, district, public authority, public agency, and any other political subdivision or public corporation in the state, but does not include the State."

Note: First 5 county commissions that submit an LOI will be identified and a list will be posted on Tuesday July 14, 2015, to the First 5 IMPACT website (http://www.ccfc.ca.gov/programs/programs_impact.html). This will give an LPE the opportunity to apply for First 5 IMPACT in a county where the First 5 county commission declined to participate, and submit an LOI by the deadline of Monday, July 20, 2015.

Regional Consortium

A First 5 county commission or LPE also may serve as the Lead Agency for a geographic region or group of counties. The regional consortium members must collaborate to submit one High-Quality Action Plan, including the LOI (Form 1), Phase 1 Application (Form 2), and Phase 2 (Form 3).

The regional Lead Agency must:

- Obtain all consortium partner signatures required in the Phase 2 Application (Form 3: High-Quality Action Plan) from each participating county.

- Serve the minimum number of sites identified in this RFA for each county included in the regional consortium.

Critical Dates for the First 5 IMPACT Request for Applications

Date	Critical Event
July 1, 2015	The **F5CA IMPACT RFA** is available on the F5CA website at http://www.ccfc.ca.gov/programs/programs_impact.html
July 8, 2015	**RFA Information Session** A First 5 IMPACT RFA information session webinar will be held to review the content of the First 5 IMPACT RFA with potential Lead Agencies. This webinar will provide information regarding the content of this RFA and allow counties an opportunity to ask questions. Any county commission or LPE interested in submitting an application is encouraged to participate in this RFA Information Session webinar: Date: Wednesday, July 8, 2015 Time: 2:00 – 4:00 p.m. Registration: https://attendee.gotowebinar.com/register/8235953787937575937 Dial-in number: 800-369-2176 Passcode: 8652859 **Questions regarding this RFA will be answered during the information session webinar.** Additional questions regarding this RFA will be accepted in writing **by e-mail or by fax through Friday, July 17, 2015.** Please use "First 5 IMPACT RFA Question" as the subject heading and send all questions to F5CA: E-mail: F5IMPACT@ccfc.ca.gov or Fax: (916) 263-1360
July 13, 2015 **5:00 p.m.**	**LOI** due to F5CA **by 5:00 p.m.** for First 5 county commissions requesting to apply for First 5 IMPACT funding.

July 14, 2015	Names of First 5 county commissions having submitted LOIs posted on the F5CA website.
July 20, 2015 **5:00 p.m.**	**LOI** due to F5CA **by 5:00 p.m.** for LPEs wishing to apply for First 5 IMPACT funding AND the First 5 county commission chooses not to apply.
July 21, 2015	Final list of Lead Agencies having submitted LOI posted on the F5CA website.
August 10, 2015 **5:00 p.m.**	**Phase 1 of the First 5 IMPACT** application due to F5CA **by 5:00 p.m.** Applications must arrive at the F5CA office by this date and time in order to be accepted and reviewed.
August 12–21, 2015	**Application Review Period for Phase 1 Base Layer Funds**.
August 28, 2015	**"Intent to Award"** announcement for Phase 1 Base Layer Funds posted. This is an initial notification and is not the final list. The final funding list will be posted on the F5CA website when all data is verified. Lead Agencies are advised not to obligate funds based on this list.
November 9, 2015 **5:00 p.m.**	**Phase 2 of the First 5 IMPACT** application due to F5CA **by 5:00 p.m.** Applications must arrive at the F5CA office by this date and time in order to be accepted and reviewed.
November 11–30, 2015	**Application Review Period for Phase 2 Step Layer Funds**.
December 2, 2015	**"Intent to Award"** announcement for Phase 2 Step Layer Funds posted. This is an initial notification and is not the final list. The final funding list will be posted on the F5CA website when all data is verified. Lead Agencies are advised not to obligate funds based on this list.
December 18, 2015	**Final funding list** for award recipients will be posted on the F5CA website.

RFA Application Submission Requirements

Applications must be developed and submitted in accordance with the terms described herein. Applications must be complete when submitted. All Lead Agencies agree that by submitting an application, they authorize F5CA to verify all information submitted.

Additionally:

- All applications must be received via e-mail, or mailed on a flash drive, and sent in Microsoft Word and Excel formats. However, consortium partner signatures (Form 3) and any page requiring Lead Agency signature may be sent in PDF format.

- The application must be in 12-point Arial, with one-inch margins, and standard letter-size.

F5CA requests information in the application is thorough, yet as concise as possible. Do not attach additional pages or information not requested in the application.
The application must be submitted in the following three stages:

1. **Application Submission Requirements for the LOI:**

   In the event the Lead Agency is a First 5 county commission, F5CA must receive an electronic copy of the LOI **(Form 1)** on or before **July 13, 2015, by 5:00 p.m.** LOIs must be sent to F5IMPACT@ccfc.ca.gov.

   Lead Agencies that submit the LOI later than applicable due dates above will no longer have first right of refusal or be eligible to apply for First 5 IMPACT funding.

   In the event the Lead Agency is NOT a First 5 county commission, F5CA must receive an electronic copy of the LOI **(Form 1)** on or before **July 20, 2015, by 5:00 p.m.** LOIs must be sent to F5IMPACT@ccfc.ca.gov.

2. **Application Submission Requirements for Phase 1 Base Layer Funding:**

   F5CA must receive an electronic copy of the Lead Agency's First 5 IMPACT Phase 1 Application **(Form 2)** by **August 10, 2015, by 5:00 p.m.** Applications must be sent to F5IMPACT@ccfc.ca.gov. Phase 1 Applications submitted later than August 10, 2015, will not be accepted or reviewed.

3. **Application Submission Requirements for Phase 2 Step Layer Funding:**

   F5CA must receive an electronic copy of a Lead Agency's First 5 IMPACT Phase 2 High-Quality Action Plan **(Form 3)** by **November 9, 2015, by 5:00 p.m.** Applications must be sent to F5IMPACT@ccfc.ca.gov. Phase 2 Applications submitted later than November 9, 2015, will not be accepted or reviewed.

   Sequence of Phase 2 Application Components

   Each application must be assembled in the order outlined below with numbered responses accordingly. Each component must be complete for the application to be reviewed and scored.

Form 3	**First 5 IMPACT Phase 2 High-Quality Action Plan**
Form 4	**First 5 IMPACT Five-Year Budget Table**
Form 5	**First 5 IMPACT Annual Budget and Reimbursement Table**
Form 6	**First 5 IMPACT Annual Budget Narrative**
Form 7	**First 5 IMPACT Performance Measure Targets**

Reviewing and Approving Applications

F5CA will select a panel of peer reviewers to evaluate Phase 1 and Phase 2 applications submitted according to the previously stated requirements. Applications will be randomly assigned to readers, taking into consideration any conflicts of interest. Readers will base their scores on the degree to which an application provides evidence that it meets the RFA requirements. Each application will be scored independently and will not be grouped for any reason (whether written by the same grant writer or submitted by the same agency, organization, consortium or other entity). Applications will be evaluated by at least one or more reviewers. Application review will occur during the timeframe identified in the Critical Dates for the First 5 IMPACT RFA table above.

For Phase 1 Applications, peer reviewers will examine and approve applications with respect to each element of the Phase 1 Application, with a primary focus on the Asset Map. For Phase 2, peer reviewers will examine and approve applications with respect to each element of the First 5 IMPACT High-Quality Plan responses. Required elements will be reviewed to ensure they align and support the full implementation of the proposed plan to administer, through a local consortium, a local IMPACT model that will increase the quality of sites serving children with high needs.

For both phases, applications that do not fully provide a comprehensive overview of the initiative may be required to provide additional information and justification before a funding determination can be made. Lead Agencies must provide any additional information determined necessary by the application review panel within three business days from the date the written request is received by the county.

V. APPLICATION COMPONENTS AND REQUIREMENTS

This section provides Lead Agencies with specific information about First 5 IMPACT components and requirements. It covers requirements for participating consortia, participating sites, and Phase 1 and Phase 2 application components.

Participating Consortia Requirements

All participating consortia will be required to:

1. Comply with the data and reporting requirements of this grant. Lead Agencies are required to use the First 5 IMPACT Common Data Fields. Appendix I provides a draft summary of the common data fields to be submitted, including differing data elements for Implementation Steps 1, 2, and 3.

2. Focus on the Early Learning and Development System by using funds to increase the quality of licensed and licensed-exempt early learning sites (centers, FCCH, and alternative early learning settings) in their county or region by incorporating elements of the CA-QRIS and moving toward a systems approach to quality improvement.[22]

3. Include within the system the full spectrum of early learning settings serving children ages 0 to 5 and their families and must first prioritize, but not duplicate, quality improvements and supports to, programs and sites serving children and families with high needs. Beginning in year two, and throughout the duration of the funding period, the following thresholds must be met for sites participating in First 5 IMPACT:

   - 10 percent of participating sites must serve infants and/or toddlers (ages 0 to 3)[23]

   - 15 percent of participating sites must be FCCHs[24]

   Consortia are encouraged to strive toward the aspirational goal of achieving representation proportional to the number of infants/toddlers and FCCHs in their county or region. Consortia should use Infant/Toddler QRIS Block Grant funds, as well as First 5 IMPACT funds, in working toward this goal.

4. Serve a minimum number of sites (targets) aligned to the total five-year IMPACT funding amount for their county or region. Participating site targets are determined based on a formula that incorporates the number of licensed facilities in the county or region (see Appendix K for county targets). Consortia may request a reduced number of targeted participating sites. **Note:** any reduction in targets will be accompanied by a proportionate reduction in funding. For consortia participating in Step 3, consortia must adhere to the CA-QRIS Implementation Guide and make tiered ratings publicly accessible.

[22] If applicable to county needs and design, counties may use funds to support FFN caregivers and alternative early learning settings. See Appendix B for Glossary.
[23] Sites funded by the Infant/Toddler QRIS Block Grant are in addition to this minimum First 5 IMPACT requirement.
[24] FCCHs serving infants and toddlers may be counted in both categories to meet required thresholds.

In order to receive the full allocation of Step Layer funds, the following requirements must be met:

Fiscal Year	Requirement
2015–16	All consortia must have participating sites but do not need to meet target requirements.
2016–17	The 16 counties participating as original Consortia in the RTT-ELC grant[25] and the additional seven CSPP QRIS Block Grant Priority 1B Lead Agencies[26] must meet targets annually from fiscal year 2016-17 through 2019-20 and must make tiered ratings publicly available (Step 3 only). All other consortia must have participating sites but do not need to meet target requirements.
2017–18 through 2019–20	All participating consortia must meet targets annually and make tiered ratings publicly available (Step 3 only).

5. Select an Implementation Step based on the current capacity of the majority of sites in the consortium. In order to meet local site needs and incrementally build toward a systemic approach to CQI, a consortium also may implement one or two additional Steps. See Section VI for the funding formula determination. The seven First 5 IMPACT system functions will be developed as counties build their system capacity depending upon the consortium's participation in the Implementation Steps.

6. Use evidence-based models/frameworks, promising practices models/frameworks, high-quality local models, or promising practice local models,[27] to ensure the highest likelihood of measurable improvement in key child and family indicators.

7. Use First 5 IMPACT funds to support administrative, program, and evaluation services incorporated within the First 5 IMPACT system functions. This includes public will and messaging campaigns on quality (System Function 7). In addition, counties can use funds to support connections to early brain development and efforts on vocabulary development, and closing the word gap (e.g., links to the *Talk. Read. Sing.*® campaign).

Requirements for Participating Sites

Consortia Lead Agencies must ensure the additional requirements below are met for participating sites.

[25] This includes: Alameda, Contra Costa, El Dorado, Fresno, Los Angeles, Merced, Orange, Sacramento, San Diego, San Francisco, San Joaquin, Santa Barbara, Santa Clara, Santa Cruz, Ventura, Yolo.
[26] Inyo, Kern, Kings, Placer, Riverside, San Mateo, and Sonoma.
[27] See Appendix B for Glossary.

- All Steps:
  - The site administrator must agree to participation of the entire site.
- Steps 2 and 3:
  - Participating sites must complete a site improvement plan for CQI. This requirement may be met if a similar plan, such as a Head Start plan or CSPP plan, is already in place. These plans must be retained at the early learning site and a copy with the Lead Agency.
  - If a consortium includes a deeper early educator focus (e.g., MyTeachingPartner™, local CARES Plus model), educators must be employed at a participating First 5 IMPACT site and must complete an individual professional development or Professional Growth Plan. Every educator at a site does not need to participate in this component but at least 50 percent of teaching staff must participate, as well as the site administrator.

Requirements for Phase 1 – Application for Base Funding and Asset Map

An LOI (Form 1) is required and must have been submitted on or before July 13, 2015, (First 5 county commission) or on or before July 20, 2015 (Local Public Entity), to be eligible to apply for Phase 1 Base Funding. Lead Agencies will provide the following information as part of the Phase 1 application process:

- Whether they are a single county or multi-county region.
  - If counties apply as a region or county group to form a broader consortium, all pre-determined targets for each county must be satisfied.
  - Funding for a multi-county region will be comprised of Base and Implementation Step Layer funding of all participating counties within the regional consortium.
- Implementation Step in which the county or region will participate. Counties may choose to participate in more than one Step simultaneously (e.g., FFNs participating in Step 1, rural centers and FCCHs in Step 2, large centers and FCCHs in Step 3). See Appendix G to determine an Implementation Step and Section VI for Implementation Step Layer funding information.

  Counties that enter in a lower Step and build capacity toward a higher Step over the five years of First 5 IMPACT may have access to Incentive Layer funding to help support the higher level achievement and associated costs.

- Whether the consortium is a current recipient of a CSPP QRIS Block Grant. Counties that are not current CSPP QRIS Block Grant recipients may use First 5 IMPACT funds from Year 1 to develop a QRIS and conduct initial ratings of CSPPs. Once CSPP QRIS Block Grant funds have been secured, those funds must support the rating and quality awards for sites with CSPP funding. First 5 IMPACT funds may

be used to align, but not supplant, CSPP and Infant/Toddler QRIS Block Grant activities.

In counties already receiving a CSPP QRIS Block Grant, assessments, quality improvement supports, and incentives for CSPP sites and classrooms should be provided through funding from the CSPP QRIS Block Grant.

Requirements for Phase 2 – Application for Step Funding and First 5 IMPACT High-Quality Action Plan Components

Lead Agencies will provide the following as part of the Phase 2 application process:

- Form 3 – Completed First 5 IMPACT High-Quality Action Plan (Action Plan). In the Action Plan, Lead Agencies will address the current status and goals for the seven systems functions.
- Forms 4 through 6 – Completed Five-year Budget Table, Annual/Amendment Budget Table, and Annual/Amendment Budget Narrative.
- Form 7 – Completed First 5 IMPACT Performance Measure Targets (Target Tables). **Note:** It is not required to meet targets during the first year of First 5 IMPACT; Step funds allocated to the first year may be carried over to the following years under the First 5 IMPACT funding authority.

The Action Plan will serve as a work plan throughout the five-year grant period, with opportunities to update and amend it annually.

1. **Build Local Consortia – Define and Coordinate Leadership and Convene and Strengthen Partnerships**

   Successful county Early Learning and Development Systems, including QRIS, are built on broad-based stakeholder participation and effective governance structures. In this section, Lead Agencies must identify and obtain signatures from the required local consortium participants, identify other organizations participating in their local consortium, including parent groups, develop a process for regularly bringing together the local consortium, and develop a governance structure. This includes delineating the decision-making process, identifying and defining roles and responsibilities, creating an alignment across the partnerships and CQI efforts, and creating and implementing a plan for a birth-to-age-eight continuum.

2. **Finance Strategically – Identify Funding Sources and Sustainability Strategies**

   In this section, Lead Agencies must identify and describe how they will maximize innovative funding strategies that will help maintain long-term sustainability of the local CA-QRIS model and First 5 IMPACT efforts. This includes identifying funding resources from all sectors that are being made available to assist in the development, implementation, and validation of the local CA-QRIS model. This is

accomplished through defining roles and responsibilities of the local consortium partners and the resources they bring to the local CA-QRIS model and highlighting what funding streams are being matched and leveraged.

3. **Enhance and Align Standards – The Consortium's Local IMPACT Model**

   In this section, each consortium will provide an overview of its local CA-QRIS model, including key indicators of quality. Consortia should identify the element(s) specifically from the CA-QRIS Framework and describe how services and practices are integrated across system sectors, as appropriate.

   NOTE: If applying for Step 3, applicants also must complete the QRIS Rating Matrix template at the end of the High-Quality Action Plan to indicate local changes to Tiers 2 and 5.

4. **Recruit and Engage Participants – Provider Outreach and Target Tables**

   Engagement of early learning sites across the full spectrum of setting type is critical to system-wide success of a CQI initiative. In this section of the Action Plan, the consortium will demonstrate the types and methods of strategic communication used to increase culturally and linguistically diverse participation across the early learning settings in the local CA-QRIS model. Applications must include who will lead the specific activities and work (e.g., Lead Agency, First 5 IMPACT-funded consortium partner, consortium partner using other funds, contractor, etc.) and specify the role of First 5 IMPACT funding in supporting local consortium activities, as applicable.

5. **Create and Support Improvement Strategies – Continuous Quality Improvement Process**

   In this section, the consortium will describe the CQI process for participating sites. This includes how needed improvements are determined, the types of CQI activities that will be incorporated, goals for improvement activities and mechanisms for determining that goals were met, how CQI strategies will support quality improvement and child outcomes, and incentives provided to participants at the site level and early educator level.

   Applications must include information about who will lead the specific activities and work (e.g., Lead Agency, First 5 IMPACT-funded consortium partner, consortium partner using other funds, contractor, etc.) and specify the role of First 5 IMPACT funding in supporting local consortium activities, as applicable.

6. **Ensure Accountability – Rating, Assessing, Monitoring, and Evaluating the Impacts on Child Outcomes**

   In this section, the consortium will describe its processes for monitoring improvement of participating sites and collecting common data fields relevant to the

Implementation Step. Applications must include who will lead the specific activities and work (e.g., Lead Agency, First 5 IMPACT-funded consortium partner, consortium partner using other funds, contractor, etc.) and specify the role of First 5 IMPACT funding in supporting local consortium activities, as applicable.

A consortium in Steps 2 and 3 will describe the local or regional data system it will use utilize to track progress on outcomes and benchmarks, as well as their process to regularly review and use data to guide continuous improvement and inform planning, policy, practice, and operation. It also will describe strategies to coordinate program monitoring and accountability across sectors where appropriate (e.g., a single or coordinated monitoring visit or sharing monitoring data across sectors or funding streams). In addition, it will need to describe the Rating and Assessment process. All processes and protocols must be in accordance with the CA-QRIS Implementation Guide.

7. Outreach and Communication – Disseminating Information to Parents and the Public about Quality

In this section, the consortium must describe its plan to disseminate information to parents and the public about quality including site-specific tiered ratings and participation in CQI activities. In addition, the consortium must provide a plan to increase family and public awareness of the characteristics of quality early learning programs, the impact of quality on improved outcomes for children, and the role of families in early learning. This section will include information about who will lead the specific activities and work (e.g., Lead Agency, First 5 IMPACT-funded consortium partner, consortium partner using other funds, contractor, etc.) and specify the role of First 5 IMPACT funding in supporting local consortium activities, as applicable.

VI. PROGRAM, ADMINISTRATIVE, AND FISCAL ACCOUNTABILITY

Authorized Funding

The authorized funding amount of $190 million will be used to support four key areas as described below:

1. County/Region Allocation – Approximately $120 million over the term of First 5 IMPACT will be allocated to participating county commissions or LPEs. Funding will be distributed using a layered funding approach (see Appendix J). Below is an overview of the approach.

    - Base Layer – This layer accounts for approximately 30 percent of County/Region Allocation funds, or $36 million. Applicants will be funded based on two factors

that are equally weighted: 1) the number of children ages 0 to 5 in poverty[28], and 2) number of licensed facilities located within the county[29]. The funding factors are based on data at a specific point in time and will not change for the duration of First 5 IMPACT.

Lead Agencies will have access to Base Layer funding and will be authorized for reimbursement of expenditures upon approval of the Phase 1 application.

- Implementation Step Layer – This layer accounts for approximately 63 percent of the County/Region Allocation funds, or $75 million. Lead Agencies will be funded via a formula derived from 1) the number of participating sites; and 2) the Implementation Step in which the majority of the sites (51 percent or more) are participating (e.g., if 51 percent of sites are in Step 3-QRIS, 40 percent are in Step 2-QIS, and 9 percent in Step 1-QI, the county/region in entirety would be funded at the Step 3-QRIS determination). Implementation Steps, as described in Appendix G, have been assigned a multiplier that increases from Step 1 to Step 3 to account for the increased costs associated with increased requirements. If a majority of sites (51 percent or more) does not exist, the consortium's funding will be based on Step 2.

