



First 5 IMPACT

**Regional Coordination and Training and
Technical Assistance Hubs (Hubs)**

Request for Application

March 2016

First 5 IMPACT
Regional Coordination, and Training and Technical Assistance Hubs

TABLE OF CONTENTS

I. INTRODUCTION	5
History of First 5 California.....	5
First 5 IMPACT Purpose and Goals.....	5
Support for Regional Efficiencies	6
Authority and Funding Summary	7
II. HUB PURPOSE AND GOALS	7
Two Basic Hub Roles.....	9
F5CA Statewide T&TA.....	10
III. HUB REGIONS AND FUNDING ALLOCATIONS.....	11
Hub Allocations.....	12
IV. DATA SYSTEMS AND PLANNING INFORMATION	14
Regional Data System Coordinator	15
ECE Workforce Registry	15
Data System Conditions and Requirements	15
Planning Information Support	16
V. HUB FUNDING APPLICATION.....	17
Eligible Hub Applicants	17
Role of the Hub Fiscal Lead Agency.....	17
Critical Dates for the Hub RFA.....	18
Hub RFA Application Submission Requirements	20
Sequence of Hub Application Components	20
VI. PROGRAM, ADMINISTRATIVE, AND FISCAL ACCOUNTABILITY	21
Hub Fiscal Lead Agency Responsibilities	21
Annual Performance Report	22
Human Subjects Protection and Data Security	22
Evaluation Participation	22
Reimbursement Requirements	22
Reimbursable and Non-Reimbursable Costs.....	23
Use of Subcontractors	26

Capital Assets	26
Payment Withholds	27
Overpayment	27
Match Requirement.....	27
Budget Amendments	27
Carryover Funds	28
Adjustment to Funding Allocations/Budgets.....	28
Major Hub Changes	28
Dispute Resolution (Fiscal Components).....	29
First 5 Financial Management Guide Compliance	29
Hub Validation	29
Retention of Program Records	30
Compliance Requirements.....	31
Restricted Use of First 5 IMPACT Funds	31
Termination of Agreement	32
Funding Contingencies for Local Area Agreements.....	32
Ownership of Products and Copyright	32
Non-Discrimination.....	33
Indemnification and Hold Harmless	33
FORM 1. HUB APPLICATION	35
FORMS 2 – 4 BUDGET FORMS.....	42
APPENDIX A. CA-QRIS RATING MATRIX	48
APPENDIX B. CA-QRIS PATHWAYS	50
APPENDIX C. TWO BASIC HUB ROLES	52
Role 1: Basic Coordination, Project Management, and Systems-building Activities for Consortia Participating in the Hub	52
Role 2: Specialized Support for Consortia Participating in the Hub	53
APPENDIX D. ENVIRONMENT RATING SCALE ANCHORS AND ASSESSORS.....	55
APPENDIX E. SYSTEMS FUNCTIONS AND HUB ACTIVITIES	58
APPENDIX F. SAMPLE JOB DESCRIPTIONS	61
1. Quality Rating and Improvement System (QRIS) Regional Coordination, and Training and Technical Assistance Hub (Hub) Coordinator	61
2. Regional Professional Development Specialist	63

3.	Regional Environment Rating Scales Anchor.....	65
4.	Regional Classroom Assessment Scoring System® Trainer/Observer.....	67
5.	Regional Data System Coordinator	69
APPENDIX G. REGIONAL HUB AND STATEWIDE T&TA STRUCTURE		70
APPENDIX H. F5CA STATEWIDE TRAINING AND TECHNICAL ASSISTANCE.....		71
APPENDIX I. DEFINITION OF TRAINING AND TECHNICAL ASSISTANCE.....		74
APPENDIX J. F5CA STATEWIDE SUPPORT FOR CLASSROOM ASSESSMENT SCORING SYSTEM		76
APPENDIX K. REGIONAL FIRST 5 IMPACT HUB MAP		78
APPENDIX L. QRIS DATA SYSTEM GUIDANCE.....		79
	Usefulness of QRIS Data Systems	79
	Data System Selection and Features.....	79
	QRIS Data System Checklist	80
	Potential Data System Vendors	81

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 and 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 F5CA’s Strategic Priority Areas 1 and 2 and corresponding Goals 1.1, 1.2, 1.3, 2.1, and 2.2. (http://www.cafc.ca.gov/about/pdf/commission/resources/F5CA_Strategic_Plan.pdf). 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.

First 5 IMPACT Purpose and Goals

First 5 IMPACT builds upon and aligns with the Race to the Top-Early Learning Challenge (RTT-ELC) grant, which drew on F5CA’s CARES Plus and former Power of Preschool (PoP) programs. The RTT-ELC framework, now the California quality rating and improvement system (CA-QRIS), also drew on the nationally recognized effectiveness factors or standards that lead to improved learning and development outcomes for children. The CA-QRIS includes the Rating Matrix (Appendix A) and the Continuous Quality Improvement Pathways (CQI Pathways) (Appendix B). Further, First 5 IMPACT aligns with the California Department of Education’s (CDE) California State Preschool Program (CSPP) QRIS Block Grant (<http://www.cde.ca.gov/sp/cd/op/csppqrisblockgrant.asp>).