  For funding purposes only, sites, classrooms, and cohorts are further defined below. **NOTE:** For assessment purposes, follow guidelines in the CA-QRIS Implementation Guide.

  Large Sites

  Lead Agencies with large participating sites (eight or more classrooms) have the opportunity to count a site as more than one (1). Large sites may be counted as follows:

  - 8 or more physical classrooms are equivalent to two (2) sites.
  - 12 or more physical classrooms are equivalent to three (3) sites.
  - 16 or more physical classrooms are equivalent to four (4) sites.

  A classroom is considered a separate, indoor, physical space that is fully utilized at the site as an early learning environment on a regular, daily basis.

[28] U.S. Census Bureau, 2009–2013 Five-Year American Community Survey. "POVERTY STATUS IN THE PAST 12 MONTHS OF RELATED CHILDREN UNDER 18 YEARS BY FAMILY TYPE BY AGE OF RELATED CHILDREN UNDER 18 YEARS".
[29] California Child Care Resource and Referral Network. (2012). Child care data.

Alternative Settings

- FFN cohorts of 5 or more providers may be counted as one (1) site.
- A home visiting program with up to 15 home visitors may be counted as one (1) site. A home visiting program with 16 or more home visitors may be counted as two (2) sites.
- An alternative program, such as a Family Resource Center (FRC), may be counted as one (1) site.

Designated Implementation Step costs for each site will be determined once all requested data has been submitted by participating Lead Agencies. Any funds remaining may be redistributed to other key funding areas as deemed appropriate by F5CA.

Lead Agencies will have access to Implementation Step Layer funding and be authorized for reimbursement of expenditures upon approval of the Phase 2 application.

- Incentive Layer – This layer of funding accounts for approximately 8 percent of the County/Region Allocation funds, or $9 million. The purpose of this funding is to incentivize participants to exceed the target number of sites identified by F5CA in Appendix K, support consortia and provide additional funding for Lead Agencies that exceed the level of quality improvement (Step) identified in their Phase 1 application at some point during the duration of First 5 IMPACT. Once the majority of sites (51 percent or more) are participating in the increased Step, the Lead Agency has the potential to receive the corresponding increased Step funding for all participating sites.

  Access to Incentive Layer funding will begin in FY 2016–17 if eligible criteria identified in the High-Quality Action Plan and participating site targets are met. Funding amounts may vary from year to year depending on availability and will be prioritized as follows:

  - Counties serving participating sites above and beyond pre-determined targets
  - Step 3-funded counties rating 75 percent or more of target sites (additional funding will be provided for the number of sites being rated in excess of the 75 percent)
  - Participating counties/regions moving from Step 2 to Step 3 during the duration of First 5 IMPACT
  - Other scenarios meeting the conditions described above

Incentive Layer funds will be allocated at the discretion of F5CA. These funds can be approved and allocated by F5CA at any time during the term of First 5 IMPACT. Disbursement of this funding is contingent upon availability and should not be considered "guaranteed" from year to year unless specified in an amended Local Area Agreement (LAA); LAAs will be amended to reflect additional funding. Any excess funds may be redistributed to other key funding areas as deemed appropriate by F5CA.

2. Regional T&TA Hubs – Approximately $18 million over the term of First 5 IMPACT will be provided to First 5 county commissions with existing capacity and the willingness to act as a T&TA Hub.

3. State-Level Systems Support and Statewide T&TA – Approximately $28 million over the term of First 5 IMPACT will be used to support state infrastructure and T&TA related to CQI statewide.

4. Evaluation and Research Projects – Approximately $24 million over the term of First 5 IMPACT will be used to support expansion of QRIS databases and conduct evaluation and research projects, such as the continuance of child outcome research already started through RTT-ELC.

Funding Projections

Appendix K is projected funding for the Base and Implementation Step Layers for each county; Incentive Layer funds are not included. In order to maintain a reasonable cost per site across the state, a target number of participating sites has been pre-determined for each county. Targets, as well as the anticipated Step for each county, were factors used in calculating the projections. These allocations will be updated and finalized using participating site data submitted by counties during RFA Phase 1. Finalized allocations will be submitted to participating entities in the Intent to Award in order to assist with the completion of RFA Phase 2 documents.

Lead Agencies are expected to serve the number of pre-determined target sites on an annual basis in order to receive their entire funding allocation. In the Phase 1 application, Lead Agencies must identify if they knowingly will not be able to meet the pre-determined target identified in Appendix K so their allocation can be adjusted accordingly and funding allocations finalized. Moreover, if the number of sites served identified in a subsequent APR is below the target provided, allocations may be decreased starting at year two for the 16 counties participating as original Consortia in the RTT-ELC grant and the additional seven CSPP QRIS Block Grant Priority 1B applicants; for all other participating entities, allocations may be decreased in year three. The decrease will be determined by multiplying the designated per site cost, depending on Step, by the number of sites served below the target amount. Adjustments to funding allocations and budgets are discussed later in this section.

Lead Agency Responsibilities

Once a Lead Agency has been approved to receive First 5 IMPACT funds, there are multiple responsibilities and restrictions regarding how funds may be spent. This section includes information regarding the responsibilities of participating Lead Agencies, allowable costs, use of subcontractors, match requirements, First 5 IMPACT Validation activities, compliance requirements, and other fiscal considerations that are integral to program implementation and accountability.

The Lead Agency shall be responsible for the oversight and administration of First 5 IMPACT, including all requirements and responsibilities outlined in this RFA, and fiscal accountability for state and local funds. **All requirements and responsibilities described in this RFA are material to the award of First 5 IMPACT funds.** Reimbursement and expenditure claims are contingent on the Lead Agency's performance of and compliance with these responsibilities and requirements.

The Lead Agency's submission of the documents required in this RFA constitutes its assurances that it will meet all requirements (program, administrative, evaluation, and fiscal) of First 5 IMPACT and retain records that substantiate its performance and compliance. For monitoring and auditing purposes, the Lead Agency will follow all fiscal accounting, reporting, and auditing standards required by F5CA including, but not limited to, applicable sections of the First 5 Financial Management Guide.[30]

If the Lead Agency is found to be out of compliance with any program, administrative, evaluation, or fiscal requirements, subsequent expenditure reimbursements will be contingent upon the Lead Agency's diligence in achieving the objectives provided by F5CA in a written corrective action plan. In addition, prior reimbursements may be subject to recovery by the State if required by public contracting rules.

Reimbursement Requirements

To receive reimbursement for First 5 IMPACT expenditures, participating Lead Agencies must:

- Have submitted the initial First 5 IMPACT Five-Year Budget Table (Form 4), First 5 Annual Budget and Reimbursement Table for FY 2015–16 (Form 5), and First 5 IMPACT Annual Budget Narrative (Form 6) for the initial reimbursement

- Submit First 5 IMPACT Annual Budget and Reimbursement Table (Form 5) and First 5 IMPACT Annual Budget Narrative (Form 6) for subsequent fiscal years by June 1 of the preceding fiscal year

- Submit reimbursement claims using the First 5 IMPACT Annual Budget and Reimbursement Table (Form 5) in accordance with the reimbursement schedule

[30] See http://first5association.org

selected by the Lead Agency in the RFA Phase 1 Application (either biannually for quarterly)

- Certify that expenditures are expended only for the purposes detailed in the RFA and LAA, and are allowable, accurate, and consistent with budget/funding information submitted to and approved by F5CA

- Certify that the match requirement has been satisfied (see Match Requirement portion of this section)

- Comply with all requirements (program, administrative, evaluation, and fiscal) identified in the RFA, applications, and LAA

If all requirements above have been satisfied and no discrepancies exist, payment to Lead Agencies will be processed within 60 days of receipt at F5CA. If all requirements are not satisfied, payment will be withheld pending resolution.

Lead Agencies have the option of submitting First 5 IMPACT Annual/Amended Budget and Reimbursement Table (Form 5) and First 5 IMPACT Annual Budget and Reimbursement Narrative (Form 6) to obtain reimbursement on a quarterly basis (due October 31, January 31, April 30, and July 31 of each year) or biannual basis (due January 31 and July 31 of each year). If due dates fall on a weekend or holiday, claims will be due the following business day.

Reimbursable and Non-Reimbursable Costs

The Lead Agency must maintain accurate fiscal data, in accordance with generally accepted accounting principles and standards for governmental entities, and report actual expenditures by category on the First 5 IMPACT Annual Budget and Reimbursement Table (Form 5). All invoices or claims must be substantiated by adequate supporting documentation and based on verifiable financial records.

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

Funds can be used only for costs incurred for the successful implementation of First 5 IMPACT (the seven system functions and First 5 IMPACT administration) and include the following allowable expenditures (either performed by the Lead Agency or a contractor):

Personnel: Compensation (salaries and benefits) for the time devoted and identified specifically to the performance of First 5 IMPACT.

Operating: Expenditures for activities directly related to the performance of First 5 IMPACT, including, but not limited to, the following:

- Data collection and storage
- QI (stipends, curricula, etc.)
- Rating and monitoring
- Communications and outreach
- Materials and supplies
- Meetings and conferences
- Publication and printing costs
- Equipment with a unit cost of $2,500 or less (unit cost includes all costs required to make the item serviceable, such as taxes, freight, installation costs, site preparations costs, etc.)
- Training specifically related to First 5 IMPACT, including professional development and technical skill development
- In-State travel specifically related to First 5 IMPACT – reimbursed at the rates and terms determined by the California Department of Human Resources
- Out-of-State Travel with approval from F5CA

Administrative: F5CA will reimburse Lead Agencies for administrative costs incurred (both direct and indirect as defined below) related to First 5 IMPACT. For budgeting and reimbursement purposes, administrative costs directly related to First 5 IMPACT should be reflected in the Personnel and/or Operating expenditure categories. Administrative costs incurred for a common purpose and not specific to First 5 IMPACT should be included in the Indirect Cost section of budget and reimbursement documents. **Indirect costs shall not exceed 15% of total reimbursable costs paid by F5CA** (expended amounts) on an annual basis and must be substantiated for the appropriate fiscal year.

Direct costs include the salaries, wages, and benefits of employees while they are working exclusively on the delivery of a specific project/service (preparing action plans, developing budgets, monitoring activities, etc.), as well as materials, supplies, equipment, utilities, rent, training, travel, etc. These costs should be easily identifiable with a specific project or directly assigned with a high degree of accuracy.

Indirect costs are shared costs that benefit or support multiple projects/services administered by a Lead Agency and cannot be readily identified with a specific project/service (e.g., legal, accounting, human resources, procurement, facilities, maintenance, technology, etc.). These costs should be apportioned by a systematic and rational allocation methodology, and that methodology should be documented by the Lead Agency and available upon request.

The Lead Agency shall identify and justify direct costs and indirect costs, including employee fringe benefits in accordance with State Contracting Manual Volume I, Section 3.17.2, subsection A.1.

Non-reimbursable direct and indirect costs include:

Non-Reimbursable Costs by F5CA
Program Costs • Current year agreement funds to pay prior or future year obligations • Promotional items and memorabilia including gifts and souvenirs • Capital assets as defined on page 39. Unit cost includes all costs required to make the item serviceable (e.g., taxes, freight, installation costs, site preparations costs, etc.), such as equipment, land, buildings, vehicles, etc.
Participating Sites • Consumables (e.g., food and diapers) • Materials and supplies not tied to site improvement plan • Food
Facilities • Facilities renovation, improvements, and repairs • Idle facilities or idle capacity except to the extent they are 1) necessary to meet fluctuations in workload, or 2) necessary when acquired and are now idle because of changes in program requirements, efforts to achieve more economical operations, reorganization, termination, or other causes that could not have been reasonably foreseen
Travel • Out-of-state without prior approval
Other • Alcoholic beverages • Bad debts, including losses (whether actual or estimated) arising from uncollectable accounts and other claims, related collection costs, and related legal costs • Costs of advertising and public relations designed solely to promote the governmental unit, lead agency, or partners • Entertainment, including amusement, diversion, and social activities and any expenses directly associated with such costs • Goods or services for personal use of the Lead Agency and partners employees regardless of whether the cost is reported as taxable income to the employees. • Legal costs incurred in defense of any civil or criminal fraud proceeding; legal expenses for prosecution of claims against the State of California • Lobbying costs, whether direct or indirect • Political activities • Organized fund raising, including financial campaigns, solicitation of gifts and bequests, and similar expenses incurred to raise capital or obtain contributions

F5CA will reimburse Lead Agencies in arrears for allowable expenditures upon receipt and approval of a First 5 IMPACT Annual Budget and Reimbursement Table (Form 5). Payment will be made in accordance with, and within the time specified in, Government Code, Part 3, and Chapter 4.5, commencing with section 927.

Use of Subcontractors

The Lead Agency can subcontract with another entity to implement First 5 IMPACT as an intermediary; however, the Lead Agency remains legally responsible for all program, administrative, evaluation, and fiscal requirements of the RFA and LAA even if administered through an intermediary.

If a Lead Agency subcontracts with another agency to implement First 5 IMPACT, any communication regarding implementation of First 5 IMPACT must occur through the Lead Agency. F5CA will not discuss any program, administrative, evaluation, or fiscal issues with a subcontractor. The Lead Agency must adhere to the State of California's contracting requirement of three competitive bids, unless local county regulations or policies differ. The Lead Agency is also responsible for collection of necessary data.

If, during an audit, it is discovered that the Lead Agency did not attempt to obtain prior First 5 California approval or three formal written bids were not received, consultant/subcontractor charges will be disallowed.

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

Capital Assets

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

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

Lead Agencies must review existing policy regarding capital assets. If the Lead Agency's policy identifies a lower monetary threshold than SAM for capital assets, the Lead Agency's policy must be enforced when expending First 5 IMPACT funds. If the Lead Agency's policy identifies a higher monetary threshold than SAM for capital assets, the State of California's policy (SAM) must be enforced when expending First 5 IMPACT funds.

Payment Withholds

Failure to submit timely and accurate fiscal information, evaluation data, and program reports as required by F5CA may result in the withholding of a disbursement of funds,

until which time the required information, data, or reports have been received. Serious delays in fiscal report submission may result in a written request by F5CA for an accounting of expenditures or special review of fiscal and program activity. F5CA may reduce or terminate program participation if it is determined that a Lead Agency has failed to adhere to the terms and conditions of the RFA and/or its approved LAA, including any amendments to the LAA.

Overpayment

If it is determined that a Lead Agency received an overpayment of First 5 IMPACT funds, F5CA will inform the Lead Agency of the overpayment and provide options for recovery: 1) issue an invoice to the Lead Agency, or 2) reduce a future reimbursement claim. If the invoice is preferred, payment shall be processed within forty-five (45) days of receipt or future claims may be withheld or adjusted.

In the event a Lead Agency receives Phase 1 Base Funding, but does not apply for Phase 2 Step Funding, the Lead Agency must return Phase 1 Base Funding to F5CA. F5CA will work with Lead Agencies to recover funds if this situation arises.

Match Requirement

F5CA encourages Lead Agencies to actively seek ways to strategically add dollars or other resources from external sources to First 5 IMPACT. Lead Agencies are required to match First 5 IMPACT Implementation Step Layer funding according to the following table, which is based on county size.

County Size	Ratio (State/Local)	County
Very Small	6:1	Alpine, Amador, Inyo, Lassen, Mariposa, Modoc, Mono, Plumas, Sierra, Siskiyou, Trinity, Tuolumne
Small	5:1	Calaveras, Colusa, Del Norte, El Dorado, Glenn, Kings, Lake, Mendocino, Napa, Nevada, San Benito, Sutter, Tehama, Yuba
Medium	4:1	Butte, Humboldt, Imperial, Madera, Marin, Merced, Placer, San Luis Obispo, Santa Cruz, Shasta, Yolo
Large	3:1	Contra Costa, Fresno, Kern, Monterey, San Francisco, San Joaquin, San Mateo, Santa Barbara, Solano, Sonoma, Stanislaus, Tulare, Ventura
Very Large	2:1	Alameda, Orange, Riverside, Sacramento, San Bernardino, San Diego, Santa Clara
Largest	1:1	Los Angeles

In order to achieve the required match ratios, Lead Agencies have the option of choosing one or a combination of both options below:

- **Cash Match** – a contribution by the Lead Agency toward eligible costs of their local First 5 IMPACT efforts in the form of cash, in-kind, or donated materials.

- **Leveraged Funds** – financial commitments toward the cost of projects/services related to First 5 IMPACT from a source other than the Lead Agency.

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

Funds used as match can come from existing programs aligning with CA-QRIS and/or First 5 IMPACT, with the exception of F5CA's CARES Plus and CSP 1 and 3 Extension programs.

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

- Proposition 10 county tax revenue
- Small Population County Funding Augmentation
- Federal and State (i.e., Early Head Start, Head Start, RTT-ELC, CSPP, Infant/Toddler QRIS Block Grant, AB 212, etc.)
- Local Workforce Investment Board
- Local government
- Non-profit organization
- Private foundation
- Grants
- In-kind (salary, space, etc.)
- Other gifts

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

F5CA will determine an overpayment has occurred if a Lead Agency does not secure adequate matching funds. Overpayment remedies are covered in the previous section.

Budget Documentation

Base Layer and Implementation Step Layer funding will be treated as one budget. Budget documentation and expenditure reporting will not be tracked by individual funding sources.

The First 5 IMPACT Five-Year Budget Table (Form 4) must be submitted with the Phase 2 Application to establish initial budgets for all five years of First 5 IMPACT.

The First 5 IMPACT Annual Budget and Reimbursement Table (Form 5) and First 5 IMPACT Annual Budget and Reimbursement Narrative (Form 6) must be submitted together and serve as budget amendment documentation. These forms should be used to:

- Formally change the current approved total funding authority identified in the LAA for the period of program performance
- Annually update the Lead Agency's estimated budget for the upcoming fiscal year (due June 1 on an annual basis), including incorporation of carryover funds from the previous year's budget
- Revise budget categories and system functions to capture variances of 20 percent or more from the current approved budget

Budget amendments must be submitted to and approved by F5CA prior to the period for which expenditures will occur. Lead Agencies requesting budget amendments not impacting the LAA (annual updates and revisions to budget categories/system functions) will receive notification of approval or denial via written correspondence (letter or e-mail) from F5CA. Requests of this nature are necessary to allow for consistency when submitting reimbursement claims.

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

Carryover Funds

Carryover funds are unobligated, unspent balances from a previous year's approved budget that are transferred to the current year's budget, and are available to spend in addition to the current year's allocation. Carryover funds must be identified by the Lead Agency using the budget amendment process to obtain prior written consent from F5CA to spend carryover funds.

Adjustment to Funding Allocations/Budgets

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

During the term of First 5 IMPACT, funding allocations and budgets will be adjusted based on performance and/or non-compliance with requirements of the RFA and LAA.

Allocations may be decreased for the following reasons:

- Target number of sites identified in Appendix K are not served (as reflected in the APR) – decreased by the pre-determined Step cost per site multiplied by the number of sites

- Sites are funded at a higher Step than they should be based on information submitted in the APR

- Joint assessment (completed by F5CA and the Lead Agency) determines Lead Agency does not have the capacity to expend entire funding allocation; assessment will occur if carryover exceeds 30 percent of annual budget for two fiscal years

Allocations may be increased for the following reasons:

- Target number of sites as provided by F5CA in Appendix K is exceeded

- More than 75 percent of Step 3 sites are rated as identified in the APR

- Level of quality improvement (Step) identified in the Phase 1 Application is exceeded during the term of First 5 IMPACT

Adjustments to funding allocations can be made at any time during the term of First 5 IMPACT. All adjustments will be formalized using the First 5 IMPACT Annual Budget and Reimbursement Table (Form 5), First 5 IMPACT Annual Budget Narrative (Form 6), and an amended LAA.

Major First 5 IMPACT System Changes

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

- Major changes to systems functions or quality improvement methods
- Any subcontractor changes
- Changes to First 5 IMPACT administration and oversight staff (i.e., executive director, chief financial officer, program director, etc.)
- Budget line item shifts equal to or greater than 20 percent

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

Hardship Waiver

Lead Agencies that cannot absorb the costs required to implement activities for any approved fiscal year may apply for a hardship waiver to receive a portion of allocated funds prior to expenditure. To apply for a hardship waiver for FY 2015–16, the Lead Agency must submit with its Phase 2 Application a written request on agency letterhead that justifies the need for the advance and the amount of funds requested. In subsequent years, a hardship waiver request must be received by F5CA by June 1 for the following fiscal year. All requests will be reviewed, approved or denied, and the decision will be communicated with the Lead Agency.