The centerpiece of First 5 IMPACT is a network of local QRIS that coordinate, assess, and improve early learning programs. QRIS provides families the information they need to select the best early learning programs for their children. Supporting more programs to achieve high-quality standards helps ensure children enter school with the skills, knowledge, and dispositions necessary to be successful.

Other key components of First 5 IMPACT include:

- Effective teacher-child interactions
- Culturally and linguistically effective strategies to engage families
- Support for the inclusion of special populations, such as children with disabilities and other special needs, dual language learners, and infants and toddlers

First 5 IMPACT also will link to F5CA's Dual Language Learner and Family Engagement pilots, which currently are under development. For more information about First 5 IMPACT, go to

http://www.cafc.ca.gov/programs/programs_impact.html.

Support for Regional Efficiencies

This Request for Application (RFA) supports the development and implementation of Regional Coordination, and Training and Technical Assistance Hubs (Hubs) for consortia participating in First 5 IMPACT and the CA-QRIS. The primary focus of the Hubs is to provide coordination and specialized support to consortia within a region or with similar technical assistance needs to create economies of scale while building a local early learning system. As a regional body, the Hubs are required to:

- Help consortia identify local and regional strengths and assets, and determine local and regional gaps and needs
- Coordinate regional activities to implement the CA-QRIS elements and systems functions
- Reduce regional duplication of efforts
- Build local and regional expertise, and incorporate state and federal evidence-based practices models
- Maintain a strong connection to the CA-QRIS

The Hubs emphasize local flexibility and consortia partnership to foster innovation and build local and regional capacity. Like First 5 IMPACT, the Hubs are designed intentionally to incorporate recent research; build on effective practices from current and past local, state, and federal initiatives; and leverage existing resources and non-First 5 dollars.

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 First 5 California the authority to allocate funds to county commissions to carry out the purposes of the Act.

In April 2015, the First 5 California Children and Families Commission approved a total of \$190 million in funding for FYs 2015–16 through 2019–20 for First 5 IMPACT without fiscal year constraints and provided that sufficient resources exist to expend the allocated funds. The majority of First 5 IMPACT funding is allocated to local consortia (\$122 million) implementing a local Quality Improvement System (QIS) or Quality Rating and Improvement System (QRIS). \$18 million is earmarked for the implementation and operation of the Hubs.

Of the \$22 million of First 5 IMPACT funding earmarked for research and evaluation, F5CA has allocated \$3.5 million to reimburse the Hubs for the use of a data system and related data management activities, and \$12,800 for a subscription to an online data query tool. These funds are in addition to the \$18 million for Hub implementation. Please see section IV (page 14) of this RFA for details.

The period of funding and program authority to operate the Hubs is April 1, 2016, through June 30, 2020, based on a state fiscal-year basis (July 1 through June 30). Regional expenditures prior to and after the period of program authority are not eligible for reimbursement.

II. HUB PURPOSE AND GOALS

Compelling research on early intervention and the role of quality early learning experiences in child outcomes reinforce the need for collaboration that breaks down silos of training, administration, financing, and use of data. F5CA is aware of existing examples in California where consortia engage in cross-region networks of support and collaboration, mentor other consortia, and share resources and

innovation. Hub funding can strengthen this existing work, provide infrastructure that enables all consortia to benefit from regional collaboration, and support connections to other F5CA statewide investments.

The Hubs are designed as a mechanism for coordination. While Hub activities can take place in an agreed-upon location, the Hubs are not a “place.” Similarly, while a First 5 county commission will serve as the Fiscal Lead Agency for the Hub (see page 21), the Hub is neither a single agency nor should the Fiscal Lead Agency make decisions for the region. The success of each Hub to build local capacity and create regional efficiencies is dependent upon full participation and collaboration by consortia. All participating consortia in a region are expected to share in the decision making about Hub goals and direction. Where a Hub consists of a single consortium, decisions should include all consortium partners.

Drawing from research on collective impact, the Hubs are designed to:

- **Manage efforts regionally:** The Hubs are a mechanism to help coordinate local and regional CA-QRIS implementation across multiple systems. The Hubs can support local and regional collaboration that leads to innovative solutions that enable consortia to reach their goals and increase their combined reach. Utilizing mixed delivery methods, the Hubs may operate by convening consortia in face-to-face work, through webinars or other technology that supports distance meeting and learning, or both.
- **Leverage local and state resources:** By leveraging the needs and assets of consortia in a similar region or with similar needs or interests, the Hubs can help consortia integrate county, state, and national research and promising practices into First 5 IMPACT work.
- **Create regional efficiencies:** The time and cost savings associated with centralized processes, specialized training, staffing, and other resources can increase the efficiency of the early learning system through economies of scale. Local consortia can reduce duplication of efforts and focus on local innovations and implementation in other areas by developing cross-region strategies in agreed upon areas for quality improvement, staffing, data collection, and systems development.
- **Increase local capacity:** The Hubs can promote cross-consortia networks of support and learning communities to grow local and regional capacity, build on existing strengths, increase efficiency, and meet local needs.