Funds disbursed as a result of an approved waiver that are not expended by the end of each fiscal year during the performance period authorized in the RFA must be returned to F5CA via agency check or, if applicable, a subsequent reimbursement claim may be reduced to offset non-expended funds.

Dispute Resolution (Fiscal Components)

The Lead Agency shall attempt to resolve disputes of fiscal components (reimbursement, budget amendments, etc.) with F5CA staff. If the dispute is not resolved at the first staff level, the Executive Director or designee of the Lead Agency may appeal the decision. Such an appeal can be made by submitting a written description of the issues and the basis for the dispute to the Chief Deputy Director of F5CA within thirty (30) calendar days of receiving an initial response from the first-level determination of the dispute.

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

First 5 Financial Management Guide Compliance

Lead Agencies should refer to the First 5 Financial Management Guide (Guide) terms and definitions when reporting to or communicating with F5CA regarding First 5 IMPACT. The guidelines and glossary contained in the Guide provide a common frame of reference and language for use between State and Lead Agencies when addressing financial matters.[31]

[31] The First 5 Financial Management Guide is available on the First 5 California Web site at: http://www.ccfc.ca.gov/about/about_fiscal.html

First 5 IMPACT Validation

While First 5 IMPACT strives to achieve the same outcome in all counties (e.g., helping children birth through age 5 and their families thrive by increasing the number of high-quality early learning programs), the emphasis in local flexibility allows counties/regions to achieve this outcome using various strategies and tools. As First 5 IMPACT grows and evolves, F5CA will assess the systems work on the ground floor and learn with Lead Agencies which efforts and strategies are the most successful, as well as determine T&TA needs of counties regarding this work. Additionally, to alleviate costs associated with an annual audit of First 5 IMPACT funds, and as required in previous F5CA programs, F5CA will perform a review of First 5 IMPACT-related expenditures. To accomplish this, a team of F5CA staff will be working with Lead Agencies to assess and review programmatic, fiscal, and evaluation components of First 5 IMPACT by way of site visits or other means of communication.

The purpose of the First 5 IMPACT Validation is to:

- Inform F5CA staff on the various methods and strategies used by local entities to increase the number of high-quality early learning programs
- Identify and address T&TA needs of counties/regions
- Review and analyze the administration of First 5 IMPACT at the county and site levels for participating entities
- Confirm internal controls and required record keeping is consistent with requirements outlined in the RFA, funding applications, and LAA
- Conduct a fiscal review to verify expenditures claimed are valid and accurate
- Provide information and feedback to Lead Agency staff
- Safeguard the operational and fiscal integrity of First 5 IMPACT

First 5 IMPACT Validations will take place at intervals not more frequently than annually. Lead Agencies will be required to participate, produce records, and accommodate site visits at the request of F5CA.

Retention of Program Records

Records substantiating state funds disbursed by F5CA to the Lead Agency are subject to monitoring, examination, and audit by F5CA or its designee, or the State Auditor, for a period of five (5) years, or local policy retention period (whichever is greater) after final payment of program expenditures. **Adequate and accurate program and expenditure records that document the allowable costs must be retained for this period.** F5CA shall have access to the Lead Agency's offices and/or First 5 IMPACT sites, upon

reasonable notice, during normal business hours, for the purpose of interviewing employees and inspecting and copying books, records, accounts, and other material that may be relevant to a matter under investigation, and for the purpose of determining compliance with the allowable uses of First 5 IMPACT funds.

Compliance Requirements

The Lead Agency must adhere to the following requirements:

1. Participate fully in evaluation and data collection processes administered by F5CA and/or its designee

2. Provide documentation pertaining to First 5 IMPACT, including, but not limited to, evaluation data, Action Plans, budget and reimbursement documents, APRs, etc., as requested by F5CA

3. Account for revenues and expenditures (both State and local) for the First 5 IMPACT funds separately from other programs/projects

4. Sign required certifications that attest to the accuracy of any data (program, fiscal, and evaluation) submitted

5. Full participation in First 5 IMPACT Validation activities

6. Declare any unexpended First 5 IMPACT funds

Lead Agencies that fail to meet the compliance requirements, risk loss of reimbursement in full or part, or denial of continued eligibility.

Restricted Use of First 5 IMPACT Funds

First 5 IMPACT funds shall be expended only for the purposes expressed in the RFA and may be used only to supplement existing levels of service. First 5 IMPACT funds must not supplant existing local, state, or federal funding, such as CSPP QRIS Block Grant funds and Infant/Toddler QRIS Block Grant; only supplemental costs may be charged. No monies from the F5CA accounts shall be used to supplant state or local general fund money for any purpose.

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

education is already required by State law with special funds appropriated to pay for it. In like manner, basic kindergarten programs would not be approved.

Termination of Agreement

F5CA retains the option to terminate an LAA without cause at its discretion, provided that written notice has been delivered to the Lead Agency at least thirty (30) days prior to such termination date. If F5CA terminates the LAA at its discretion, the Lead Agency will be entitled to compensation upon submission of an invoice and proper proof of claim, in that proportion which its services and products were satisfactorily rendered or provided and its expenses necessarily incurred pursuant to the LAA, up to the date when notice of termination is received by the Lead Agency ("the notice date"). The Lead Agency will not be entitled to reimbursement for any expenses incurred for services and deliverables pursuant to the LAA after the notice date, unless the Lead Agency receives written advance approval from F5CA.

Funding Contingencies for Local Area Agreements

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

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

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

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

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

Ownership of Products and Copyright

Upon their creation, all products, deliverables, or like items that are produced, created, developed, or the like, shall become the sole and complete property of F5CA during the term of the LAA. F5CA retains all rights to use, reproduce, distribute, or display any

products created, provided, developed, or produced under the LAA and any derivative products based on LAA products, as well as all other rights, privileges, and remedies granted or reserved to a copyright owner under statutory and common-law copyright law.

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

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

Non-Discrimination

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

Indemnification and Hold Harmless

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

be done by the Lead Agency under or in connection with any work, authority, or jurisdiction delegated to the Contractor under the LAA.

VII. FORMS

The following forms are included in this RFA as resources for Lead Agencies to develop, implement, and monitor First 5 IMPACT:

Form 1. Letter of Intent to Apply for F5CA IMPACT Funding (SAMPLE)

Form 2. First 5 IMPACT Phase 1 Application – Base Layer Funding (SAMPLE)

Form 3. First 5 IMPACT Phase 2 High-Quality Action Plan – Implementation Step Layer Funding (SAMPLE)

Form 4. First 5 IMPACT Five-Year Budget Table (SAMPLE)

Form 5. First 5 IMPACT Annual Budget and Reimbursement Table (SAMPLE)

Form 6. First 5 IMPACT Annual Budget Narrative (SAMPLE)

Form 7. First 5 IMPACT Performance Measure Targets (SAMPLE)

FORM 1. Letter of Intent to Apply for First 5 California IMPACT Funds (SAMPLE)

Purpose of Form

First 5 California (F5CA) announces the availability of funding for First 5 IMPACT (Improve and Maximize Programs so All Children Thrive). The eligibility of applicants, program and fiscal responsibilities, and general information about who may apply as the First 5 IMPACT Lead Agency for a single county or a consortium is defined in Section V of the Request for Application (RFA).

As explained in Section V of the First 5 IMPACT Request for Applications (RFA), First 5 county commissions have the first right of refusal to serve as a Lead Agency. In the event a First 5 county commission chooses not to act as the Lead Agency, F5CA will permit a qualified Local Public Entity (LPE) to serve as the Lead Agency. In the event a First 5 county commission decides to be part of a regional consortium, it must identify other participating counties in its consortium and the Lead Agency.

Below are instructions for both First 5 county commissions and LPEs to submit Letters of Intent (LOI) to apply for First 5 IMPACT funds and to identify the appropriate Lead Agency.

Letter Of Intent from a First 5 County Commission

First 5 county commissions are required to complete and submit an LOI if they intend to apply for First 5 IMPACT funding. Additionally, F5CA requests each First 5 county commission submit an LOI even if they are not interested in applying for First 5 IMPACT funding. A hard copy or electronic copy of the LOI with the original signature of the First 5 county commission executive director, or designee, must be received by F5CA no later than **5:00 p.m. on July 13, 2015**. If an LOI is not received by this deadline, the county commission will no longer have first right of refusal or be eligible to apply for First 5 IMPACT funding.

Letter Of Intent from a Local Public Entity

LPEs are required to complete and submit an LOI only after their local county commission has declined to apply for First 5 IMPACT funding. A hard copy or electronic copy of the LOI with the original signature of the chief executive officer of the LPE, or designee, must be received by F5CA no later than **5:00 p.m. on July 20, 2015**. If an LOI is not received by this deadline, the LPE will no longer be eligible to apply for First 5 IMPACT funding.

Note: After the July 13, 2015, deadline, F5CA will post to its website (http://www.ccfc.ca.gov/programs/programs_impact.html) which county commissions that have applied for First 5 IMPACT funding. At that point, if more than one LPE from the same county submits an LOI, the entities will be asked to decide which one will serve as the Lead Agency for the county and then will submit a revised LOI. Only one (1) First 5 IMPACT funding application per county will be allowed. Please submit Form A by mail OR e-mail to the address below and use “First 5 IMPACT LOI” and the county name in the subject line:

First 5 California
Re: First 5 IMPACT LOI
2389 Gateway Oaks Drive, Suite 260
Sacramento, CA 95833
E-mail: F5IMPACT@ccfc.ca.gov

FORM 1 – PART A

LETTER OF INTENT TO APPLY FOR FIRST 5 CALIFORNIA IMPACT FUNDS
FIRST 5 COUNTY COMMISSIONS

Lead Agency Name: Click here to enter text.

County: Click here to enter text.

Address: Click here to enter text.

City: Click here to enter text. Zip Code: Click here to enter text.

Executive Director or Designee:

Name (*print or typed*): Click here to enter text.

Signature: _____ Date: _____

Please check one:
☐ Our First 5 county commission **will** participate in First 5 IMPACT and will: – Submit an application as the Lead Agency for First 5 IMPACT funding (*Do not complete Part B*) ☐ Our First 5 county commission **will** participate in First 5 IMPACT and will: – Be a partner in the local county consortium but will not submit the application directly (*Local Public Entity completes Part B)* ☐ Our First 5 county commission **will** participate in First 5 IMPACT and will: – Be the Lead Agency for a regional consortium (multi-county) including the following counties Click here to enter text. (*Do not complete Part B*) ☐ Our First 5 county commission **will** participate in First 5 IMPACT and will: – Be part of a regional consortium along with the following counties Click here to enter text. – The name of the entity that will apply as the Lead Agency for the regional consortium is Click here to enter text. *(Do not complete Part B*) ☐ Our First 5 county commission **will not** participate in First 5 IMPACT as either a Lead Agency or a partner in a consortium (*Do not complete Part B*)

DUE BY 5:00 P.M. ON JULY 13, 2015

FORM 1 – PART B

LETTER OF INTENT TO APPLY FOR FIRST 5 CALIFORNIA IMPACT FUNDS
LOCAL PUBLIC ENTITY

Lead Agency Name: Click here to enter text.

County: Click here to enter text.

Address: Click here to enter text.

City: Click here to enter text. Zip Code: Click here to enter text.

Name of Primary Contact: Click here to enter text.

Title of Primary Contact: Click here to enter text.

Chief Executive Officer or Designee/Position: Click here to enter text.

Signature of Chief Executive Officer or Designee:

_____

Date: _____

DUE BY 5:00 P.M. ON JULY 20, 2015

FORM 2. First 5 IMPACT Phase 1 Application – Base Layer Funding (SAMPLE)

<u>The Phase 1 portion of the application is due August 10, 2015.</u>

To receive First 5 IMPACT Base Layer funds, each participating Lead Agency will complete a First 5 IMPACT Phase 1 Application. Included is an Inventory of Current Community Assets (Asset Map). The Asset Map will help identify current community agencies providing currently existing services and supports to early learning settings. Only counties that previously submitted the First 5 IMPACT Letter of Intent are eligible to submit the Phase 1 Application for Base Layer funds. The identified Lead Agency for the county or region must fill out each section, as applicable, and sign and date.

Section I. About the Lead Agency

First 5 IMPACT Lead Agency		
Lead Agency	**Lead Agency Executive Director**	**Phone Number**
Click here to enter text.	Click here to enter text.	Click here to enter text.
Address	**City**	**Zip Code**
Signature	**Date**	**E-mail**
Program Lead Contact		
Name	**E-mail**	**Phone Number**
Fiscal Lead Contact		
Name	**E-mail**	**Phone Number**

By signing this signature page, the applicant agrees to the targets in the RFA Appendix K or agrees to reduce targets with the understanding reduced targets mean a corresponding reduction in funding. Further, Lead Agencies certify the information contained in the First 5 IMPACT Phase 1 application is true to the best of their knowledge.

Section II. County or Region Steps and Targets

1. Is this county applying as a single county or multi-county region?

If counties apply as a region or county group to form a broader consortium, there must be at least one participating site within each county.

☐ Single County

☐ Multi-county Region (Please identify other counties applying in this region)

2. Will this county or regional consortium accept or reduce its site targets?

Please use First 5 IMPACT RFA Appendix K, First 5 IMPACT Five-Year Funding Projections and Site Targets, Column 3 to complete the information below.
NOTE: Counties or regions reducing the site targets will receive a corresponding reduction in Implementation Step funding.

☐ This county/region accepts the site target of ____ identified in the First 5 IMPACT RFA.

☐ This county/region will reduce its site target to ____ with the understanding this county/region will receive a corresponding reduction in funding relative to the number of sites targeted and served.

3. On which Implementation Step(s) should this county or region's funding be based?

Funding is based on the Implementation Step of at least 51 percent of participating sites or, if no Implementation Step reaches 51 percent of participating sites, the consortium's funding will be based on Step 2. See First 5 IMPACT RFA, Appendix K, First 5 IMPACT Five-Year Funding Projections and Site Targets for details about Implementation Step Funding and target requirements.

☐ At least 51 percent of participating sites will be at (Please check one):

Step 1	Step 2	Step 3
☐	☐	☐

OR

☐ Sites in this county will be at different Implementation Steps, but for this consortium, fewer than 50 percent of sites will be at any one Implementation Step; default funding level will be Step 2.

4. **Is this county (or any counties in the regional consortium) a current recipient of a CSPP QRIS Block Grant?**

   Counties that are not current CSPP QRIS Block Grant recipients may use First 5 IMPACT funds from Year 1 to develop their QRIS and conduct initial ratings of CSPP sites. Once CSPP QRIS Block Grant funds have been secured, those funds must support the rating and quality awards for sites with CSPP funding. First 5 IMPACT funds may be used to align, but not supplant, CSPP QRIS Block Grant activities.

   ☐ Yes, this county (or one or more counties in this region, if applying as a region) is a current recipient of the CSPP QRIS Block Grant

   ☐ No, this county is not (nor is any other county in the region, if applying as a region) a current recipient of the CSPP QRIS Block Grant

5. **Which reimbursement schedule will this Lead Agency adhere to?**

   Lead Agencies regions have the option to submit First 5 IMPACT Reimbursement Claims (forthcoming) on a quarterly basis or biannual basis. Please select one:

   ☐ Quarterly – due April 30, July 31, October 31, and January 31 of each year

   ☐ Biannual – due January 31 and July 31 each year

Section III. First 5 IMPACT Phase 1 Asset Map Template

This template is to be used for the submission of a First 5 IMPACT Phase 1 Asset Map for each consortium. Lead Agencies are encouraged (but not required) to seek input from potential community partners who will comprise their local/regional consortium to complete this Asset Map. **NOTE: If applying as a regional consortium**, every county in the region must complete this section, questions 1 through 5. It is the responsibility of the Lead Agency to collect information from participating counties in the region and submit each county's form with the Phase 1 application.

Name of County:

1. **What local community agencies currently provide <u>early learning</u> services or supports in your county?** Please identify all relevant agencies, not only potential members of your local consortium. You will be asked to identify consortium partners in the First 5 IMPACT Phase 2 High-Quality Action Plan (Form 3). Check all that apply and fill in the name of the agency.

☐	**A.** First 5 County Commission:
☐	**B.** CSPP Block Grant Lead Agency (if applicable):
☐	**C.** Local Educational Agency (if not otherwise included):
☐	**D.** RTT-ELC Lead (if not otherwise included):
☐	**E.** Institution(s) of Higher Education:
☐	**F.** Local Child Care Planning Council
☐	**G.** Resource & Referral Agency(ies):
Other agencies not listed above that provide services to children birth through age 5	
☐	**H.** Early Head Start/Head Start Grantees:
☐	**I.** Early Education and Support Division (EESD), CDE (e.g., CSPP, General Child Care, Alternative Payment, Migrant, CalWORKS Stage 2 & 3):
☐	**J.** County Health and Human Services (e.g., Child Welfare Services, Welfare to Work, WIC, etc.):
☐	**K.** Other (e.g., Family Resource Center(s), Home Visiting Program(s), Federal Migrant or Tribal Child Care Program, Library, etc.)

Definition of Terms for Tables

1. **Agencies and their Assets.** Complete the tables on the following pages to identify and describe current community assets that contribute to your county's current workforce quality, site-based CQI, and family engagement and strengthening efforts. Use the following terms to complete tables 2A, 3A, and 4A:

   - **Agency** – Identify the community agency using the drop-down menu; codes correspond to the agencies identified in question 1 of Section III (this section).

   - **Asset** – Identify one or more areas of current capacity for each selected agency, including:

     - *Resources* (funding, administrative staffing, materials for quality improvement activities, content expertise, etc.)

     - *Data* (database management, data collection, etc.) related to workforce, sites, or families

     - *Direct services* (professional development, coaching, mentoring, assessment, home visiting, preschool provider, etc.)

     - *Other* asset(s) not included in the three listed above

   - **Describe** – Provide a brief description of the agency's asset(s) and population served.

2. **Current Level of Collaboration.** Identify the level of collaboration among agencies currently supporting workforce quality, site-based CQI, and family engagement. Use the following definitions to guide your responses in tables 2B, 3B, and 4B:

   - **Communicate** – Informal interagency information sharing about activity or project, as needed

   - **Cooperate** – Interaction on discrete activities or projects while maintaining independent goals, and commitment and accountability to ones' own agency

   - **Coordinate** – Organizations systematically adjust and align work with each other for greater outcomes; semi-interdependent goals; structured communication and formalized information sharing

- **Collaborate** – Longer-term interaction and commitment to shared mission and goals; shared decision makers and resources; tactical information sharing, focused on systems change, pooled resources, shared goals, shared power, and shared accountability

2A. Current Workforce Quality Assets (e.g., coaching, T&TA, and higher education for teachers, administrators, and/or providers)

Agency	Current Assets				Description and Population Served
	Resources	Data	Direct Services	Other	
	☐	☐	☐	☐	
	☐	☐	☐	☐	
	☐	☐	☐	☐	
	☐	☐	☐	☐	
	☐	☐	☐	☐	
	☐	☐	☐	☐	
	☐	☐	☐	☐	
	☐	☐	☐	☐	
	☐	☐	☐	☐	

2B. Check the current level of collaboration among agencies working to improve workforce quality specifically related to (check only one):

	Communicate	Cooperate	Coordinate	Collaborate
a. Identifying workforce improvement goals, objectives and strategies	☐	☐	☐	☐
b. Implementing strategies to improve workforce quality	☐	☐	☐	☐
c. Recruiting and retaining early educators in workforce efforts	☐	☐	☐	☐

	Communicate	Cooperate	Coordinate	Collaborate
d. Meeting the education, training, and technical assistance needs of early educators from diverse cultural and linguistic backgrounds	☐	☐	☐	☐
e. Meeting the education, training, and technical assistance needs of early educators working in diverse settings (centers; family child care; license-exempt; family, friend, and neighbor care; alternative settings, etc.)	☐	☐	☐	☐
f. Funding workforce quality efforts	☐	☐	☐	☐
g. Collecting and analyzing workforce data	☐	☐	☐	☐

3A. Current Site-based CQI Assets (e.g., site T&TA assistance, rating and monitoring, etc.)