Two Basic Hub Roles

In order to accomplish the system goals, the Hubs will play two essential roles to support consortia and regions. Within these roles, there are several requirements that may be funded using the Hub allocation or other funding sources, including, but not limited to, contributions of local First 5 IMPACT or county funds, in-kind contributions, or a combination of Hub and local/in-kind. Consortia participating in the Hub should work together to determine the best ways to carry out the following two Hub roles:

- 1. Basic coordination, project management, and systems-building activities for consortia participating in the Hub.** Appendix C includes examples of ways the Hubs can achieve the role of coordination, project management, and systems building and meet the requirements described below.

The Hub is required to:

- a. Identify a method to facilitate the work of the Hub. The Hubs must implement an equitable, inclusive, unbiased process for engaging all consortia in the region, making decisions and carrying out agreed-upon regional activities that support the implementation of the CA-QRIS in each consortium. Hubs are intended to be a support mechanism (not monitors) for consortia in the Hub.
- b. Coordinate the selection of a data system and manage data collection and reporting for consortia in the region. See Section IV. Data System and Planning Information Support (page 14) for information about additional F5CA funding provided to Hubs for this activity.

- 2. Specialized support for at least one element of the CA-QRIS or system function for consortia participating in the Hub.** Appendix C includes examples of ways the Hubs can achieve the role of providing specialized support and meet the requirements described below.

The Hub is required to:

- a. Identify at least one Environment Rating Scales (ERS) Anchor who can certify local assessors and support the fidelity of assessment practices and consistency of tool interpretation across the region, as articulated in the guidelines set forth by the CA-QRIS Implementation Guide (http://www.cafc.ca.gov/programs/impact/impact_qris.html). F5CA will support certification of Regional ERS Anchor(s) identified by the Hub, while the Hub is responsible for coordinating regional ERS Anchor responsibilities. Appendix D describes state, regional, and local ERS Anchor and assessor responsibilities and certification processes in the CA-QRIS.

- b. Support increased capacity and knowledge around *Adult-Child Interactions* and *Family Engagement and Strengthening*—required elements of First 5 IMPACT.

Appendix E provides a crosswalk of potential Hub activities as they relate to the early learning system functions. Sample job descriptions are provided in Appendix F as reference material; they are not required Hub positions nor are the job descriptions intended to reflect all local or regional needs.

Acting as the “Statewide Hub,” F5CA in partnership with its T&TA contractors will coordinate Hub activities within and across regions, ensure Hubs receive state-level T&TA supports they need to carry out basic coordination and specialization activities, and work with external contractors delivering services to the Hubs, as needed. In addition, F5CA will provide statewide T&TA as described in the next section. In Appendix G, a graphic depicts the Regional Hub and Statewide T&TA structure designed to support consortia.

F5CA Statewide T&TA

First 5 IMPACT’s statewide T&TA will serve consortia, the Hubs, and the early educator workforce in three major areas of support: system, early educator workforce, and policy and public outreach. Appendix H provides detail about F5CA’s planned statewide T&TA, which was determined using county and stakeholder input.

1. System Supports

System-related efforts include training and facilitation for systems development and coordination (e.g., asset mapping, QRIS annual summit, workgroups, and learning communities); assessor inter-rater reliability training, uniform data collection assistance (e.g., workforce registry and QRIS databases), and connections to Child Health and Family Support and Strengthening.

2. Early Educator Workforce Supports

Strategies to serve 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 efforts will focus on higher education (e.g., embedding practice-based coaching into coursework), coaching and training institutes to improve coach effectiveness, evidence-based trainings linked to the CA-QRIS, and specific training and partnerships

to engage family child care (FCC) and family, friend, and neighbor (FFN) care.

These early educator workforce efforts build upon best practices in T&TA (including coaching, mentoring, and consultation) as defined by the National Association for the Education of Young Children (NAEYC) and are outlined in Appendix I. Appendix J provides details about how F5CA will continue its commitment to nurturing effective adult-child interactions through CLASS®-based resources.

3. Policy and Public Outreach Supports

Policy and public outreach efforts include multi-fold strategies to promote policy, outreach, and communication to support local QRIS, including building public will and knowledge through a messaging campaign and increasing parents demand for quality programs. These include F5CAs research agenda and proposed areas of evaluation.

III. HUB REGIONS AND FUNDING ALLOCATIONS

At the September 2015, RTT-ELC Consortia Meeting, consortia members reviewed recommendations for a regional map that would serve county needs and promote regional efficiencies around implementing a QIS/QRIS. The map represented a hybrid of the First 5 Association and California County Superintendent's Educational Services Association (CCSESA) maps and considered where consortia already were working together effectively. On November 13, 2015, F5CA convened a working group of First 5 county commission representatives to inform the development of the Hubs and provide feedback on the regional map.