Agency	Current Assets				Description and Population Served
	Resources	Data	Direct Services	Other	
	☐	☐	☐	☐	
	☐	☐	☐	☐	
	☐	☐	☐	☐	
	☐	☐	☐	☐	
	☐	☐	☐	☐	
	☐	☐	☐	☐	
	☐	☐	☐	☐	
	☐	☐	☐	☐	
	☐	☐	☐	☐	

3B. Check the current level of collaboration among agencies working to support site-based CQI, specifically related to (check only one):

	Communicate	Cooperate	Coordinate	Collaborate
a. Identifying site-based CQI goals, objectives, and strategies	☐	☐	☐	☐
b. Implementing strategies to support CQI	☐	☐	☐	☐
c. Recruiting and retaining sites participating in quality improvement activities	☐	☐	☐	☐
d. Meeting the technical assistance needs of settings serving special populations of children (infants and toddlers, children with disabilities or other special needs, children who are homeless or in the foster care system, etc.)	☐	☐	☐	☐
e. Supporting quality improvement efforts in diverse settings (centers; family child care; license-exempt; family, friend, and neighbor care; alternative settings, etc.)	☐	☐	☐	☐
f. Funding CQI efforts	☐	☐	☐	☐
g. Collecting and analyzing site data	☐	☐	☐	☐

4A. Current Family Support and Strengthening Assets

Agency	Current Assets				Description and Population Served
	Resources	Data	Direct Services	Other	
	☐	☐	☐	☐	
	☐	☐	☐	☐	
	☐	☐	☐	☐	
	☐	☐	☐	☐	
	☐	☐	☐	☐	
	☐	☐	☐	☐	
	☐	☐	☐	☐	
	☐	☐	☐	☐	
	☐	☐	☐	☐	

4B. Check the current level of collaboration among agencies working to improve family and child outcomes, specifically related to (check only one):

	Communicate	Cooperate	Coordinate	Collaborate
a. Identifying goals, objectives, and strategies for engaging and strengthening families to support their children's early learning and development	☐	☐	☐	☐
b. Identifying goals, objectives, and strategies to ensure all children receive developmental screening	☐	☐	☐	☐

	Communicate	Cooperate	Coordinate	Collaborate
c. Identifying goals, objectives, and strategies to ensure all children have access to health services	☐	☐	☐	☐
d. Implementing strategies/programs to engage, strengthen, and meet the needs of families from diverse cultural and linguistic backgrounds and families with special populations of children (infants and toddlers, children with disabilities and other special needs, children who are homeless or in the foster care system, etc.)	☐	☐	☐	☐
e. Serving families with children in diverse early learning settings (centers, family child care, license-exempt, family, friend, and neighbor care, alternative settings, etc.)	☐	☐	☐	☐
f. Funding family engagement and strengthening efforts	☐	☐	☐	☐
g. Collecting and analyzing family data	☐	☐	☐	☐
h. Communicating the importance of high-quality early learning to families	☐	☐	☐	☐

5. In the space below, briefly summarize community strengths and efficiencies, as well as gaps, inefficiencies, and duplication of efforts related to assets (questions 2 A., B., and C.) and current levels of collaboration (questions 3 A.,B., and C.) in workforce development, site-based CQI, and family support and strengthening efforts.

a. Current strengths and efficiencies in workforce development, site-based CQI, and family support and strengthening efforts:

b. Current gaps, inefficiencies, and duplication in workforce development, site-based CQI, and family support and strengthening efforts:

FORM 3. First 5 IMPACT Phase 2 High-Quality Action Plan – Implementation Step Layer Funding (SAMPLE)

<u>The Phase 2 First 5 IMPACT High-Quality Action Plan is due November 20, 2015.</u>

For Phase 2 First 5 IMPACT Implementation Step funds, each participating Lead Agency and local consortium must develop a First 5 IMPACT High-Quality Action Plan (Action Plan). This Action Plan includes a description of how First 5 IMPACT funds will support the local CA-QRIS (Rating Matrix and Continuous Quality Improvement Pathways).

In addition to the First 5 IMPACT High-Quality Action Plan, the following forms also must be submitted:

- Form 4 First 5 IMPACT Five-Year Budget Table
- Form 5 First 5 IMPACT Annual Budget Table
- Form 6 First 5 IMPACT Annual Budget Narrative
- Form 7 First 5 IMPACT Performance Measure Targets

This template is to be used for the submission of a First 5 IMPACT High-Quality Action Plan for each consortium. Only Lead Agencies that have previously submitted the first two components of the First 5 IMPACT application, the Letter of Intent and the Phase 1 Asset Map, are eligible to submit the Action Plan for Phase 2 funding. Please fill out each section, as applicable, and sign and date.

Lead Agency	**Lead Agency Contact**	**Phone Number**
Address	**City**	**Zip Code**
Signature	**Date**	**E-mail**

Program Lead Contact Person	**Program Contact's E-mail**	**Phone Number**
Fiscal Lead Contact Person	**Fiscal Contact's E-mail**	**Phone Number**

By signing this signature page, the applicant(s) certify the information contained in the Phase 2 First 5 IMPACT High-Quality Action Plan is accurate and all forms required to be submitted as part of the RFA are certified to be true and binding on the applicants. Additionally, in signing this signature page, the Lead Agency is confirming it will use the

current CA-QRIS (Rating Matrix and Continuous Quality Improvement Pathways) and the QRIS Implementation Guide, found at the First 5 IMPACT webpage (http://www.ccfc.ca.gov/programs/programs_impact.html).

A. Local IMPACT Design – System Functions

1. Build Local Consortia

Successful county Early Learning and Development Systems, including QRIS, are built on broad-based stakeholder participation and effective governance structures. In this section, Lead Agencies will need to identify and obtain signatures from the required local consortium participants, identify other organizations participating in their local consortium, develop a process for regularly bringing together the local consortium, and develop a governance structure. This includes delineating the decision-making process, identifying and defining roles and responsibilities, and creating an alignment across the partnerships and CQI efforts.

NOTE: If applying as a regional consortium, every county in the region must complete questions 1a and 1b. It is the responsibility of the Lead Agency to collect information from participating counties in the region and submit each county's form with the Phase 1 application.

Name of County:

1a. Consortium Partner Signatures

i. The local consortium must include representatives from the organizations identified below. • *Fill out the required information and secure stakeholder signatures.* • *Add additional signature blocks as needed.* • *If applying as a region, the required participants for each county must be included.* *Signing this section means that representatives have read and concur with the application that is being submitted.*
First 5 County Commission (required)
Agency:
Print Name of Representative:
Title of Representative:

Signature:	Date:
E-mail:	Phone:
CSPP Block Grant Lead Agency (if applicable)	
Agency:	
Print Name of Representative:	
Title:	
Signature:	Date:
E-mail:	Phone:
Local Educational Agency (required if no CSPP Block Grant or in addition to above)	
Agency:	
Print Name of Representative:	
Title:	
Signature:	Date:
E-mail:	Phone:
RTT-ELC Lead (required if not otherwise included)	
Agency:	
Print Name of Representative:	
Title:	
Signature:	Date:
E-mail:	Phone:
Institution(s) of Higher Education (required)	
Agency:	
Print Name of Representative:	

Title:		
Signature:		Date:
E-mail:	Phone:	
Local Child Care Planning Council (required)		
Agency:		
Print Name of Representative:		
Title:		
Signature:		Date:
E-mail:	Phone:	
Local Resource & Referral Agency(ies) (required, include all in county)		
Agency:		
Print Name of Representative:		
Title:		
Signature:		Date:
E-mail:	Phone:	
Optional additional partners (other local agencies that provide services to children birth through age 5, such as County Health and Human Services Agency or Family Resource Centers)		
Agency:		
Print Name of Representative:		
Title:		
Signature:		Date:
E-mail:	Phone:	

Template for additional optional partners:

Optional additional partners (other local agencies that provide services to children birth through age 5, such as County Health and Human Services Agency or Family Resource Centers)	
Agency:	
Print Name of Representative:	
Title:	
Signature:	Date:
E-mail:	Phone:

1b. Consortium Partner Roles

ii. ***All Implementation Steps:*** *Describe local IMPACT activities and services by agency, providing location, population served, approach taken to identify gaps and opportunities (including professional development, technical assistance, on-site consultation, and coaching), and how the consortia will work locally to effectively increase coordination and alignment with participating sites.*	
Identify required partners and all relevant agencies that are committed partners within the local consortium. Check all that apply, fill in the name of the agency, and describe the role(s) of each checked agency within the local IMPACT model.	
Required Consortium Partners	
☐	**A.** First 5 County Commission: Role:
☐	**B.** CSPP Block Grant Lead Agency (if applicable): Role:
☐	**C.** Local Educational Agency (if not otherwise included):: Role:
☐	**D.** RTT-ELC Lead (if not otherwise included): Role:

☐	**E.** Institution(s) of Higher Education: Role:
☐	**F.** Local Child Care Planning Council: Role:
☐	**G.** Resource & Referral Agency(ies): Role:
Optional Consortium Partners	
☐	**H.** Early Head Start/Head Start Grantees: Role:
☐	**I.** Early Education and Support Division (EESD), CDE (e.g., CSPP, General Child Care, Alternative Payment, Migrant, CalWORKS Stage 2 & 3): Role:
☐	**J.** County Health and Human Services (e.g., Child Welfare Services, Welfare to Work, WIC, etc.): Role:
☐	**K.** Other (e.g., Family Resource Center(s), Home Visiting Program(s), Federal Migrant or Tribal Child Care Program, Library, Parent Groups, etc.) Role:

1c. Convening and Strengthening Partnerships and Local Governance

iii. Describe how the consortium brought together required partners and other organizations (those checked in Section 1b.) in the county or region with the same goal of improving the quality of early learning for children from birth through age five and supporting improved outcomes for sites, early educators, children, and families.
iv. Describe how the consortium has/will develop a local governance structure, including the process for defining roles and responsibilities, collaboration, and decision-making. *If you have related visuals, such as a flow chart, include it below or as an attachment.*

v. Describe how the consortium will ensure engagement by all partners in the local First 5 IMPACT work.
vi. Describe the consortium's guiding vision, mission, principles, and outcomes for how the local First 5 IMPACT system sectors work together or describe a plan to develop these during the First 5 IMPACT funding period.
vii. Describe strategies to: o *Engage stakeholders from the broader community of business, civic leaders, etc. and support them to ensure their active engagement* o *Support parents to ensure their active engagement* o *Create alignment across the partnerships within broader quality improvement and local First 5 IMPACT efforts*

2. Finance Strategically – Identify Funding Sources and Sustainability Strategies

In this section, Lead Agencies and their consortium will need to identify and maximize innovative funding strategies that will help maintain long-term sustainability of the local First 5 IMPACT efforts. This includes identifying funding resources from all sectors that are being made available to assist in the development, implementation, and validation of the local QRIS. This is accomplished through defining roles and responsibilities of the local consortium agencies and the resources they bring to the local First 5 IMPACT model and highlighting what funding streams are being matched and leveraged.

Additional information will be captured the First 5 IMPACT RFA – Fiscal Budget and Budget Narrative (Forms 4–6).

i. Describe work with existing partners in the county/region to identify and maximize innovative funding strategies that will help maintain long-term sustainability of the local First 5 IMPACT model. Identify any new funding partners that will be targeted

over the duration of First 5 IMPACT.
ii. Describe funding resources from all sectors that are being made available to assist in the development, implementation, and validation of the local First 5 IMPACT model.

3. Enhance and Align Standards – The Consortium's Local First 5 IMPACT Model

In this section, the consortium will provide an overview of their local IMPACT model, including key indicators of quality. Consortia should identify the element(s) specifically from the CA-QRIS Framework and describe how services and practices are integrated across system sectors, as appropriate.

NOTE: If applying for Step 3, applicants must also complete the QRIS Rating Matrix template at the end of this High-Quality Action Plan to indicate local changes to Tiers 2 and 5.

3a. Overview of the Consortium's CA-QRIS

i. Provide a brief summary of the consortium's First 5 IMPACT model for all applicable Implementation Steps including background information on the development of local CQI efforts.
ii. Describe the plan for engaging and increasing the quality of sites that serve special populations of children, including dual language learners, children with disabilities and other special needs, infants and toddlers, migrant, tribal, and children who are homeless or in the foster care system, as applicable.
iii. Describe how the consortium's local First 5 IMPACT model will align and work with the CSPP QRIS Block Grant.

iv. Describe how the consortium's First 5 IMPACT model will align and work with the Infant/Toddler QRIS Block Grant.

3b. Local CA–QRIS Elements and Tiers

v. Check the elements included in each Step of your local CA-QRIS. Step 2 must include Effective Teacher-Child Interactions and Family Engagement Step 3 must include all elements of the Rating Matrix.			
CA-QRIS Elements	**Step 1**	**Step 2**	**Step 3**
RATING MATRIX			
1. Child Observation	☐	☐	☐
2. Developmental and Health Screenings	☐	☐	☐
3. Minimum Qualifications for Lead Teacher/Family Child Care Home (FCCH)	☐	☐	☐
4. Effective Teacher-Child Interactions: CLASS® Assessment	☐	☐	☐
5. Ratios and Group Size	☐	☐	☐
6. Program Environment Rating Scale(s)	☐	☐	☐
7. Director Qualifications	☐	☐	☐
CONTINUOUS QUALITY IMPROVEMENT PATHWAYS *Steps 2 and 3 must include Effective Teacher-Child Interactions and Family Engagement*			
1. School Readiness	☐	☐	☐
2. Social-Emotional Development	☐	☐	☐
3. Health, Nutrition, and Physical Activity	☐	☐	☐
4. Effective Teacher-Child Interactions	☐	☐	☐
5. Professional Development	☐	☐	☐
6. Environment	☐	☐	☐
7. Program Administration	☐	☐	☐
8. Family Engagement	☐	☐	☐

vi. For each element checked in 3b above, describe how the consortium will incorporate the CA-QRIS Framework into the local model, including strategies.

vii. ***Step 3 only:*** *Complete the following matrices to indicate alignment and local differences in reference to the Rating Matrix. Refer to the CA-QRIS Matrix (RFA Appendix D). Please indicate using a check mark whether Local Tier 2 is based on points or is blocked for licensed early learning centers and family child care homes. Also provide local changes to Tiers 2 and 5, if applicable.*

TOTAL POINT RANGES: LICENSED EARLY LEARNING CENTERS		
	CA-QRIS Point Range	**Changes to Local Tiers 2 and 5, if applicable**
Tier 1 (Common)	**Blocked** (No Point Value) – Must Meet All Elements	
Tier 2 (Local)	☐ 8 to 19 points **Local Modification:** *(please describe in box to the right)* ☐ Local Block ☐ Other	
Tier 3 (Common)	20 to 25 points	
Tier 4 (Common)	26 to 31 points	
Tier 5 (Local)	☐ Points 32 and above **Local Modification:** *(please describe in box to the right)* ☐ Blocked (describe) ☐ Points plus additional requirement ☐ Local Block ☐ Other	

TOTAL POINT RANGES: LICENSED FAMILY CHILD CARE HOMES		
	CA-QRIS Point Range	**Changes to Local Tiers 2 and 5, if applicable**
Tier 1 (Common)	**Blocked** (No Point Value) – Must Meet All Elements	
Tier 2 (Local)	☐ 6 to 13 points **Local Modification:** *(please describe in box to the right)* ☐ Local Block ☐ Other	
Tier 3 (Common)	14 to 17 Points	
Tier 4 (Common)	18 to 21 points	
Tier 5 (Local)	☐ 22 Points and above **Local Modification:** *(please describe in box to the right)* ☐ Blocked (describe) ☐ Points plus additional requirement ☐ Local Block ☐ Other	

4. Recruit and Engage Participants – Early Learning Setting Outreach

Engagement of early learning sites across the full spectrum of setting types are critical to system-wide success of a QI initiative. In this section, the consortium will demonstrate the types and methods of strategic communication used to increase culturally and linguistically diverse participation across the early learning settings in the local First 5 IMPACT model. Include who will lead the specific activities and work (e.g., Lead Agency, funded IMPACT consortium partner, consortium partner using other funds, contractor, etc.) and specify the role of First 5 IMPACT funding in supporting local consortium activities, as applicable.

The Performance Measure Targets (Form 7) captures baseline data and goals, types and numbers of, and quality level (if known).

i.	*Describe the types and methods of outreach the consortium will use to recruit and engage early learning sites across the full spectrum of setting types, ensure culturally and linguistically diverse participation, and include FCCH and centers serving infants and toddlers. Also note any special outreach to sites serving dual language learners, children with disabilities and other special needs, migrant, tribal, and children who are homeless or in the foster care system, as applicable.*
ii.	*Describe the type(s) of sites that will be a priority for participation in your consortium, including outreach strategies.*
iii.	*If the consortium plans to include FFN care providers in the local First 5 IMPACT model, please describe engagement and implementation strategies.*
iv.	*If the consortium plans to include alternative settings in the local First 5 IMPACT CA-QRIS, describe engagement strategies and the service model.*

5. Create and Support Improvement Strategies –CQI Process

In this section, the consortium will describe the CQI process for participating sites. This includes how needed improvements are determined, the types of CQI activities that will be incorporated, goals for improvement activities and mechanisms for determining that goals were met, how CQI strategies will support quality improvement and child outcomes, and incentives provided to participants at the site and early educator levels.

Include who will lead the specific activities and work (e.g., Lead Agency, First 5 IMPACT-funded consortium partner, consortium partner using other funds, contractor, etc.) and specify the role of First 5 IMPACT funding in supporting local consortium activities, as applicable.

5a. All Steps

i. Describe the consortium's process to identify gaps and opportunities for sites in accessing CQI services and supports.
ii. Describe the CQI process for participating sites. Include information on how the process varies by tiered rating (if applicable) and/or setting type.
iii. How does the consortium plan to address the CQI process for each element included in the local First 5 IMPACT model (address all elements checked in question 3b.)?
iv. What types of incentives will the consortium use to encourage providers to participate in local First 5 IMPACT model (e.g., financial incentives, training, classroom materials)? Include information on how incentives vary by Implementation Step or tiered rating (if applicable).

5b. Steps 2 and 3 only

v. How will the consortium use the CA-QRIS CQI Pathways?
vi. How will the consortium address effective teacher-child interactions? How does the professional development system include intentional training and education on interpreting and using data for planning and improvement of practice?
vii. How will the consortium encourage and support early educators to engage in ongoing professional development, including attainment of higher levels of

education? Include information on how institutions of higher education will be involved to support early educators in the local First 5 IMPACT model.
viii. How will the consortium address effective family engagement and strengthening?

6. Ensure Accountability – Rating, Assessing, and Monitoring, and Evaluating the Impacts on Child Outcomes

In this section, the consortium will describe their processes for monitoring improvement of participating sites and collecting common data fields relevant to the Implementation Step. The consortium also must include who will lead the specific activities and work (e.g., Lead Agency, First 5 IMPACT-funded consortium partner, consortium partner using other funds, contractor, etc.) and specify the role of First 5 IMPACT funding in supporting local consortium activities, as applicable.

Consortia in Steps 2 and 3 will describe the local or regional data system they will use to track progress on outcomes and benchmarks, as well as their process to regularly review and use data to guide continuous improvement and inform planning, policy, practice, and operation. They also will describe strategies to coordinate program monitoring and accountability across sectors where appropriate (e.g., a single or coordinated monitoring visit or sharing monitoring data across sectors or funding streams). In addition, Step 3 will need to describe the Rating and Assessment process.

6a. All Steps

i. How is the consortium collecting data and implementing a local monitoring process?
ii. Describe the consortium's process for monitoring and evaluating the impact of your quality improvement efforts. Include child, early educator, and site outcomes, as applicable.

6b. Step 3 Only

iii.	*Within the requirements of the Implementation Guide, what are the local QRIS rating and monitoring frequency decisions (based on local goals and resources)?*
iv.	*Describe how the consortium will ensure the qualifications of those who are conducting the assessments (QRIS ratings) will meet the requirements of the Implementation Guide. Include the process(es) for ongoing quality control for maintaining an appropriate degree of rigor, including inter-rater reliability, in its rating processes.*
v.	*What local or regional QRIS data system will the consortium utilize to track progress on outcomes?*

7. Outreach and Communication – Disseminating Information to Parents and the Public About Program Quality (Step 3 only)

In this section, the consortium will need to describe its plan to disseminate information to parents and the public about quality, including site-specific tiered ratings and participation in CQI activities. In addition, the consortium must provide a plan to increase family and public awareness of the characteristics of quality early learning programs and the impact of quality on improved outcomes for children. Include who will lead the specific activities and work (e.g., Lead Agency, funded First 5 IMPACT consortium partner, consortium partner using other funds, contractor, etc.) and specify the role of First 5 IMPACT funding in supporting local consortium activities, as applicable.

i.	*Describe the consortium's campaign to inform the public about its local QRIS, including publication of ratings.*
ii.	*Describe how the consortium will work together with the local resource and referral agency(ies), and other partners to:* • *Increase family and public awareness of characteristics of early learning program*

quality that promote better outcomes for children • *Make quality rating data available to parents inquiring about early learning and child care programs*
iii. Describe how the consortium will incorporate and connect to the Talk. Read. Sing.® campaign in its local First 5 IMPACT activities.

FORM 4. First 5 IMPACT Five-Year Budget Table (SAMPLE)

Instructions:
Each Lead Agency must submit a First 5 IMPACT Five-Year Budget Table that includes the costs associated with each budget category for each fiscal year. The amounts listed should add up to the total overall funding allocation for each Lead Agency.

Budget Category	FY 2015–16 (a)	FY 2016–17 (b)	FY 2017–18 (c)	FY 2018–19 (d)	FY 2019–20 (e)	Total (f)
1. Salaries						
2. Benefits						
3. Materials and Supplies						
4. Travel						
5. Equipment (<$2,500)						
6. Incentives						
7. Contractual						
8. Other (*please specify*):						
9. Total Direct Costs (add lines 1-8)						
10. Indirect Costs						
11. Total First 5 IMPACT Funds Requested (add lines 9-10)						
12. Match and/or Leveraged Funds used to support county/region First 5 IMPACT efforts						
13. Total County/Regional Budget (add lines 11–12)						

Columns (a) through (e): For each fiscal year of your county's First 5 IMPACT for which funding is requested, show the total amount requested for each applicable budget category.
Column (f): Show the total amount requested for all fiscal years.
Line 7: Show the amount of funds allocated through contracts with vendors for products to be acquired and/or professional services to be provided. A county/region may apply its indirect cost rate only against the first $25,000 of each contract included in line 8.
Line 10: Indirect Costs are based on the county's indirect cost rate and the Total Direct Costs in Line 9. Cannot exceed 15% of total reimbursable costs paid by F5CA.

FORM 5. First 5 IMPACT Annual Budget and Reimbursement Table (SAMPLE)

BUDGET CATEGORY	Local Administration & Build Local Consortia	Finance Strategically	Enhance & Align Standards	Recruit & Engage Participants	Create & Support Improvement Strategies	Ensure Accountability	Outreach & Communication	TOTALS
Personnel								
Salaries								$0
Benefits								$0
A. TOTAL PERSONNEL	$0	$0	$0	$0	$0	$0	$0	$0
Operating								
Materials and Supplies								$0
Travel								$0
Equipment (unit cost of less than $2,500)								$0
Incentives/Stipends								$0
Contractual								$0
Other: {please specify}								$0
B. TOTAL OPERATING	$0	$0	$0	$0	$0	$0	$0	$0
C. TOTAL DIRECT COSTS (A+B)	$0	$0	$0	$0	$0	$0	$0	$0
Indirect Costs								
Costs Not Subject to Indirect								$0
Total Costs Used to Calculate Indirect	$0	$0	$0	$0	$0	$0	$0	$0
D. INDIRECT COSTS (CANNOT EXCEED 15%) 0.00%	$0	$0	$0	$0	$0	$0	$0	$0
E. TOTAL FIRST 5 IMPACT FUNDS (C+D)	$0	$0	$0	$0		$0	$0	$0
Match and/or Leveraged Funds to Support Local First 5 IMPACT Efforts								
First 5 County Commission								$0
California Department of Education								$0
County Office of Education								$0
County Health and Human Services								$0
School District								$0
Donations								$0
Grants								$0
Other: {please specify}								$0
F. TOTAL MATCH/LEVERAGED FUNDS	$0	$0	$0	$0	$0	$0	$0	$0
G. TOTAL FUNDS TO SUPPORT FIRST 5 IMPACT (E+F)	$0	$0	$0	$0	$0	$0	$0	$0

I, the official named below, hereby request First 5 IMPACT funding in the amounts represented in the above Table. I certify that the information represented on this form (Form 5) and in the First 5 IMPACT Budget Narrative (Form 6) are true and correct to the best of my knowledge and compliant with the requirements of the First 5 IMPACT RFA.

Name of Lead Agency:	Fiscal Year:	Reporting Period:	***First 5 California Only***
Name of Lead Agency Executive Director or Authorized Designee:			Fiscal Analyst:
			Program Consultant:
Signature *(please sign and date above)*			Division Manager:

FORM 6. First 5 IMPACT Annual Budget Narrative (SAMPLE)

Instructions
A detailed First 5 IMPACT Budget Narrative must be submitted with First 5 IMPACT Budget and Reimbursement Tables (Form 5) when reporting or amending budgets (narrative is not required to be submitted with reimbursement claims). The following information, at a minimum, must be included for each budget category. When more than one agency or local entity within a county/regional consortium is contributing financial resources to a project (First 5 IMPACT or other funds), the consortium should indicate which agency or local entity is responsible for expending funds in each budget category.

Expenditures must be broken down on the First 5 IMPACT Budget and Reimbursement Table by system function. The total fiscal year expenditures for each budget category displayed in this narrative must agree with the total reflected in Form 5.

Insert lines and adjust tables as necessary to reflect the requested information.

Salaries
Provide:
- Title of each position to be compensated under this project
- Agency that funds each position
- Salary for each position under this project
- Amount of time, such as hours or percentage of time, to be expended by each position under this project
- Any additional basis for cost estimates or computations

Explain:
- Specific responsibilities of each position and the importance of each position to the success of the project

Salaries: The following requested personnel will work on First 5 IMPACT					
Position	**Description**	**Agency**	**% FTE**	**Base Salary**	**Total**
Total					

Benefits
Provide:
- The benefit percentages for all personnel in the project
- The basis for cost estimates or computations

Materials and Supplies
Provide:
- An estimate of materials and supplies needed for the project for each agency, by nature of expense or general category (e.g., instructional materials, office supplies, etc.)
- The basis for cost estimates or computations

Travel
Provide by agency:
- An estimate of the number of trips
- An estimate of travel-related costs for each trip
- Any additional basis for cost estimates or computations

Explain:
- The purpose of the travel

Travel					
Title	**Purpose**	**Agency**	**Number of Trips**	**Cost per Trip**	**Total**
Total					

Equipment
Provide:
- Type of equipment to be purchased by each agency
- Unit cost for each item to be purchased
- Any additional basis for cost estimates or computations

Explain:
- The justification of the need for the equipment to be purchased

Note: First 5 IMPACT funds can be used to purchase equipment with a unit cost of $2,500 or less. Equipment being purchased for a participating site must be identified in a site improvement plan. Unit cost includes all costs required to make the item serviceable, such as taxes, freight, installation costs, site preparations costs, etc.

Equipment					
Item	**Purpose**	**Owner/Entity**	**Cost of Item**	**Item Description**	**Total**
Total					

Incentives
Provide:
- Description of the types of incentives provided to programs, teachers, and/or administrators to encourage them to reach higher levels of quality and/or participation in their local First 5 IMPACT

Explain:
The purpose of the incentive

Contractual
Provide:
- Products to be acquired and/or the professional services to be provided
- Agency responsible for the contract
- Estimated cost per expected procurement and potential contractor
- For professional services contracts, the amounts of time to be devoted to the project, including the costs to be charged to the proposed First 5 IMPACT
- Any additional basis for cost estimates or computations

Explain:
- The purpose and relation to the project

Other
Provide:
- Other items by major type or category (e.g., communications, printing, postage, equipment rental) by an agency
- Cost per item (printing = $500, postage = $750)
- Any additional basis for cost estimates or computations

Explain:
- Purpose of expenditures

Total Direct Costs
Provide:
- The sum of direct costs for the applicable fiscal year

Indirect Costs
Provide:

- Identify and apply the indirect cost rate (attach documentation of approved/recognized indirect cost rate[s] if available)
- Identify what categories indirect cost rate is being applied to
- A Lead Agency may apply its indirect cost rate only against the first $25,000 of each contract

Total Funds Requested
Provide:
- The sum of direct and indirect costs for the applicable fiscal year

Match and/or Leveraged Funds to Support Local First 5 IMPACT Efforts
Funds used as match can come from existing programs aligning with CA-QRIS and/or First 5 IMPACT, with the exception of F5CA's CARES Plus and CSP 1 and 3 Extension programs.

Allowable matching funds include, but are not limited to, the following:
- Proposition 10 county tax revenue
- Small Population County Funding Augmentation
- Federal (i.e., Early Head Start, Head Start, RTT-ELC, CSPP, Infant/Toddler QRIS Block Grant, AB 212, etc.)
- Local Workforce Investment Board
- Local government
- Non-profit organization
- Private foundation
- Grants
- In-kind (salary, space, etc.)
- Other gifts

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

Provide:
- Partner/resource providing leverage/match funding and amount
- Use of funding within First 5 IMPACT
- Type of match provided (program alignment, cash, in-kind, donation, etc.)
- Mechanism/manner of receiving funds from locals
- Any additional basis for cost estimates or computations
- **NOTE**: If Lead Agencies cannot provide a breakdown of this funding by system function, include all match/leveraged funding in the Local Administration and Build Local Consortia column of Form 5

Explain:

- How funding aligns with First 5 IMPACT

Match and/or Leveraged Funds					
Partner	**Use**	**Program/Alignment**	**Match Type**	**Mechanism (contract, MOU, etc.)**	**Total**
Total of All					

Total Funds to Support First 5 IMPACT

Provide:

- The sum of all expenditures (direct, indirect, and match/leveraged funds) for the applicable fiscal year

FORM 7. First 5 IMPACT Performance Measure Targets (SAMPLE)

First 5 IMPACT Performance Measure Targets																				
County Name:																				
		FY 2015-16				FY 2016-17				FY 2017-18				FY 2018-19				FY 2019-20			
		Step 1	Step 2	Step 3	Total	Step 1	Step 2	Step 3	Total	Step 1	Step 2	Step 3	Total	Step 1	Step 2	Step 3	Total	Step 1	Step 2	Step 3	Total
Total Center-Based Sites					*0*				*0*				*0*				*0*				*0*
*Count of Sites by Program Funding Sources - Included in "Total Center-Based Sites" Above **	*Early Head Start*				*0*				*0*				*0*				*0*				*0*
	Head Start				*0*				*0*				*0*				*0*				*0*
	General Child Care				*0*				*0*				*0*				*0*				*0*
	California State Preschool				*0*				*0*				*0*				*0*				*0*
	Title I				*0*				*0*				*0*				*0*				*0*
	Tribal				*0*				*0*				*0*				*0*				*0*
	Migrant				*0*				*0*				*0*				*0*				*0*
	License Exempt				*0*				*0*				*0*				*0*				*0*
	Private				*0*				*0*				*0*				*0*				*0*
Total Family Child Care Sites					*0*				*0*				*0*				*0*				*0*
Total Family, Friend, and Neighbor Sites**					*0*				*0*				*0*				*0*				*0*
Total Home Visiting Programs**					*0*				*0*				*0*				*0*				*0*
Total Family Resource Centers**					*0*				*0*				*0*				*0*				*0*
Total Other Alternative Early Learning Sites**					*0*				*0*				*0*				*0*				*0*
Total Sites		**0**	**0**	**0**	**0**	**0**	**0**	**0**	**0**	**0**	**0**	**0**	**0**	**0**	**0**	**0**	**0**	**0**	**0**	**0**	**0**

Note:

* Site counts in "Total" line items must be unduplicated counts. Site counts in specific funding categories (italicized above) may be counted in multiple line items to demonstrate layered site funding models.

** Family, Friend, and Neighbor, Home Visiting Program, Family Resource Center and Alternative Early Learning Sites are defined in the First 5 IMPACT RFA "Program, Administrative, and Fiscal Accountability" Section.

VIII. APPENDICES

The following appendices are included in this RFA as resources for Lead Agencies to develop, implement, and monitor First 5 IMPACT:

Appendix A. First 5 California Strategic Priority Areas 1 and 2

Appendix B. First 5 IMPACT Glossary

Appendix C. First 5 IMPACT Acronyms

Appendix D. RTT-ELC Rating Matrix

Appendix E. RTT-ELC Continuous Quality Improvement Pathways

Appendix F. Crosswalk of the CA-QRIS Core Areas, the Comprehensive Early Childhood System, and F5CA's CARES Plus and CSP

Appendix G. First 5 IMPACT Implementation Steps

Appendix H. First 5 IMPACT Evaluation Framework Phases and Description

Appendix I. First 5 IMPACT Site-Level Common Data Fields

Appendix J. First 5 IMPACT Layered Funding Approach

Appendix K. First 5 IMPACT Five-Year Funding Projections and Site Targets

APPENDIX A. First 5 California Strategic Priority Areas 1 and 2

The goal of First 5 IMPACT is to support the implementation of the California Children and Families Readiness Act as well as the goals of the First 5 California Strategic Plan, specifically in Strategic Priority Area (SPA) 1, and incorporate objectives and activities within Goals 1.1., 1.2., 1.3.

SPA 1. Children and Families *– Support children prenatal through age 5 and their families by providing culturally and linguistically effective resources, knowledge, and opportunities for them to develop the skills needed to achieve their optimal potential in school and life.*

Goal 1.1. Child Health – Children prenatal through age 5 and their families access the full spectrum of health and behavioral health services needed to enhance their well-being.

Goal 1.2. Early Learning*– Children birth through age 5 benefit from high quality early education, early intervention, family engagement, and support that prepares all children to reach their optimal potential in school and life.*

Goal 1.3. Family and Community Support and Partnership *– Families and communities are engaged, supported, and strengthened through culturally effective resources and opportunities that assist them in nurturing, caring, and providing for their children's success and well-being.*

The recommendations also support SPA 2, Goals 2.1. and 2.2., and corresponding objectives.

SPA 2. System and Network *– Provide leadership to the First 5 movement and the development of a support system serving children prenatal through age 5, their families, and communities that results in sustainable and collective impact.*
achieve their optimal potential in school and life.

Goal 2.1. Leadership as a Convener and Partner *– Work with First 5 county commissions, state agencies, and other stakeholders to convene, align, collaborate on, support, and strengthen statewide efforts and initiatives to* ***facilitate the creation of a seamless system of integrated and comprehensive programs and services*** *to improve the status and outcomes for children prenatal through age 5 and their families.*

Goal 2.2. Resource Exchange and Stewardship *– Strategically fund and co-fund, align resources, facilitate the exchange of information and best practices, and seek new opportunities to maximize positive impact for children prenatal through age 5 and their families.*

APPENDIX B. Glossary

AB 212 refers to Assembly Bill (AB) 212 (Chapter 547, Statutes of 2000) that established the state-funded Child Development Staff Retention Fund intended to fund retention activities for highly qualified staff who work directly with children in CDE-funded centers or family child care home education networks. This funding is administered by Local Child Care and Development Planning Councils.

Action Plan – see **First 5 IMPACT High-Quality Action Plan** in this Glossary.

Alternative Settings are community and home-based settings which are not child care or preschool sites and provide early learning and school readiness services to parents and young children. These include, but are not limited to, Early Head Start Home-Based Services, and family support and school readiness groups held at family resource centers, Boys and Girls Clubs, and libraries.

Annual Performance Report (APR) describes county successes, challenges, and lessons learned in developing system functions and Implementation Step activities. The APR will include updates to the Action Plan, as needed, and data reflecting performance measure targets and progress.

Applicant refers to a local consortium requesting funding from the First 5 IMPACT administered by F5CA.

Asset Mapping refers to a display of local consortium agencies and the resources they bring to First 5 IMPACT and the local CA-QRIS. Asset mapping describes resources/assets, such as fiscal, staffing, projects, infrastructure, and relationships working toward a common goal(s).

Ages and Stages Questionnaires (ASQ) is a series of 19 parent-completed questionnaires designed to screen the developmental performance of children in the areas of communication, gross motor skills, fine motor skills, problem solving, personal-social skills, and overall development across time. The age-appropriate scale is completed by the parent or caregiver. The items on the scale represent behaviors the child should be able to perform at that age.

Ages and Stages Questionnaires:Social Emotional (ASQ:SE) is a screening tool that identifies infants and young children whose social and emotional development requires further evaluation to determine if referral for intervention services is necessary. The ASQ:SE is completed by parents and/or caregivers.

Base Layer Funds (Phase 1) refers to a funding layer that makes up approximately 30 percent of County/Region Allocation funds and are based on two factors that are equally weighted: 1) the number of children ages 0 to 5 in poverty; and 2) licensed facilities located within the county. These funds will support the operations of the local CA-QRIS, covering expenses such as planning and coordinating, and hiring staff.

CA-QRIS is the California QRIS Framework developed during the Race to the Top-Early Learning Challenge (RTT-ELC) grant. The CA-QRIS includes the Rating Matrix and the Continuous Quality Improvement (CQI) Pathways. It encompasses 15 elements of quality including seven rated elements and eight elements on the CQI Pathways. The CA-QRIS is inclusive of a continuum of quality improvement efforts ranging from quality improvement (QI) efforts with a single focus, such as family engagement, to a quality improvement system (QIS) that covers multiple quality elements, such as CARES Plus, and finally to a full QRIS which includes rating and public outreach.

CA-QRIS Implementation Guide is a guide for operating and maintaining a local QRIS that incorporates the RTT-ELC Quality Continuum Framework and its associated Rating Matrix. The Implementation Guide is posted on the First 5 IMPACT website at http://www.ccfc.ca.gov/programs/programs_impact.html.

California State Preschool Programs CSPP) are programs per *Education Code* commencing with Article 7, Chapter 2 (sections 8235–8239) and includes, for the purposes of this grant, Family Child Care Home Education Networks providing CSPP services. This includes full-day, full-year and part-day, school year programs.

Child Care and Development Block Grant (CCDBG) is the federal CCDBG Act of 2014 which reauthorized the Act of 1990 through Senate Bill 1086 (42 USC 9801, 2014). The Act authorizes the CCDF as the funding mechanism for the block grant, which is the main source of federal funding for states to provide child care programs and support services for low-income families. The reauthorization includes specific state requirements that aim to improve child care quality, health, safety and access, including but not limited to, expanded requirements related to facility licensing and inspections, provider background checks, parent and provider education, program and eligibility requirements, quality improvement activities, and caregiver and educator training and professional development. States must implement changes to this law for inclusion in their CCDF State Plans by federal Fiscal Year 2016–18.

Child Care and Development Block Grant Quality Improvement Projects, also referred to as **CCDF Quality Improvement Projects,** is the funding set-aside, required by the CCDBG and funded through the CCDF, that states must spend on specific activities to improve the quality of child care and support services for parents. The CCDBG reauthorization of 2014 increased the minimum quality set-aside from 4 percent to 9 percent over a 5-year period, with an additional requirement for states to spend a minimum of 3 percent to improve quality for infants and toddlers.

Child Care and Development Fund (CCDF) is the federal fund authorized under the federal CCDBG (Senate Bill 1086, 42 USC 9801, 2014) and allocated to states in order to implement the CCDBG requirements.

Children with High Needs refers to children from birth through kindergarten entry who are from low-Income families or otherwise in need of special assistance and support,

including children who have disabilities or developmental delays; are English learners; reside on “Indian lands” as defined by Section 8013(6) of the United States Department of Education, Elementary and Secondary Education Act; are migrant, homeless, or in foster care; infants and toddlers; receive protective services through the local county welfare department; are identified by a legal, medical, social service agency, or emergency shelter as abused, neglected, exploited, or at risk of abuse, neglect, or exploitation.

CLASS® is the Classroom Assessment Scoring System® and is an observation tool designed by the University of Virginia to measure the quality of classroom processes and teacher-child interactions.

Coaching is a relationship-based process led by an expert with specialized and adult learning knowledge and skills, who often serves in a different professional role than the recipient(s).

Collaborative is a cooperative association of individuals or groups that work together to accomplish common goals and objectives. Most collaboration requires leadership, although the form of leadership can be informal within a decentralized and egalitarian group. In particular, teams that work collaboratively can obtain greater resources, recognition, and reward when facing competition for finite resources.

Common Data Fields for First 5 IMPACT refers to a common set of site-level data fields (e.g., program type, funding sources, program participation, demographics, staff qualifications, etc.). The Common Data Fields provide standard data definitions for accountability and evaluation reporting while aligning First 5 IMPACT with state and federal data collection efforts.

Consortium refers to one of two types:

- **Local consortium** refers to a local entity, administered by a Lead Agency, and convenes a planning body that designs and implements a QRIS. A local consortium shall include representatives from organizations, including, but not limited to, all of the following:
    - First 5 county commission
    - CSPP Block Grant lead agency
    - Local educational agency
    - RTT-ELC lead agency
    - Institutions of higher education
    - Local child care planning council

- Local resource and referral agencies

- Other local agencies, including nonprofit organizations that provide services to children birth through age 5

- **Regional Consortium** is a group of counties within a geographic region of the state that collaborate to submit an application for First 5 IMPACT and design and implement a common local CA-QRIS model across the region. The regional consortium shall be representative of the entire region with partners equitably represented. One of the participating counties in the region must serve as the Lead Agency for the regional consortium and is responsible for convening representatives from each county in the region to design and implement the regional CA-QRIS model. In order to obtain the allocated First 5 IMPACT funds from the counties within the consortium, the following conditions must be met within each participating county: 1) achieve all county site targets; and 2) obtain all required consortia partners with corresponding signatures from Form 3.