As a result of these input sessions, F5CA identified the regional groupings described below to define the Hub regions. These groupings were presented to the RTT-ELC Consortia in December 2015, and consortia members voted to approve these regions for future work with the CA-QRIS Consortium. Members also made the recommendation to move toward CCSESA regions in the future, to the extent possible. Appendix K includes a multi-color California map showing the 10 Hub regions.

The chart below lists consortia included in each Regional Hub. In most cases, the local First 5 IMPACT consortium represents a single county based on their application. Five First 5 IMPACT applications were submitted by a Lead Agency on behalf of their own county and at least one other county, making it a regional First 5 IMPACT consortium. For example, First 5 Shasta applied as the Lead Agency of

a five-county regional First 5 IMPACT consortium. In the table below, the Lead Agency of the regional First 5 IMPACT consortium is underlined.

Region 1	Region 2	Region 3	Region 4	Region 5
8 consortia 8 counties	5 consortia 9 counties	11 consortia 14 counties	8 consortia 8 counties	6 consortia 7 counties
<ul style="list-style-type: none"> Del Norte Humboldt Lake Marin Mendocino Napa Solano Sonoma 	<ul style="list-style-type: none"> Butte Lassen Plumas Siskiyou <p><i>Regional First 5 IMPACT Consortium:</i></p> <ul style="list-style-type: none"> <u>Shasta</u>, Glenn, Modoc, Tehama, and Trinity 	<ul style="list-style-type: none"> Amador Calaveras Colusa El Dorado Sacramento San Joaquin Stanislaus Tuolumne Yolo <p><i>Regional First 5 IMPACT Consortia:</i></p> <ul style="list-style-type: none"> <u>Placer</u>, Nevada, and Sierra <u>Sutter</u> and Yuba 	<ul style="list-style-type: none"> Alameda Contra Costa Monterey San Benito San Mateo San Francisco Santa Clara Santa Cruz 	<ul style="list-style-type: none"> Fresno Kern Kings Madera Tulare <p><i>Regional First 5 IMPACT Consortium:</i></p> <ul style="list-style-type: none"> <u>Merced</u> and Mariposa

Region 6	Region 7	Region 8	Region 9	Region 10
2 consortia 3 counties	3 consortia 3 counties	1 consortium 1 county	4 consortia 4 counties	1 consortium 1 county
<ul style="list-style-type: none"> Inyo <p><i>Regional First 5 IMPACT Consortium:</i></p> <ul style="list-style-type: none"> <u>Mono</u> and Alpine 	<ul style="list-style-type: none"> San Luis Obispo Santa Barbara Ventura 	<ul style="list-style-type: none"> Los Angeles 	<ul style="list-style-type: none"> Imperial Orange Riverside San Bernardino 	<ul style="list-style-type: none"> San Diego

Hub Allocations

F5CA has dedicated up to \$18 million to support the Hubs through June 2020. The amount of Regional Hub funding allocated to each of the 10 regions was calculated using a combination of county and regional variables to represent the two roles of Hubs, each role making up half of the formula. Details about the Hub funding calculation are described in the table on the next page.

Hub Role	Total Funding	Factor
Coordination and Systems Building (50%)		
1. Coordinate counties in the region, facilitate strengths/gaps assessment and decision-making, and enable face-to-face and alternative modes for meeting	\$3,000,000	Percentage of counties in the region compared to state (58)
2. Systems building and coordination across systems of care (e.g., federally-funded, state-funded, private, home-based, etc.)	\$3,000,000	Percentage of licensed sites in the region compared to state (51,655)
3. Systems building and integration of agencies supporting improved outcomes for children and families	\$3,000,000	Percentage of children in poverty in the region compared to state (708,349)
Specialized Support (50%)		
4. Specialized support to improve quality in local First 5 IMPACT sites	\$9,000,000	Percentage of First 5 IMPACT target sites in the region compared to statewide total (4,601)

Below is the total funding allocation for each region to carry out the Hub functions:

Region	Total Hub Allocation April 1, 2016, – June 30, 2020
1	\$ 1,364,643
2	\$ 1,063,404
3	\$ 2,961,866
4	\$ 3,108,205
5	\$ 2,024,943
6	\$ 375,912
7	\$ 895,495
8	\$ 2,440,944
9	\$ 2,476,762
10	\$ 1,287,826
	\$ 18,000,000

IV. DATA SYSTEMS AND PLANNING INFORMATION

The Hubs are required to support First 5 IMPACT data collection needs for all consortia in the region. This may include QIS/QRIS data system contracting, identifying a regional data system coordinator, access to an online planning data query tool, support for the California Early Care and Education Workforce Registry (Registry), or a combination of these activities.

F5CA has allocated \$3.5 million to reimburse the Hubs for the use of a data system. These funds are in addition to the \$18 million for Hub implementation. These funds are designed to support data system development, management, and use, as well as preparation of the Common Data Fields file (First 5 IMPACT RFA, Appendix I) and system modifications for potential changes to the QRIS rating matrix during the term of First 5 IMPACT.