Data System Oversight Requirements refers to policies for ensuring the quality, privacy, and integrity of data contained in a data system, including both of the following:

- A data governance policy that identifies the elements that are collected and maintained; provides for training on internal controls to system users; establishes who will have access to the data in the system and how the data may be used; sets appropriate internal controls to restrict access to only authorized users; sets criteria for determining the legitimacy of data requests; establishes processes that verify the accuracy, completeness, and age of the data elements maintained in the system; sets procedures for determining the sensitivity of each inventoried element and the risk of harm if those data were improperly disclosed; and establishes procedures for disclosure review and auditing

- A transparency policy to inform the public, including families, early educators, and programs, of the existence of data systems that house personally identifiable information, explains what data elements are included in such a system, enables parental consent to disclose personally identifiable information as appropriate, and describes allowable and potential uses of the data

Desired Results Developmental Profile (DRDP) 2015 is an observational assessment tool based on the previous DRDP instruments. It includes refinements made over the past several years and new elements that are essential to quality early childhood education. It aligns with the CDE's Early Learning and Development Foundations.

Dual Language Learners are children who are acquiring two or more languages simultaneously or learning a second language while continuing to develop their first language. The term "dual language learners" encompasses other terms frequently used,

such as limited English proficient, bilingual, English language learners, English learners, and children who speak a language other than English.

Early Educator refers to any professional working in an early learning and program, including, but not limited to, center-based and family child care providers; infant and toddler specialists; early intervention specialists and early childhood special educators; home visitors; related services providers; administrators such as directors, supervisors, and other early learning and development leaders; Head Start teachers; Early Head Start teachers; preschool and other teachers; teacher assistants; family service staff; and health coordinators.

Early Head Start is a federally funded and administered community-based program for low income families with infants and toddlers and pregnant women. Its mission is to promote healthy prenatal outcomes, enhance development of very young children and promote healthy family functioning.

Early Head Start – Child Care Partnership Grant is a collaborative effort led by the National Head Start Association in cooperation with other early childhood care and education practitioners and organizations of practitioners to realize successful partnerships between Early Head Start and child care providers that expand access to high-quality comprehensive care for at-risk children and their families.

Early Learning and Development Foundations refers to a set of expectations, guidelines, or developmental milestones that:

- Describe what all children from birth to kindergarten entry should know and be able to do and their disposition toward learning
- Are appropriate for each age group (e.g., infants, toddlers, and preschoolers); for dual language learners; and for children with disabilities or developmental delays
- Cover all Essential Domains of School Readiness
- Are universally designed and developmentally, culturally, and linguistically appropriate

Environment Rating Scales (ERS) are observational assessment tools used to evaluate the quality of early learning and care programs. Each ERS tool is divided into criteria that assess the program's physical environment, health and safety procedures, materials, interpersonal relationships, and opportunities for learning and development.

Essential Domains of School Readiness are the domains of language and literacy development, cognition and general knowledge (including early mathematics and early scientific development); approaches toward learning, physical well-being and motor development (including adaptive skills); and social and emotional development.

Evidence-based practices (EBPs) are skills, techniques, and strategies that can be used by an early educator. Such practices describe core intervention components that have been shown to reliably produce desirable effects and can be used individually or in combination to form more complex procedures or programs.

The use of EBPs or interventions is an approach that aims to specify the way in which practitioners, other professionals, or decision-makers should make decisions by identifying the strongest scientific evidence that exists for a specific practice. Its goal is to eliminate unsound, ineffective, or excessively risky practices in favor of those that have better outcomes.

EBPs refer to a broad range of practices with varying levels of demonstrated effectiveness. These practices typically include a compilation of:

- High research support
- Results demonstrating high confidence that the desired outcome can be replicated

EBPs also set the foundation for creating training courses and/or other participant engagement activities.

Evidence-based models/frameworks refer to programs, strategies, or approaches that have been shown through scientific research and evaluation to be effective and have evidence that supports generalizable conclusions.

First 5 IMPACT High-Quality Action Plan is Form 3 of the First 5 IMPACT RFA where the applicant must describe its local CA-QRIS and implementation of system functions.

Family Child Care Homes are homes licensed by the California Department of Social Services to provide care to infants, toddlers, preschool, and school-age children. There are two categories of family child care homes: small family child care homes for up to eight children, including the early educator's own children under age ten, and large family child care homes, serving up to 14 children, including the early educator's own children under the age of ten. Large family child care homes must have two adults (the provider and an assistant) available to provide care.

Family Child Care Home Education Networks refers to networks established pursuant to *EC* Section 8245 that provide CSPP services (i.e., using CSPP funds to pay for services provided to preschool-aged children and who are reported electronically on the CDD-801 to the CDE).

Head Start is a federally funded and administered preschool program that provides comprehensives services to low-income children and their families. To be eligible, a child must generally be at least three years old by the date used to determine eligibility

for public schools in the community. At least 90 percent of children enrolled in Head Start must be from low-income families.

Migrant and Seasonal Head Start is designed to provide comprehensive Head Start services, including child development and social services, to low-income families working in agriculture, or families who migrate while working in agriculture.

Tribal Head Start is designed to provide comprehensive Head Start services to primarily Native Americans living on reservations or colonies.

High-Quality Early Learning refers to early learning settings that incorporate specified research-based quality elements and "effectiveness factors" consistently associated with improving child outcomes. These include the following principle characteristics: highly skilled teachers, small class sizes, high adult-to-child ratios, age-appropriate curricula and stimulating materials, safe physical settings, language-rich environment, warm and responsive interactions between staff and children, and high and consistent levels of child participation. High-quality early learning also includes connections to both health and home, family engagement, developmental screenings, and the promotion of healthy development, and positive parent-child interactions.

High-quality local models refers to programs, strategies, or approaches with rich local research or data showing effectiveness and positive outcomes for targeted local populations, but not enough evidence to support generalizable conclusions beyond the county.

Implementation Step refers to a continuum of quality consisting of three Steps at which a Lead Agency may begin implementing First 5 IMPACT. Step 1 focuses on Quality Improvement (QI), Step 2 focuses on a Quality Improvement System (QIS), and Step 3 focuses on a QRIS.

Incentive Layer Funds refers to a discretionary funding layer making up approximately 8 percent of the County/Region Allocation funds, or $9 million. These funds are intended to help support ambitious achievement and those associated costs. The incentive layer will be allocated based on availability by the following priorities: 1) Step 3-funded counties rating 75 percent or more of target sites (additional funding will be provided for the number of sites being rated in excess of the 75 percent); 2) counties that enter in a lower Step and build capacity toward a higher Step over the five years of IMPACT; and 3) counties serving participating sites above and beyond pre-determined target levels provided by F5CA in Appendix K.

Leveraged Funding refers to financial commitments toward the cost of projects/services related to First 5 IMPACT from a source other than the Lead Agency. Lead Agencies are encouraged to look for ways to strategically add dollars or other resources from external sources to achieve the required match amount.

Local Consortium – see **Consortium** in this Glossary.

Lead Agency refers to the agency that ultimately submits the First 5 IMPACT Letter of Intent and application. A qualifying Lead Agency may either be a First 5 county commission or a Local Public Entity.

Local Public Entity refers to a "county, city, district, public authority, public agency, and any other political subdivision or public corporation in the state, but does not include the State." (California Government Code, Section 940.4)

Low-Income refers to families having an income of up to 200 percent of the Federal poverty rate.

Measures of Environment Quality are valid and reliable indicators of the overall quality of the early learning environment.

Measures of the Quality of Adult-Child Interactions are the measures obtained through valid and reliable processes for observing how teachers and caregivers interact with children, and where such processes are designed to promote child learning and identify strengths and areas for improvement for early learning professionals.

Mentoring is a relationship-based process between colleagues in similar professional roles; a more experienced individual with adult learning knowledge and skills (the mentor) provides guidance and modeling to a less-experienced protégé or mentee.

MyTeachingPartner™ is professional development training developed at the University of Virginia. Participants work with an assigned coach for a period of ten months to develop the skills and knowledge needed to improve the quality of teacher/child interactions that occur daily in a classroom. Coaches and participants discuss effective interactions using the language and definitions found within the CLASS® observation tool.

Participating Sites are licensed centers and family child care homes (exceptions noted below). Priority is given to participating programs serving children with high needs.

Exceptions to licensed programs that may participate include:

- Cal-SAFE child development programs
- Tribal-approved child care programs
- Military installation child care programs
- Adult Education preschool programs that are legally exempt from licensing
- Other programs operated by school districts, such as IDEA Part B or Part C funded programs

An early learning site is operated by an administration or entity at one physical location with at least one child care license from Department of Social Services Community Care Licensing Division. If two administrations/entities are operating on the same site and are operating separately from one another (e.g., co-located), each is counted as a separate site.

For funding purposes only, sites are further defined below.

- **Large Sites**
  Lead Agencies with large participating sites (eight or more classrooms) have the opportunity to count a site as more than one. Large sites may be counted as follows:

  - 8 or more physical classrooms is equivalent to two (2) sites
  - 12 or more physical classrooms is equivalent to three (3) sites
  - 16 or more physical classrooms is equivalent to four (4) sites

  A classroom is considered a separate, indoor, physical space that is fully utilized at the site as an early learning environment on a daily and regular basis.

- **Alternative Sites**
  - Family Friend and Neighbor (FFN) cohorts of 5 or more providers may be counted as one (1) site.
  - A home visiting program with up to 15 home visitors may be counted as one (1) site. A home visiting program with 16 or more home visitors may be counted as two (2) sites.
  - An alternative program, such as a Family Resource Center (FRC), may be counted as one (1) site.

Performance Measure Targets are baseline and target data for increasing early learning programs participation in the local QRIS and levels of quality over time.

Promise Neighborhoods is a United States Department of Education program established under the legislative authority of the Fund for the Improvement of Education Program to improve educational outcomes for students in distressed urban and rural neighborhoods. Under the Promise Neighborhood program, non-profit organizations (which may include faith-based non-profits) and institutions of higher education will be eligible for one-year grants supporting the design of comprehensive community programs. The programs must have the specific goal of preparing students for success in college and careers. As part of the planning process, applicants must focus their efforts on schools in the neighborhood and build services for students in those schools from birth through college or career.

Promise Zones is a term referring to a federal initiative to revitalize high-poverty communities across the country by attracting private investment, improving affordable housing, and educational opportunities, providing tax incentives for hiring workers and investing in the Promise Zones, reducing violent crime, and assisting local leaders in navigating federal programs while cutting red tape. The five primary goals of Promise Zones are creating jobs, increasing economic activity, improving educational opportunities, reducing violent crime, and leveraging private investments. The Administration will continue the work it has done across programs like Choice Neighborhoods and Promise Neighborhoods to ensure Promise Zones designees and the Administration are using the same indicators consistently to measure success across those goals.

Promising Practice Local Models are programs, strategies, or approaches adapted from evidence-based or promising practices program models, but are modified for local implementation to meet local needs. These models rely primarily on national data to assert effectiveness and may have limited local data to ascertain effectiveness with local populations.

Promising Practices Models/Frameworks refers to programs, strategies, or approaches with scientific research or data showing effectiveness and positive outcomes but do not have enough evidence to support generalizable conclusions.

QRIS Block Grant for California State Preschool Program, also referred to as the **CSPP QRIS Block Grant**, is a state-funded annual grant program established by Senate Bill 852 (Chapter 25, Statutes of 2014) and Senate Bill 858 (Chapter 32, Statutes of 2014) of the 2014–15 Annual Budget Act. The purpose of this ongoing grant is to fund local consortia to support local QRIS; specifically, to increase the number of CSPP sites achieving the highest common tier and provide support for CSPP classrooms that have achieved the highest common tier. The funding is administered by the CDE and is allocated to consortia that meet the grant requirements based on total CSPP slots within a consortium.

QRIS Block Grant for Infants and Toddlers, also referred to as the **Infant/Toddler QRIS Block Grant**, is a state-funded grant program established by Assembly Bill 93 (Chapter 10, Statutes of 2015) and Senate Bill 97 (Chapter 11, Statutes of 2015) of the 2015–16 Annual Budget Act. The purpose of this one-time grant is to fund local consortia to provide training, technical assistance, and resources to assist infant and toddler child care providers in meeting a higher tier of quality as determined by their local QRIS. As of July 1, 2015, the funding will be administered by the CDE for encumbrance by local consortia by June 30, 2017.

Rating Matrix refers to the block and point system for the existing three common rating Tiers. Each local QRIS must have at least four Tiers.

Regional Anchor is the consortium-designated individual who is authorized to certify reliability of ERS assessors at level one and level two.

Regional Consortium – see **Consortium** in this Glossary.

Screening Measures refers to age and developmentally appropriate, valid, and reliable instruments that are used to identify children who may need follow-up services to address developmental, learning, or health needs in, at a minimum, the areas of physical health, behavioral health, oral health, child development, vision, and hearing.

Step Layer Funds (Phase 2) refers to a layer of funding consisting of approximately 63 percent of the County/Region Allocation funds and are based on the Implementation Step in which the majority of the consortium's sites are participating. They are intended to support the implementation of the local CA-QRIS model and to engage, assess, and support the quality improvement of participating sites.

Talk. Read. Sing.® is a public awareness campaign sponsored by F5CA designed to encourage parents and caregivers to talk, read, and sing with their young children.

Technical Assistance is the provision of targeted and customized support and instruction provided by a professional with subject matter and adult learning knowledge and skills to develop or strengthen processes, knowledge application, or implementation of services by recipients.

Title 5 General Child Care and Development is a state-contracted, full-day program serving children ages birth to 3 and kindergarten age-eligible children to children thirteen years old. Eligible children include those under Child Protective Services supervision or those who meet income eligibility requirements or other criteria. This program must meet the same Title 5 standards as the CSPP.

Title 22 licensed programs refers to child care programs meeting Title 22 licensing requirements set by the DSS. These requirements include staff child ratios, teacher and staff qualifications, criminal background checks, screening and clearance for tuberculosis, and licensing inspections for compliance with basic health and safety requirements.

APPENDIX C. Acronyms

AA	Associate of Arts
ADA	Americans with Disabilities Act
APR	Annual Performance Report
ASQ	Ages and Stages Questionnaire
ASQ:SE	Ages and Stages Questionnaire:Social Emotional
BA	Bachelor of Arts
BAS	Business Administration Scale
BS	Bachelor of Science
CAP	Child Abuse Prevention
CA-QRIS	California Quality Rating and Improvement System
CARES Plus	Comprehensive Approaches to Raising Educational Standards Plus
CCFC	California Children and Families Commission
CD	Child Development
CDE	California Department of Education
CDTC	Child Development Training Consortium
CHVP	California Home Visiting Program
CLASS®	Classroom Assessment Scoring System®
CPS	Child Protective Services
CQI	Continuous Quality Improvement
CSEFEL	Center on the Social and Emotional Foundations for Early Leaning
CSP	Child Signature Program
CSPP	California State Preschool Program
CTC	(California) Commission on Teacher Credentialing
DLL	Dual Language Learner
DRDP	Desired Results Developmental Profile
DSS	(California) Department of Social Services
EC	(California) Education Code
ECE	Early Childhood Education
ECERS	Early Childhood Environment Rating Scale
EEE	Early Education Expert
EESD	Early Education and Support Division
ESL	English as a Second Language
F5CA	First 5 California
FCC	Family Child Care
FCCERS	Family Child Care Environment Rating Scale
FCCH	Family Child Care Home
FCCHEN	Family Child Care Home Education Network
FFN	Family, Friend, and Neighbor
FRC	Family Resource Center
FSS	Family Support Specialist
FTE	Full-time Equivalent
FY	Fiscal Year
HSC	Health and Safety Code
IDEA	Individuals with Disabilities Education Act

IEP	Individualized Education Program
IFSP	Individual Family Service Plan
IHE	Institution of Higher Education
IMPACT	Improve and Maximize Programs so All Children Thrive
IRB	Institutional Review Board
ITERS	Infant Toddler Environment Rating Scale
LEA	Local Educational Agency
LPE	Local Public Entity
MA	Master of Arts
MMCI	Making the Most of Classroom Interactions
MTP™	MyTeachingPartner™
OHS	Office of Head Start
PARS	Program Assessment Rating Scale
PAS	Program Administration Scale
PIP	Program Improvement Plan
PITC	Program for Infant/Toddler Care
PoP	Power of Preschool
QI	Quality Improvement
QIP	Quality Improvement Plan
QIS	Quality Improvement System
QRIS	Quality Rating and Improvement System
R&R	Resource and Referral
RFA	Request for Applications
RTT-ELC	Race to the Top–Early Learning Challenge
SNAP	Supplemental Assistance Nutrition Program
T&TA	Training and Technical Assistance
WIC	Women, Infants, and Children

APPENDIX D. RTT-ELC Rating Matrix

CALIFORNIA RACE TO THE TOP – EARLY LEARNING CHALLENGE (RTT–ELC)
QUALITY CONTINUUM FRAMEWORK –RATING MATRIX WITH ELEMENTS AND POINTS FOR CONSORTIA COMMON TIERS 1, 3, AND 4

ELEMENT	BLOCK (Common Tier 1) Licensed In-Good Standing	2 POINTS	3 POINTS	4 POINTS	5 POINTS
CORE I: CHILD DEVELOPMENT AND SCHOOL READINESS					
1. Child Observation	☐ Not required	☐ Program uses evidence-based child assessment/observation tool annually that covers all five domains of development	☐ Program uses valid and reliable child assessment/ observation tool aligned with CA *Foundations & Frameworks*[1] twice a year	☐ DRDP (minimum twice a year) and results used to inform curriculum planning	☐ Program uses DRDP twice a year and uploads into DRDP Tech and results used to inform curriculum planning
2. Developmental and Health Screenings	☐ Meets Title 22 Regulations	☐ Health Screening Form (Community Care *Licensing form LIC 701 "Physician's Report - Child Care Centers" or equivalent)* used at entry, then: **1.** Annually **OR** **2.** Ensures vision and hearing screenings are conducted annually	☐ Program works with families to ensure screening of all children using a **valid and reliable developmental screening tool** at entry and as indicated by results thereafter **AND** ☐ Meets Criteria from point level 2	☐ Program works with families to ensure screening of all children using the **ASQ** at entry and as indicated by results thereafter **AND** ☐ Meets Criteria from point level 2	☐ Program works with families to ensure screening of all children using the **ASQ & ASQ-SE**, if indicated, at entry, then as indicated by results thereafter **AND** ☐ Program staff uses children's screening results to make referrals and implement intervention strategies and adaptations as appropriate **AND** ☐ Meets Criteria from point level 2
CORE II: TEACHERS AND TEACHING					
3. Minimum Qualifications for Lead Teacher/ Family Child Care Home (FCCH)	☐ Meets Title 22 Regulations [**Center:** 12 units of Early Childhood Education (ECE)/Child Development (CD) **FCCH:** 15 hours of training on preventive health practices]	☐ **Center:** 24 units of ECE/CD[2] **OR** Associate Teacher Permit ☐ **FCCH:** 12 units of ECE/CD **OR** Associate Teacher Permit	☐ 24 units of ECE/CD + 16 units of General Education **OR** Teacher Permit **AND** ☐ 21 hours professional development (PD) annually	☐ Associate's degree (AA/AS) in ECE/CD (or closely related field) **OR** AA/AS in any field plus 24 units of ECE/CD **OR** Site Supervisor Permit **AND** ☐ 21 hours PD annually	☐ Bachelor's degree in ECE/CD (or closely related field) **OR** BA/BS in any field plus/with 24 units of ECE/CD (or Master's degree in ECE/CD) **OR** Program Director Permit **AND** ☐ 21 hours PD annually
4. Effective Teacher-Child Interactions: CLASS Assessments (*Use tool for appropriate age group as available)	☐ Not Required	☐ Familiarity with CLASS for appropriate age group as available by one representative from the site	☐ Independent CLASS assessment by reliable observer to inform the program's professional development/improvement plan	☐ Independent CLASS assessment by reliable observer with minimum CLASS scores: **Pre-K** ▪ Emotional Support - 5 ▪ Instructional Support – 3	☐ Independent assessment with CLASS with minimum CLASS scores: **Pre-K** ▪ Emotional Support – 5.5 ▪ Instructional Support – 3.5 ▪ Classroom Organization – 5.5

[1] Approved assessments are: Creative Curriculum GOLD, Early Learning Scale by National Institute of Early Education Research (NIEER), and Brigance Inventory of Early Development III.

[2] For all ECE/CD units, the core 8 are desired but not required.

Note: Point values are not indicative of Tiers 1-5 but reflect a range of points that can be earned toward assigning a tier rating (see Total Point Range).

ELEMENT	BLOCK (Common Tier 1) Licensed In-Good Standing	2 POINTS	3 POINTS	4 POINTS	5 POINTS
				▪ Classroom Organization – 5 **Toddler** ▪ Emotional & Behavioral Support – 5 ▪ Engaged Support for Learning – 3.5 **Infant** ▪ Responsive Caregiving (RC) – 5.0	**Toddler** ▪ Emotional & Behavioral Support – 5.5 ▪ Engaged Support for Learning – 4 **Infant** ▪ Responsive Caregiving (RC) – 5.5
CORE III: PROGRAM AND ENVIRONMENT - Administration and Leadership					
5. Ratios and Group Size (Centers Only beyond licensing regulations)	☐ **Center**: Title 22 Regulations **Infant** Ratio of 1:4 **Toddler Option** Ratio of 1:6 **Preschool** Ratio of 1:12 ☐ **FCCH**: Title 22 Regulations *(excluded from point values in ratio and group size)*	☐ **Center - Ratio: Group Size** **Infant/Toddler** – 4:16 **Toddler** – 3:18 **Preschool** – 3:36	☐ **Center - Ratio: Group Size** **Infant/Toddler**– 3:12 **Toddler** – 2:12 **Preschool**– 2:24	☐ **Center - Ratio: Group Size** **Infant/Toddler** – 3:12 or 2:8 **Toddler** – 2:10 **Preschool** – 3:24 or 2:20	☐ **Center - Ratio: Group Size** **Infant/Toddler** – 3:9 or better **Toddler** – 3:12 or better **Preschool** – 1:8 ratio and group size of no more than 20
6. Program Environment Rating Scale(s) (Use tool for appropriate setting: ECERS-R, ITERS-R, FCCERS-R)	☐ Not Required	☐ Familiarity with ERS and every classroom uses ERS as a part of a Quality Improvement Plan	☐ Assessment on the whole tool. Results used to inform the program's Quality Improvement Plan	☐ Independent ERS assessment. All subscales completed and averaged to meet overall score level of 5.0	☐ Independent ERS assessment. All subscales completed and averaged to meet overall score level of 5.5 OR Current National Accreditation approved by the California Department of Education
7. Director Qualifications (Centers Only)	☐ 12 units ECE/CD+ 3 units management/ administration	☐ 24 units ECE/CD + 16 units General Education +/with 3 units management/ administration **OR** Master Teacher Permit	☐ Associate's degree with 24 units ECE/CD +/with 6 units management/ administration and 2 units supervision **OR** Site Supervisor Permit **AND** ☐ 21 hours PD annually	☐ Bachelor's degree with 24 units ECE/CD +/with 8 units management/ administration **OR** Program Director Permit **AND** ☐ 21 hours PD annually	☐ Master's degree with 30 units ECE/CD including specialized courses +/with 8 units management/ administration, **OR** Administrative Credential **AND** ☐ 21 hours PD annually
TOTAL POINT RANGES					
Program Type	**Common-Tier 1**	**Local-Tier 2[3]**	**Common-Tier 3**	**Common-Tier 4**	**Local-Tier 5[4]**
Centers 7 Elements for 35 points	**Blocked** (No Point Value) – Must Meet All Elements	**Point Range** 8 to 19	**Point Range** 20 to 25	**Point Range** 26 to 31	**Point Range** 32 and above
FCCHs 5 Elements for 25 points	**Blocked** (No Point Value) – Must Meet All Elements	**Point Range** 6 to 13	**Point Range** 14 to 17	**Point Range** 18 to 21	**Point Range** 22 and above

[3] Local-Tier 2: Local decision if Blocked or Points and if there are additional elements
[4] Local-Tier 5: Local decision if there are additional elements included

California Department of Education, Updated May 28, 2015; Effective July 1, 2015

APPENDIX E. RTT-ELC Continuous Quality Improvement Pathways

CORE I: CHILD DEVELOPMENT & SCHOOL READINESS	
School Readiness	
Goal (Pathway)	All children receive individualized instruction and support for optimal learning and development informed by child observation and assessment data.
Related Element(s)	CORE I.1 Child Observation and Assessment
RTT-ELC Core Tool(s) & Resources	• CA Foundations and Frameworks • Preschool English Learner Guide • Desired Results Developmental Profile Assessment (DRDP) Tools • National Data Quality Campaign's Framework • Ages and Stages Questionnaire (ASQ)
Social-Emotional Development	
Goal (Pathway)	Children receive support to develop healthy social and emotional concepts, skills, and strategies.
Related Element(s)	CORE I.2 Developmental and Health Screenings
RTT-ELC Core Tool(s) & Resources	• CA CSEFEL Teaching Pyramid Overview and Tiers 1-4 (Modules 1-3) • CA Foundations and Frameworks - Social-Emotional Development • Ages and Stages Questionnaire – Social Emotional (ASQ-SE)
Health, Nutrition, and Physical Activity	
Goal (Pathway)	• Children receive support for optimal physical development, including health, nutrition, and physical activity.
Related Element(s)	• CORE I.1 Child Observation and Assessment and Core 1.2 Developmental and Health Screenings
RTT-ELC Core Tool(s) & Resources	• CA Preschool Foundations and Frameworks– Health and Physical Development • Infant/Toddler Program Guidelines • CA Infant/Toddler Foundations and Frameworks-Perceptual/ Motor • USDA Child and Adult Care Food Program Guidelines
CORE II: Teachers and Teaching	
Effective Teacher-Child Interactions	
Goal (Pathway)	Teachers are prepared to implement effective interactions in the classroom.
Related Element(s)	CORE II.4 Effective Teacher-Child Interactions
RTT-ELC Core Tool(s) & Resources	• Classroom Assessment and Scoring System® (CLASS®) for relevant age grouping • Program for Infant-Toddler Care (PITC) Program Assessment Rating Scale (PARS), as applicable and available *** No**

	current source Web page for PARS
Professional Development	
Goal (Pathway)	Teachers are life-long learners.
Related Element(s)	Core II.3 Minimum Qualifications and Core II.4 Effective Teacher-Child Interactions
RTT-ELC Core Tool(s) & Resources	• Common Core 8[21] • Early Childhood Educator (ECE) Competencies • ECE Competencies Self-Assessment Tool • Professional Growth Plan
CORE III: PROGRAM AND ENVIRONMENT	
Environment	
Goal (Pathway):	The program indoor and outdoor environments support children's learning and development.
Related Element(s)	CORE III.6 Program Environment Rating Scale(s) (ERS)
RTT-ELC Core Tool(s) & Resources	Environment Rating Scales (Harms, Clifford, Cryer): • Infant-Toddler Environment Rating Scale (ITERS) • Early Childhood Environment Rating Scale (ECERS) • Family Child Care Environment Rating Scale (FCCERS)
Program Administration	
Goal (Pathway):	• The program effectively supports children, teachers, and families.
Related Element(s)	• All
RTT-ELC Core Tool(s) & Resources	• Business Administration Scale (Family Child Care) – (BAS) • Program Administration Scale (Centers) – (PAS) **OR** • Self-Assessment using the Office of Head Start (OHS) Monitoring Protocols and continuous improvement through a Program Improvement Plan (PIP)
Family Engagement	
Goal (Pathway):	• Families receive family-centered, intentional supports framed by the Strengthening Families™ Protective Factors to promote family resilience and optimal development of their children.
Related Element(s)	• All (III.6 ERS *Provision for Parents* Indicator)
RTT-ELC Core Tool(s) & Resources	• Strengthening Families™ Five Protective Factors Framework

[21] Recommended

APPENDIX F. Crosswalk of the CA-QRIS Core Areas, the Comprehensive Early Childhood System, and F5CA's CARES Plus and CSP

CA-QRIS Core Areas	Comprehensive Early Childhood System			F5CA Current Programs	
	Early Learning & Development	Child Health	Family Support & Strengthening	CARES Plus	CSP
Child Development & School Readiness	**X**	**X**	**X**	**X**	**X**
Observational Assessments & Learning Foundations	✓	✓	✓	✓	✓
Developmental & Health Screenings	✓	✓	✓	✓	✓
Social Emotional Development	✓	✓	✓	✓	✓
Health, Nutrition, & Physical Activity	✓	✓		✓	✓
Teachers & Teaching	**X**	**X**	**X**	**X**	**X**
Education & Professional Development	✓	✓	✓	✓	✓
Effective Teacher-Child Interactions	✓			✓	✓
Program & Environment	**X**	**X**	**X**	**X**	**X**
Director Qualifications & Professional Development	✓	✓	✓	✓	
Leadership and Program & Business Administration	✓		✓		
Environment	✓	✓	✓	✓	✓
Family Engagement & Strengthening	✓		✓	✓	✓

APPENDIX G. First 5 IMPACT Implementation Steps

Counties will apply to participate in First 5 IMPACT at one of three Implementation Steps: 1) Quality Improvement (QI), 2) Quality Improvement System (QIS), or 3) Quality Rating and Improvement System (QRIS). Based on the selected Implementation Step, counties must implement a minimum number of elements selected from the California QRIS (CA-QRIS) (see Figure 1 below) as well as a minimum number of the seven system functions: 1) Build Local Consortia, 2) Finance Strategically, 3) Recruit and Engage Participants, 4) Enhance and Align Standards, 5) Create and Support Improvement Strategies, 6) Ensure Accountability, and 7) Public Outreach and Communication. As depicted in Figure 1 below, the CA-QRIS includes the Rating Matrix and the Continuous Quality Improvement Pathways (CQI Pathways) – see Appendices D and E for further detail.

Figure 1: CA-QRIS Elements

CA-QRIS Framework (15 total elements)	
Elements in the Rating Matrix (7 Elements)	**Elements in the CQI Pathways (8 Elements)**
CORE I: Child Development and School Readiness	
1. Child Observational Assessments 2. Developmental and Health Screenings	1. School Readiness 2. Social-Emotional Development 3. Health, Nutrition, and Physical Activity
CORE II: Teachers and Teaching	
3. Qualifications for Lead Teacher/FCC Home Owner (Education and Professional Development) 4. Classroom Assessment Scoring System® (CLASS®)	4. Effective Teacher-Child Interactions 5. Professional Development
CORE III: Program and Environment	
5. Ratios and Group Size (Centers only) 6. Environment Rating Scales (ERS) 7. Director Qualifications (Centers only)	6. Environment 7. Program Administration 8. Family Engagement

Implementation Step One – QI: Requires implementation of a minimum of **ONE** Element on the CA-QRIS.

Counties at Step One are moving toward implementing an early learning and development system by incorporating CQI activities with sites in **at least one Element** of the CA-QRIS while developing **a minimum of six of the seven** First 5 IMPACT Systems Functions.

Step One Requirements:

CA-QRIS (Rating Matrix Elements or the CQI Pathways Elements)	One Element (minimum): Local decision
First 5 IMPACT Systems Functions	Six System Functions: 1. Build Local Consortia 2. Finance Strategically 3. Recruit and Engage Participants 4. Enhance and Align Standards 5. Create and Support Improvement Strategies 6. Ensure Accountability
CQI Plans	Not required
QRIS Tiered Rating	Not required

Implementation Step One EXAMPLE A: Nutrition Education Program

The consortium funds a nutrition education program delivered onsite at early learning sites to ensure the health of low-income pregnant, postpartum, and breastfeeding women, infants, and children through age 5 who are at nutritional risk. The families receive support for optimal nutritious foods to supplement diets; information on healthy eating including breastfeeding promotion and support; and referrals to health care (e.g., referral to a pediatrician for food allergies). The nutrition education program guides parents on how to use foods provided by Women, Infants and Children (WIC) and the Supplemental Nutrition Assistance Program (SNAP) in healthy ethnic meal preparation. The nutrition education program also includes education for early educators/providers on healthy meal preparation in early learning settings that align with the (USDA Child and Adult Food Program). The program coach incorporates nutrition into on-site support for teachers, including how to bring age-appropriate nutrition curriculum into the classroom for use with children.

This example demonstrates the Health, Nutrition, and Physical Activity Element from the CQI Pathways.

The First 5 IMPACT System Functions include:

***Build Local Consortium** – required consortium partners, as well as leaders from the county health department, county WIC clinics, hospitals, Indian health service facilities, Family Resource Center, local grocers, school districts, and community libraries are identified; consortium develops roles and responsibilities, goals, objectives, and strategies; team agrees to meet quarterly for check-in and next steps.*

***Finance Strategically** – First 5 county commission finances the training materials and funds one nutrition educator at .5 fulltime equivalent (FTE), WIC*

provides nutrition education materials; local school provides training space, community library provides at-home nutrition-themed book bags for families, and local grocery store provides produce for cooking demonstrations.

***Enhance and Align Standards** – Consortium members create a framework and training materials, aligned with the California Early Learning Foundations and Frameworks, to be used with site staff and families.*

***Recruit and Engage Participants** – R&R and other consortium partners identify local early education sites to participate. Site staff identifies, refer, and encourage participation of low-income families with children birth through age 5. The early learning sites hold an event for families to share lessons learned and favorite recipes.*

***Create and Support Improvement Strategies** – The coach uses reflective feedback strategies to work with staff on improving their interactions with families and provides guidance on using nutrition as a focus in curriculum planning.*

***Ensure Accountability** – Data is collected at the site-level on teacher/provider activities. Parent surveys and focus groups provide qualitative feedback.*

Step One EXAMPLE B: Developmental Screening

The consortium funds a developmental screening initiative to be implemented on-site at participating early learning sites. Early learning sites are provided training and resource materials based on the Developmental and Behavioral Screening Guide for Early Care and Education Providers. Providers will deepen their understanding of developmental milestones, learn about local resources and strategies to talk with parents, and understand their role in developmental screening and follow-up. Support for on-site developmental screening is provided annually at early learning sites.

This example demonstrates the Developmental and Health Screenings Element from the Rating Matrix.

The First 5 IMPACT System Functions include:

***Build Local Consortium** – required consortium partners, as well as leaders from the FRC, county office of education, and Regional Center are identified. Consortium develops roles and responsibilities, goals, objectives, and strategies; team agrees to meet quarterly for check-in and next steps.*

***Finance Strategically** – First 5 finances the training materials and funds one staff from the FRC at .5 FTE to provide outreach and training to providers and assist with conducting screenings annually, including connecting families to resources. The site coach also works with teachers on identifying developmental concerns and talking with parents regarding child development. The Regional Center conducts one annual in-kind training on developmental disabilities. The*

county office of education provides in-kind staff to attend quarterly meetings and meeting space.

***Enhance and Align Standards** – Consortium partners agree on screening standards and protocol and conduct cross-training on referral and assessment processes.*

***Recruit and Engage Participants** – First 5 identifies providers serving high need children and those interested in participating in an initial training; coaches contact programs to sign up site administrators and lead teachers for training and coordinate annual screenings.*

***Create and Support Improvement Strategies** – The coach and FRC staff member train teachers on use of a valid and reliable screening tool and assist the site directors in creating parent education materials based on developmental milestones. As part of their site improvement practices, staff work together to create plans for annual developmental screening and map follow-up resources in their communities.*

***Ensure Accountability** – Data is collected at the site-level on teacher/provider activities. Parent surveys and focus groups provide qualitative feedback.*

Step Two – QIS: Implementation of **a minimum of FOUR** Elements from the CA-QRIS.

Counties at Step Two are moving toward implementing an early learning and development system by incorporating CQI activities with sites in **at least four Elements** of the CA-QRIS. One Element must be Effective Teacher-Child Interactions and one Element must be Family Engagement. Counties must also be developing **at least six of the seven** First 5 IMPACT Systems Functions. All participating sites must have a CQI Plan.

Step Two Requirements:

CA-QRIS (Rating Matrix Elements and the CQI Pathways Elements)	Required Elements: • Effective Teacher-Child Interactions from either the Rating Matrix or CQI Pathways • Family Engagement from the CQI Pathways At Least Two Additional Elements (local decision)

First 5 IMPACT Systems Functions	Six System Functions: 1. Build Local Consortia 2. Finance Strategically 3. Recruit and Engage Participants 4. Enhance and Align Standards 5. Create and Support Improvement Strategies 6. Ensure Accountability
CQI Plans	All participating sites
QRIS Tiered Rating	Not required

Implementation Step Two EXAMPLE: CARES Plus and Family Support Specialist

The consortium continues implementation of CARES Plus elements and transitions to site-level participation. They also fund Family Support Specialists (FSS) to assess family needs, provide resources and referrals, encourage parent participation in their child's learning, and conduct parent education classes that include information on characteristics of quality early learning environments and school readiness. The FSSs use the Strengthening Families Protective Factors framework. IMPACT funds support training and coaching for FSSs and cross-agency work on coordinating family support services without duplication. The Child Abuse Prevention (CAP) Program, Family Resource Center (FRC), and Child Care Resource and Referral Agency (R&R) participate as consortium members and provide training to early learning sites, resource materials to implement the framework, and help early educators understand their role in child abuse prevention. On-site follow-up support is provided to early learning sites to ensure implementation success.

This example demonstrates the following Elements from the Rating Matrix: Effective Teacher-Child Interactions, Minimum Qualifications for Lead Teacher/FCCH, and Director Qualifications.

The First 5 IMPACT System Functions include:

***Build Local Consortia** – required consortium partners, as well as leaders from Head Start and Early Head Start, CAP, FRC, and health and human services agency are identified; the consortium develops goals, objectives, and strategies to address teacher effectiveness and family engagement; team agrees to meet monthly for check-in and systems development and share resources.*

***Finance Strategically** – First 5 county commission and AB212 fund site-level and teacher stipends, and contract with IHEs to provide coursework and Professional Growth Advisors. R&R provides in-kind meeting space for parent*

education activities. Site teaching staff attends training sponsored by the county health and human services agency.

***Enhance and Align Standards** – local consortia continue to engage and support IHE faculty in their work to embed practice-based coaching in early childhood coursework in their efforts overcome barriers such affordable, accessible, relevant, and effective coursework.*

***Recruit and Engage Participants** – First 5, Local Planning Council, R&R, Head Start, and Early Head Start identify sites serving high need children, engage administrators, and recruit staff.*

***Create and Support Improvement Strategies** – providers receive support to complete degrees, obtain Child Development Permits, and participate in Classroom Assessment Scoring System® (CLASS®)-related training and coaching. Based on reports, participating sites are offered supports such as translation services and information technology training.*

***Ensure Accountability** – Continue data collection on teacher/provider activities and progress of CARES Plus' required components, including CLASS online or in-person training.*

Step Three – QRIS: Implementation of the Rating Matrix **and** the CQI Pathways, and **RATING** of all participating sites.

Counties at Step Three are leveraging funding to operate the full QRIS. Counties must have a fully integrated, comprehensive, and collaborative system represented by **development of all seven** First 5 IMPACT System Functions (adding Public Outreach and Communication). All participating sites must have a publically available tiered rating and a CQI Plan.

Step Three Requirements:

CA-QRIS – Rating Matrix and CQI Pathways	Full QRIS *A focus on strategies that address effective teacher-child interactions and family support and strengthening are required*
First 5 IMPACT System Functions	All seven Functions
CQI Plan	All participating sites
QRIS Tiered Rating	All participating sites

Step Three EXAMPLE:

County is operating a full QRIS which assigns a score for each Rating Matrix Element and an overall tiered rating for all participating sites based on the current Consortia-approved Rating Matrix. County has developed a fully integrated, comprehensive, and collaborative system that addresses all seven First 5 IMPACT System Functions.

QRIS Strategy: Library Partnership

As an outreach strategy, the consortium contracts with local libraries to engage family child care providers. In partnership with the local First 5 and libraries, language and literacy curriculum is designed based on the California Learning Foundations and Frameworks to implement with family child care homes. FCC providers receive training and resource materials to implement the curriculum, monthly coaching, opportunities to model, and reflective feedback. On-site follow-up support is provided to FCC providers to ensure implementation success.