F5CA will reimburse the Hubs up to \$150 per site per year during Fiscal Years 2016-17 through 2019-20 for the procurement, coordination, and use of First 5 IMPACT QRIS data system(s) for consortia in the Hub region. The following table shows data system reimbursement funding by Hub region. These figures are estimates based on site targets listed in the original First 5 IMPACT RFA.

Hub Region	Estimated Target First 5 IMPACT Sites	Estimated Annual Reimbursement	Estimated Total Reimbursement (July 2016 – June 2020)
1	369	\$ 55,350	\$ 221,400
2	259	\$ 38,850	\$ 155,400
3	811	\$ 121,650	\$ 486,600
4	913	\$ 136,950	\$ 547,800
5	498	\$ 74,700	\$ 298,800
6	34	\$ 5,100	\$ 20,400
7	261	\$ 39,150	\$ 156,600
8	468	\$ 70,200	\$ 280,800
9	610	\$ 91,500	\$ 366,000
10	378	\$ 56,700	\$ 226,800
		\$ 690,150	\$ 2,760,600

Data system funds may be used to:

- Hire a regional data system coordinator to manage regional contract(s) with QRIS data system vendors and monitor and administer the regional QRIS data system (See Appendix F-5 for a sample job description)

- Ensure data system access for participating consortia and support data collection and data entry
- Support the work of the Registry to monitor and align professional development data with regional QRIS data systems

Data system funds are optional. These funds may not be used for any purpose other than the data system, Registry participation, or a QRIS data system coordinator. Additionally, any costs incurred by the Hub that exceed the Hub regional allocation are the responsibility of the Hub and/or consortia. If the CA-QRIS Rating Matrix is modified by the CA-QRIS Consortium resulting in data system alterations that cannot be covered by the \$150 per site per year allocation, F5CA will provide the Hubs limited additional funds to modify data systems, to the extent that funds are available. Information about how to access additional funds will be available if/when the CA-QRIS makes changes to the matrix.

Regional Data System Coordinator

Data system reimbursement funds may be used toward the salary of a QRIS Data System Coordinator or costs associated with the role of coordination (e.g., travel, supplies). Hub funds, local First 5 IMPACT funds, or local match funds may be used to augment the difference in actual costs, as needed.

ECE Workforce Registry

F5CA encourages the Hubs to explore how the California ECE Workforce Registry (www.caregistry.org) can be used to support professional development and may complement local QRIS data systems (e.g., as used in San Francisco and Los Angeles counties). Because development and implementation of the Registry is ongoing, F5CA encourages the Hubs to participate in discussions and possible regional implementation of the Registry in partnership with the CDE, existing Registry members, foundations, and F5CA. Participation in Registry discussions may be one useful role of the Regional Data Coordinator. For the Hubs and consortia, the Registry may offer benefits such as: 1) records of professional development that can follow teachers regardless of residence or job transfer; 2) reduced duplication of professional data between local data systems; 3) verified professional data (transcripts, credentials, permits, coursework) that can be used for QRIS rating at the site level; and 4) providing data for a statewide view of California's ECE workforce characteristics.

Data System Conditions and Requirements

The intent of funding for data systems is to support development of data useful for improving the quality of early care and education. Therefore, funding is provided in support of QRIS data systems, defined as vendor-developed systems capable of

aggregating site-level data required for tier ratings in the CA-QRIS Rating Matrix. While family or child services and referrals may be a complementary function of a QRIS data system, they cannot constitute the only function of the QRIS data system.

Some or all of the data system reimbursement funds may be used to support costs of the data system itself. If this reimbursement is applied to these costs, the data system must be designed specifically for QIS/QRIS systems to manage site-level data and to support development of Quality Improvement Plans for eventual tiered ratings. Neither Hub funds nor data system reimbursement funds may be used to create a new data system for QRIS or significantly modify an existing data system created for purposes other than a QRIS.

Consortia in a Hub region may elect to use a single, shared regional data system or coordinate the use of multiple QRIS data systems in the region. The Hubs may contract for an existing vendor-made data system or coordinate with an existing data system used by another county or region. F5CA encourages consortia to use their selected data system for collection and tracking of sites participating in all local quality improvement efforts.

Consortia participating in a Hub should consider various options, cost structures, and data extract capabilities (including the functionality to report First 5 IMPACT Common Data Fields and other required reporting) before entering into an agreement with a chosen vendor. For additional information to guide decision making, please see Appendix L. QRIS Data System Guidance.

F5CA does not endorse any specific data system vendor. In December 2015 and January 2016, F5CA invited data system vendors to demonstrate to First 5 IMPACT partners the features of iPinwheel, Persimmony, TCC Software Solutions, Vertical Change, WELS, and Q-Star. For reimbursement of the \$150 per site per year, the Hubs may choose a data system from one of these vendors or another vendor specifically designed and used for QIS/QRIS administration and reporting. If another vendor is selected, please obtain prior approval from F5CA prior to entering into a contract with this vendor using data system support funds or other First 5 IMPACT/Hub funds.

Planning Information Support

Optional: Early Learning Needs Assessment Tool (ELNAT).

To support needs assessment and program development within Hub regions, F5CA will fund, on a reimbursable basis, annual subscriptions to the Early Learning Needs Assessment Tool (ELNAT), developed by the American Institutes for Research (AIR). More information about the ELNAT is available at <http://elneedsassessment.org>. The ELNAT is an online query tool containing

demographic and early childhood program enrollment data at the ZIP code level, including estimates of the number of children eligible for the Title 5 program and those with working parents, that may be useful for regional needs assessment or program planning. AIR's institutional annual subscription rate is \$3,200 per year per Hub and allows data to be shared by partners within the regional Hub. F5CA will offer a webinar in March 2016 to demonstrate the capabilities of ELNAT.

V. HUB FUNDING APPLICATION

This section covers eligible applicants, critical dates, application submission requirements, and funding information.

Eligible Hub Applicants

Only a First 5 county commission participating in a First 5 IMPACT local or regional consortium is eligible to apply to be the Hub Fiscal Lead Agency for its region.

The Hub RFA is not intended to be a competitive application. F5CA will accept one applicant per region, completed by a First 5 county commission in the region. The Hub Fiscal Lead Agency (a First 5 county commission) does not have to be the Lead Agency for a local First 5 IMPACT consortium.

Role of the Hub Fiscal Lead Agency

The Hub is a mechanism for promoting regional collaboration to support a common QRIS frame, share resources, create efficiencies, and reduce administrative costs. The Hub must include representation from all consortia participating in the region, and activities carried out by the Hub must be unanimously agreed upon by these consortia representatives. Thus, the role of the Hub Fiscal Lead Agency is to ensure there is a process for participatory application development and shared decision making about Hub priorities and activities that meet the needs of consortia in the region. The Hub Fiscal Lead Agency may choose to hire/utilize existing staff, develop MOUs with a consortia partner, or initiate contracts/subcontracts to facilitate the process and/or carry out the agreed-upon work.

The Hub Fiscal Lead Agency should have capacity to:

- Ensure there is a collaborative process to develop, implement, and/or oversee and monitor Hub activities to support all consortia in the region
- Act as lead to ensure the requirements for the Hubs are met and report to F5CA annually about Hub progress toward goals

- Use the Hub funds and structure to create regional efficiencies in specialized support for consortia 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 a QIS/QRIS system to increase county capacity or improve system efficiency
- Use the Hub funds and structure to support administrative, program, and evaluation services incorporated within the First 5 IMPACT system functions
- Use evidence-based models/frameworks to ensure the highest likelihood of measurable improvement in key child and family indicators

Critical Dates for the Hub Request for Applications

Date	Critical Event
March 2, 2016	The Hub RFA is available on the F5CA webpage at: http://www.cafc.ca.gov/programs/impact/impact_regional_coordination.html
March 9, 2016 2:30 p.m. – 4:00 p.m.	<p>Hub RFA Updates and Data System Selection T&TA Session</p> <p>F5CA will share updated information about the Hub RFA. Please refer to general information about Hub structure and goals shared December 17, 2015, and January 6, 2016 (available at http://www.cafc.ca.gov/programs/impact/impact_regional_coordination.html).</p> <p>F5CA also will provide information and answer questions about data system reimbursement funds, data system requirements, and selection guidelines outlined in the Hub RFA:</p> <p>First 5 IMPACT consortia will have an opportunity to ask questions. Any First 5 county commissions interested in submitting an application as a Hub Fiscal Lead Agency is encouraged to participate in the Hub RFA Information Session webinar.</p> <p>Date: March 9, 2016</p> <p>Time: 2:30 p.m. – 4:00 p.m.</p> <p>Webinar Registration: https://attendee.gotowebinar.com/register/6712489173251964161</p> <p>Dial-in number: 800-988-9483</p> <p>Passcode: 6881113</p> <p>Questions regarding the Hub RFA and data system funding will be answered during this webinar. Additional questions regarding this RFA will be accepted in writing by e-mail or by fax through Friday, March 4, 2016, 5:00 p.m. Please use “Hub RFA Question”</p>