This example demonstrates a strategy for implementing the School Readiness Element from the CQI Pathways. The First 5 IMPACT System Functions include:

***Build Local Consortia** – required consortium partners and leaders from local libraries are identified; consortium develops roles and responsibilities, goals, objectives, and strategies; team agrees to meet quarterly for check-in and next steps.*

***Finance Strategically** – First 5 county commission contributes to this engagement strategy by funding for four librarians to provide outreach and training to 36 FCC providers. The libraries contribute training materials, including literacy kits for providers. The R&R provides in-kind staff to conduct outreach.*

***Enhance and Align Standards** – FCC participating in this program come in to the QRIS at a Tier 1 or Tier 2. They are rated using the local CA-QRIS, which includes a block at Tier 2.*

***Recruit and Engage Participants** – R&R identifies providers serving high need children and those interested in participation.*

***Create and Support Improvement Strategies** – FCC providers receive stipends for participating in the literacy program to purchase additional literacy materials. Monthly on-site coaching, including modeling, is the main strategy for providers as they enter the QRIS. After completing the literacy program, they begin to focus on additional elements of the CA-QRIS.*

***Ensure Accountability** – Data is collected at the site-level on teacher/provider activities and entered into the county data system.*

Outreach and Communication *– The consortium develops communication and marketing materials, including lawn signs signifying QRIS participation and develops a searchable website where parents and the public can access ratings.*

APPENDIX H. First 5 IMPACT Evaluation Framework Phases and Description

The evaluation framework for First 5 IMPACT incorporates three evaluation paradigms: formative (exploratory and descriptive), summative[22] (descriptive and explanatory), and developmental[32] (flexible, emergent) evaluation. The three phases of the evaluation framework, including emphasis on formative or summative evaluation paradigms, are described below. The developmental evaluation paradigm will apply throughout each phase of First 5 IMPACT.

Table 1: First 5 IMPACT Evaluation Framework Phases

<table>
<tr><th>Phase</th><th>FY 2015–16</th><th>FY 2016–17</th><th>FY 2017–18</th><th>FY 2018–19</th><th>FY 2019–20</th></tr>
<tr><td>1A</td><td colspan="5">County Contexts (System Assets and Implementation)
Continuous Formative and Developmental Evaluation Methods beginning in 2015–16</td></tr>
<tr><td>1B</td><td colspan="5">Quality Improvement Efforts (System Assets and Implementation)
Continuous Formative and Developmental Evaluation Methods beginning in 2015–16</td></tr>
<tr><td>2</td><td></td><td colspan="4">Local and Site Outcomes
Summative and Developmental Evaluation Methods beginning in July 2016</td></tr>
<tr><td>3</td><td colspan="2"></td><td colspan="3">Children and Family Outcomes
Summative and Developmental Evaluation Methods beginning January 2017</td></tr>
</table>

Phase 1A: County Contexts (July 2015 – June 2020). The emphasis of this phase is formative evaluation, employing styles of inquiry that are exploratory and descriptive. Throughout First 5 IMPACT, the evaluation will look at the local county context in which First 5 IMPACT will be implemented. Context encompasses everything that influences the success or challenges faced by implementing the initiative. This data will be collected over time to understand the ways in which the context is shifting, changing, and adapting to contribute to or hinder the QI/QIS/QRIS efforts.

County context information will be collected through a county Annual Performance Report (APR) and a QI/QIS/QRIS common data fields file. The level of data provided by counties will differ based on the Implementation Step chosen by the county. Thus, all counties will report on a core of common data fields (Steps 1, 2, and 3). Counties at

[22] Brun, Carl F. (2013). *A Practical Guide to Evaluation*, 2nd ed. Chicago, Illinois: Lyceum.
[32] Quinn Patton, M., & Patrizi, P. A. (2010). Strategy as the focus for evaluation. *New Directions for Evaluation*, 2010 (128), 5-28.

Step 2 will report on more data elements than those at Step 1 and counties in Step 3 will report on more than those at Step 2 and 1. Examples of County Context questions related to the First 5 IMPACT Strategy Map may include, but are not limited to:

- Who are members of the First 5 IMPACT consortia, how were they recruited, and what are their roles? (*Building Consortia* Systems Function)

- What mechanisms are in place to share data and track progress toward outcomes? (*Ensure Accountability* Systems Function)

- What are the characteristics of early educators working in early care and education program sites participating in First 5 IMPACT at different Implementation Steps? (*Recruit and Engage Participants* Systems Function)

Phase 1B: Quality Improvement Efforts (July 2015 – June 2020). The emphasis of this phase is formative evaluation, employing styles of inquiry that are exploratory and descriptive. From the onset, the evaluation will also discern the design and implementation of each county's QI/QIS/QRIS work both at the beginning of First 5 IMPACT and over time. This phase of the evaluation will study the capacity of the system actors (consortia partners, sites, early educators, families, children, and communities), the resources, and identified strategies to carry out, and the successes and challenges faced in implementing those strategies. Data will be collected through the county's APR and supplemented methods including surveys or focus groups with parents, early educators, and communities. Examples of Quality Improvement Efforts evaluation questions related to the First 5 IMPACT Strategy Map include but are not limited to:

- How do consortia partners hold themselves and others accountable to shared goals? (*Build Consortia* Systems Function)

- What new/existing funding sources are leveraged to support QIS/QRIS coordination? (*Finance Strategically* Systems Function)

- What methods are used to recruit and retain sites to participate in First 5 IMPACT? (*Recruit and Engage Participants* Systems Function)

- How do consortia partners implement prioritized CQI strategies to reach target sites and early educators? (*Create and Support Continuous Quality Improvement Strategies* Systems Function)

- How do consortia partners use First 5 IMPACT as an organizing framework for their efforts? (*Enhance and Align Standards* Systems Function)

- How do consortia work to coordinate site rating and ensure fidelity to assessments, if applicable? (*Ensure Accountability* Systems Function)

- What information do families receive from IMPACT sites about resources to support their child? (*Public Outreach and Communication* Systems Function)

- What methods are used to increase community awareness about the importance of early learning experiences on children's development? (*Public Outreach and Communication* Systems Function)

Phase 2: Local and Site Outcomes (July 2016 – June 2020). Emphasis of this phase is summative evaluation, employing styles of inquiry that are descriptive and explanatory. Beginning in year two, the evaluation will look at Local and Site Outcomes through county APRs and supplementary F5CA evaluation methods. In this phase, the evaluation will look for changes in early educator, site, community, and consortia practices, behaviors as indicated in the First 5 IMPACT Strategy Map. For programs at Step 3, information about the site's rating will be collected through common data elements. Examples of Local and Site Outcomes evaluation questions related to the First 5 IMPACT Strategy Map may include but are not limited to:

- Are families in First 5 IMPACT programs better able to access services to support their child's healthy development? What barriers to enrolling children at higher-quality program sites do parents report (e.g., cost, location, and transportation)? (Local and Site Outcome 1)

- Do site improvement priorities lead to site quality improvement as measured by Step 3 counties/Rating Matrix? (Local and Site Outcome 2)

- What are the characteristics of sites and early educators at different First 5 IMPACT Implementation Steps that increase their level and types of involvement in professional development activities? (Local and Site Outcomes 2 and 3)

- What quality improvement efforts/incentives are most effective in engaging and retaining sites, ensuring early educator access to quality workforce development, and improving early childhood quality at different First 5 IMPACT Implementation Steps? (Local and Site Outcomes 2 and 3)

- Is there an increase in accessibility and availability of professional development and educational opportunities as a result of First 5 IMPACT? (Local and Site Outcome 3)

- To what extent are community members aware of the importance of high quality on child development? (Local and Site Outcome 4)

Importantly, the evaluation also will explore at the interplay among the dynamics of the system/county, design and implementation of both system functions and the QI/QIS/QRIS program, and outcomes – how the dynamics of systems implementation influences the local and site outcomes. Changes in the way the consortia partners approach their work, designate funding, and interpret policy are vital to realizing the local and site outcomes.

Phase 3: Child and Family Outcomes (January 2017 – June 2020). The emphasis of this phase is primarily summative evaluation, employing styles of inquiry that are descriptive and explanatory. Beginning by the middle of year two, F5CA's external evaluator will carry out an evaluation to understand how First 5 IMPACT funding has catalyzed change in counties with special focus on child and family outcomes. The information garnered in the first two years will help F5CA fine-tune the external evaluation of Child and Family Outcomes and how these are shaped by Local and Site Outcomes related to System Functions. For example, questions to be addressed for Family and Child Outcomes related to the First 5 IMPACT Strategy Map might include:

- To what extent do children in programs participating in First 5 IMPACT demonstrate readiness for school? (Child and Family Outcome 1)

- What effect does First 5 IMPACT have on increased coordination of early childhood services among agencies in the county? (Child and Family Outcome 2)

- Are families that are knowledgeable about early childhood quality more likely to have children enrolled at a program site at a higher First 5 IMPACT Implementation Steps or with a QRIS rating than families with no knowledge of early childhood quality? (Child and Family Outcome 3)

- Do community awareness efforts lead to community action about early childhood issues? (Child and Family Outcome 4)

APPENDIX I. First 5 IMPACT Common Data Fields Summary (Draft)

Data File Submission: Annually, in September of each year with data from the previous Fiscal Year.

Data Format: One Excel or CSV File formatted per F5CA specifications. Contents may be reviewed by electronic file validation before being accepted by F5CA.

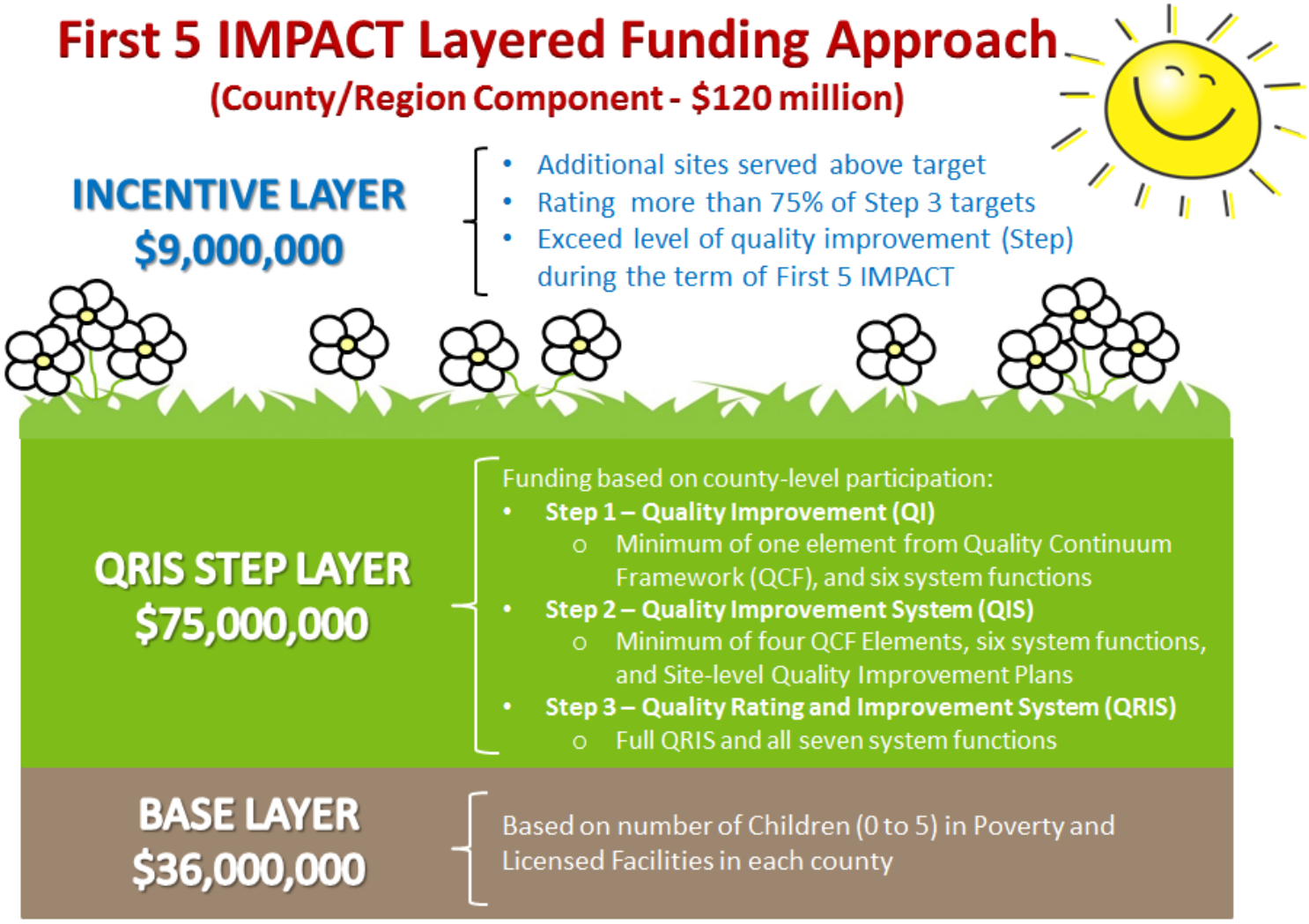
Lead agencies or hubs will be provided more detailed file coding instructions following First 5 IMPACT funding approval.

Data Field	Step 1	Step 2	Step 3
County	X	X	X
Site Unique Identifier (License Number)	X	X	X
Previous Site UI (if applicable)	X	X	X
Site Name	X	X	X
First 5 IMPACT Implementation Step	X	X	X
Facility Type	X	X	X
Program Type (Select from 4 categories)	X	X	X
Funding Source (Select from 23 categories)	X	X	X
Languages Spoken (Select from 16 categories)	Optional	X	X
Number of Preschoolers Served, Full-Time	X	X	X
Number of Toddlers Served, Full-Time	X	X	X
Number of Infants Served, Full-Time	X	X	X
Number of Preschoolers Served, Part-Time	X	X	X
Number of Toddlers Served, Part-Time	X	X	X
Number of Infants Served, Part-Time	X	X	X
Overall QRIS Tier/Ranking			X
Cumulative QRIS Score Total			X
Detail QRIS Score: Child Observation			X
Detail QRIS Score: Developmental and Health Screenings			X
Detail QRIS Score: Minimum Qualifications for Lead Teacher/FCCH			X
Detail QRIS Score: CLASS® Observation (PreK & Toddler)			X
Detail QRIS Score: Ratios and Group Size			X
Detail QRIS Score: Environment Rating Scale			X
Detail QRIS Score: Director Qualifications			X
Detail QRIS Score: PreK - CLASS Observation (Emotional Support)			X
Detail QRIS Score: PreK - CLASS Observation (Instructional Support)			X
Detail QRIS Score: PreK - CLASS Observation (Classroom Organization)			X
Detail QRIS Score: Toddler - CLASS Observation (Emotional & Behavioral Support)			X
Detail QRIS Score: Toddler - CLASS Observation (Engaged Support for Learning)			X
Detail QRIS Score: Infant - CLASS Observation (Responsive Caregiving)			X
DLL status – Number of Preschool-Age	Optional	X	X
Child Languages Spoken (Select from 16 categories)	Optional	X	X

Child Race/Ethnicity (Select from 7 categories)	Optional	X	X
Number of children screened with a developmental screening tool (conducted by site or screening results provided by another entity)		Only counties addressing "Developmental and Health Screenings" element	X
Number of children receiving subsequent referrals based on screening		Only counties addressing "Developmental and Health Screenings" element	X
Number of Children with IFSP		Only counties addressing "Developmental and Health Screenings" element	X
Number of Children with IEP		Only counties addressing "Developmental and Health Screenings" element	X
Number of Children Served with Voucher Payments	X	X	X
Director/Operator with AA/AS Degree or higher	X	X	Optional
Director/Operator with 24 units ECE/CD or more	X	X	Optional
Number of Teachers	X	X	X
Number of Teachers with Child Development Permit (Select from 6 categories)	X	X	X
Number of Teachers with AA/AS Degree	X	X	X
Number of Teachers with AA/AS Degree in ECE or CD	X	X	X
Number of Teachers with BA/BS Degree	X	X	X
Number of Teachers with BA/BS Degree in ECE or CD	X	X	X
Number of Teachers Who Receive Professional Development Training/Education (21 or more hours in the past year)		X	X
Number of Teachers Who Receive Academic Education (6 units or more in the past year) including CORE 8 Coursework		X	X
Site QIP Goals (codes TBD*)		X	X
Site QIP Strategies (codes TBD*)		X	X

*Site QIP goals may include element focus. QIP Strategies may include specific activities and/or resources in support of quality improvement.

APPENDIX J. First 5 IMPACT Layered Funding Approach



APPENDIX K. Five-Year Funding Projections and Site Targets

Fiscal Years 2015–16 through 2019–20					
Column 1	**Column 2**	**Column 3**	**Column 4**	**Column 5**	**Column 6**
County	**Anticipated QRIS Step[33]**	**Participating Site Targets (annually)[34]**	**Base Layer Funding Amount (5 years)[35]**	**Step Layer Funding Amount (5 years)[36]**	**TOTAL Funding Amount (5 years)**
Alameda	3	184	$1,387,186	$3,269,701	$4,656,887
Alpine	2	1	$50,748	$10,644	$61,392
Amador	2	27	$124,353	$290,569	$414,922
Butte	2	41	$263,821	$440,643	$704,464
Calaveras	2	22	$125,448	$238,416	$363,863
Colusa	2	22	$129,591	$238,416	$ 368,007
Contra Costa	3	146	$939,505	$2,597,028	$3,536,533
Del Norte	2	21	$137,436	$221,386	$358,822
El Dorado	3	76	$204,312	$1,348,184	$1,552,495
Fresno	3	105	$1,452,911	$1,864,396	$3,317,307
Glenn	2	24	$139,766	$251,188	$390,954
Humboldt	2	41	$240,854	$432,128	$672,982
Imperial	3	68	$362,819	$1,199,174	$1,561,993
Inyo	2	21	$119,682	$221,386	$341,068
Kern	3	98	$1,204,146	$1,738,448	$2,942,594
Kings	3	76	$294,000	$1,341,088	$1,635,088
Lake	2	38	$175,921	$408,713	$584,634
Lassen	2	23	$123,153	$242,141	$365,293
Los Angeles	3	468	$5,000,000	$8,296,652	$13,296,652
Madera	3	47	$323,054	$830,197	$1,153,251
Marin	2	64	$253,700	$685,445	$939,145
Mariposa	3	13	$111,400	$230,610	$342,011
Mendocino	2	54	$195,639	$570,495	$766,133
Merced	3	71	$468,569	$1,263,035	$1,731,604
Modoc	2	20	$116,282	$214,468	$330,750
Mono	2	12	$109,206	$131,448	$240,654

[33] County Anticipated QRIS Steps were determined based on previous county participation (e.g., CARES Plus, CSP, RTT-ELC, etc.); counties may request to be in a different Step when they apply to the First 5 IMPACT Request for Application.
[34] Participating Site Targets calculated based on the amount of licensed facilities in a county.
[35] Base Layer amount calculated using an equally weighted percentage formula based on county population for children ages 0 to 5 in poverty AND total licensed sites, and then prorated based on the $36 million Base layer funding allocation; there is a minimum county funding amount of $50,000 and a maximum of $5,000,000.
[36] Step Layer amount calculated using per site funding amounts (based on Step) and county participating site targets.

Monterey	2	54	$560,415	$574,752	$1,135,167
Napa	2	55	$184,645	$583,267	$767,912
Nevada	3	47	$165,495	$837,293	$1,002,788
Orange	3	180	$1,936,553	$3,191,648	$5,128,200
Placer	3	91	$344,512	$1,607,177	$1,951,689
Plumas	2	25	$120,144	$262,896	$383,040
Riverside	3	181	$2,087,754	$3,217,192	$5,304,947
Sacramento	3	182	$1,699,976	$3,227,126	$4,927,103
San Benito	2	50	$166,354	$536,435	$702,789
San Bernardino	3	181	$2,241,758	$3,205,839	$5,447,598
San Diego	3	378	$2,937,013	$6,702,602	$9,639,616
San Francisco	3	98	$565,418	$1,731,352	$2,296,770
San Joaquin	3	87	$841,471	$1,536,220	$2,377,691
San Luis Obispo	3	88	$322,554	$1,568,151	$1,890,705
San Mateo	3	92	$574,343	$1,626,690	$2,201,034
Santa Barbara	3	62	$513,898	$1,106,930	$1,620,828
Santa Clara	3	200	$1,468,902	$3,550,691	$5,019,593
Santa Cruz	3	89	$345,461	$1,578,794	$1,924,255
Shasta	2	44	$259,662	$464,059	$723,721
Sierra	3	5	$52,782	$80,714	$133,496
Siskiyou	2	28	$146,536	$297,487	$444,024
Solano	2	56	$498,460	$598,168	$1,096,628
Sonoma	2	59	$462,364	$629,034	$1,091,398
Stanislaus	3	51	$642,927	$899,381	$1,542,308
Sutter	2	61	$215,391	$651,386	$866,777
Tehama	2	36	$180,396	$378,911	$559,307
Trinity	2	18	$112,711	$193,713	$306,424
Tulare	3	88	$883,824	$1,552,185	$2,436,009
Tuolumne	2	33	$133,950	$345,916	$479,866
Ventura	3	111	$793,033	$1,967,284	$2,760,317
Yolo	3	69	$289,935	$1,231,105	$1,521,040
Yuba	2	46	$197,859	$489,604	$687,462
TOTAL	**NA**	**4,626**	**$36,000,000**	**$75,000,000**	**$111,000,000**