Date	Critical Event
	as the subject heading and send all questions to F5IMPACT@ccfc.ca.gov or by fax to (916) 263-1360.
March 11, 2016 1:30 p.m. – 2:30 p.m.	<p>Early Learning Needs Assessment Tool (ELNAT) Demonstration. American Institutes of Research will offer a webinar to demonstrate the capabilities of the ELNAT, an online query tool containing demographic and early childhood program enrollment data at the ZIP code level.</p> <p>Date: March 11, 2016</p> <p>Time: 1:30 p.m. – 2:30 p.m.</p> <p>Webinar Registration: https://global.gotomeeting.com/join/652653429</p> <p>Dial-in number: 669-224-3412</p> <p>Passcode: 652 653 429</p> <p>Questions regarding the ELNAT will be answered during this webinar. Additional questions regarding this RFA will be accepted in writing by e-mail or by fax. Please use “ELNAT Question” as the subject heading and send all questions to F5IMPACT@ccfc.ca.gov or by fax to (916) 263-1360.</p>
March 7 – April 8, 2016	<p>Hub RFA T&TA, upon request. F5CA and/or its T&TA contractor, will meet face-to-face or by conference call to answer region-specific questions, support initial Hub coordination, and discuss statewide T&TA to support the work of Hubs and consortia.</p>
April 18, 2016 5:00 p.m.	<p>F5CA IMPACT Hub application due to F5CA by 5:00 p.m.</p> <p>Applications must be sent electronically, or by mail as a hardcopy with original signatures or on a flash drive, and arrive by this date and time in order to be considered.</p>
April 19 – 29, 2016	<p>The Application Review Period for First 5 IMPACT Hub Funds.</p>
May 2, 2016	<p>“Intent to Award” announcement for F5CA IMPACT Hub 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 are verified. Lead Agencies are advised not to obligate funds based on this list.</p>

Date	Critical Event
May 9, 2016	Final funding list for award recipients will be posted on the F5CA website. (Note: Although the list will be posted on this date, the Hub funding period will begin effective April 1, 2016)

Hub RFA Application Submission Requirements

Applications must be developed and submitted in accordance with the terms described herein and must be complete at time of submission. All Hub Fiscal 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 for information in the application to be as complete and concise as possible. Do not attach additional pages or information not requested in the application.

F5CA must receive an electronic copy of the Lead Agency’s Hub Application on or before **April 18, 2016, by 5:00 p.m.** to F5IMPACT@ccfc.ca.gov. Applications submitted later than **April 18, 2016**, will not be accepted or reviewed.

Sequence of Hub Application Components

Each application must be assembled in the order outlined below, with responses numbered accordingly. Each component must be complete to qualify for review.

Form 1	First 5 IMPACT Phase Hub Application
Form 2	Hub Five-Year Budget Table
Form 3	Hub Annual/Amended Budget Table
Form 4	Hub Annual Budget Narrative

VI. PROGRAM, ADMINISTRATIVE, AND FISCAL ACCOUNTABILITY

A Local Area Agreement (LAA) for the Hubs will be developed and in effect for the time period April 1, 2016, through June 30, 2020.

Approximately \$18 million between April 1, 2016, and June 30, 2020, will be distributed among Lead Agencies with existing capacity to act as a Hub for their region.

Hub Fiscal Lead Agency Responsibilities

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

The Hub Fiscal Lead Agency shall be responsible for the oversight and administration of the Hubs, 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 the Hub funds. Reimbursement and expenditure claims are contingent on the Hub Fiscal Lead Agency's performance of and compliance with these responsibilities and requirements.

The Hub Fiscal 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 the First 5 IMPACT Hub, and retain records that substantiate its performance and compliance. For monitoring and auditing purposes, the Hub Fiscal 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.¹

If the Hub Fiscal 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 Hub Fiscal 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.

¹ The First 5 Financial Management Guide is available on the First 5 California Web site at: http://www.cfc.ca.gov/about/about_fiscal.html

Annual Performance Report

Lead Agencies will provide an annual performance report (APR) describing activities and accomplishments for each fiscal year as follow-up to activities planned in the First 5 IMPACT Hubs RFA application. APRs will be due annually each fiscal year in a day and a month to be determined. F5CA will make available an APR form on its First 5 IMPACT webpage for purposes of annual reporting.

Human Subjects Protection and Data Security

To meet requirements for human subjects' protection under the state government institutional review board, the Committee for Protection of Human Subjects, Lead Agencies will support consortia to:

- Use relevant notices or consent forms for early educators, parents, or other individuals. *Guidelines for First 5 IMPACT Evaluation Notices* are available at: http://www.cfc.ca.gov/programs/impact/impact_evaluation.html
- Securely maintain local data 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 Participation

If requested, Lead Agencies will participate in evaluation activities sponsored by F5CA to better understand the role and effectiveness of regional Hubs in promoting system change for quality early learning in California. Requests for participation may come from F5CA directly or a contracted evaluator. Participation is likely to involve focus groups, interviews, and/or surveys.

Reimbursement Requirements

To receive reimbursement for Hub expenditures, participating Hub Fiscal Lead Agencies must:

- Submit the initial First 5 IMPACT Hubs Five-Year Budget Table (Form 2), First 5 IMPACT Hubs Annual Budget and Reimbursement Table for FY 2015–16 (Form 3), and First 5 IMPACT Hubs Annual Budget Narrative (Form 4) for the initial reimbursement
- Submit a First 5 IMPACT Hubs Annual Budget and Reimbursement Table (Form 3) and a First 5 IMPACT Hubs Annual Budget Narrative (Form 4) for subsequent fiscal years by June 1 of the preceding fiscal year

- Submit reimbursement claims using the First 5 IMPACT Hubs Annual Budget and Reimbursement Table (Form 3) biannually (due January 31 and July 31 of each year)
- Certify expenditures used 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
- Comply with all requirements (program, administrative, evaluation, and fiscal) identified in the First 5 IMPACT Hubs RFA, applications, and LAA

If due dates fall on a weekend or holiday, claims will be due the following business day. 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. (See Dispute Resolution section for process.)

Reimbursable and Non-Reimbursable Costs

The Hub Fiscal 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 Hubs Annual Budget and Reimbursement Table (Form 3). All invoices or claims must be substantiated by adequate supporting documentation and based on verifiable financial records.

Personnel costs associated with Hub Fiscal 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 the Hub and include the following allowable expenditures (either performed by the Hub Fiscal Lead Agency or a contractor):

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

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

- Data collection and storage (including QRIS data systems)
- QI (stipends, curricula, etc.)
- Rating and monitoring
- Communications and outreach
- Materials and supplies
- Meetings and conferences (excluding meals, snacks, + and beverages)
- 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 related specifically to First 5 IMPACT, including professional development and technical skill development
- In-State travel related specifically to Hub implementation – reimbursed at the rates and terms determined by the California Department of Human Resources
- Out-of-State Travel with prior approval from F5CA

Administrative: F5CA will reimburse Hub Fiscal Lead Agencies for administrative costs incurred (both direct and indirect, as defined below) related to First 5 IMPACT Hub implementation. For budgeting and reimbursement purposes, administrative costs related directly to the Hub should be reflected in the Personnel and/or Operating expenditure categories. Administrative costs incurred for a common purpose and not specific to the Hubs 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 Hub Fiscal 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 Hub Fiscal Lead Agency and available upon request.

The Hub Fiscal 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
<p>Program Costs</p> <ul style="list-style-type: none"> • 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 26. 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.
<p>Participating Sites</p> <ul style="list-style-type: none"> • Consumables (e.g., food and diapers) • Materials and supplies • Meals, snacks, and beverages
<p>Facilities</p> <ul style="list-style-type: none"> • 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
<p>Travel</p> <ul style="list-style-type: none"> • Out-of-state without prior approval
<p>Other</p> <ul style="list-style-type: none"> • 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 Hub Fiscal 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

F5CA will reimburse Lead Agencies in arrears for allowable expenditures upon receipt and approval of a First 5 IMPACT Hubs Annual Budget and Reimbursement Table (Form 3). 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 Hub Fiscal Lead Agency can subcontract with other entities to implement Hub activities as intermediaries. However, the Hub Fiscal 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 Hub Fiscal Lead Agency subcontracts with another agency to implement Hub activities, any communication with F5CA must occur through the Hub Fiscal Lead Agency. F5CA will not discuss any program, administrative, evaluation, or fiscal issues with a subcontractor. The Hub Fiscal Lead Agency must adhere to the State of California's contracting requirement of three competitive bids, unless local county regulations or policies differ. The Hub Fiscal Lead Agency also is responsible for collection of necessary data.

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

Any subcontract entered into as a result of the subsequent 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 if the purchase cost does not exceed \$5,000 for purposes of First 5 IMPACT Hubs, the purchase is considered an expenditure and not a capital asset.

Lead Agencies must review existing policy regarding capital assets. If the Hub Fiscal Lead Agency's policy identifies a lower monetary threshold than SAM for

capital assets, the Hub Fiscal Lead Agency's policy must be enforced when expending Hub funds. If the Hub Fiscal Lead Agency's policy identifies a higher monetary threshold than SAM for capital assets, the State of California's policy (as articulated in SAM) must be enforced when expending Hub 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 activities. F5CA may reduce or terminate program participation if it is determined that a Hub Fiscal 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 Hub Fiscal Lead Agency received an overpayment of Hub funds, F5CA will inform the Hub Fiscal Lead Agency of the overpayment and provide options for recovery: 1) issue an invoice to the Hub Fiscal 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.

Match Requirement

There is no match requirement for Hub funding.

Budget Amendments

The First 5 IMPACT Hubs Annual Budget and Reimbursement Table (Form 3) and Annual Budget Narrative (Form 4) must be submitted together and serve as budget amendment documentation. These forms shall be used for the following:

- Formally change the current approved total funding authority identified in the LAA for the period of program performance
- Annually update the Hub Fiscal 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 Hub roles 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. Hub Fiscal Lead Agencies requesting budget amendments not impacting the LAA (annual updates and revisions to budget categories/Hub roles) 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 hub roles 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 fiscal year's approved budget that are transferred to the current fiscal year's budget, and are available to spend in addition to the current fiscal year's allocation. Carryover funds must be identified by the Hub Fiscal Lead Agency using the budget amendment process to obtain prior written consent from F5CA to spend carryover funds.

Adjustment to Funding Allocations/Budgets

Hub Fiscal 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, and program and reporting requirements are met.

Adjustments to funding allocations can be made at any time during the term of the First 5 IMPACT Hubs RFA. All adjustments will be formalized using the First 5 IMPACT Hubs Annual Budget and Reimbursement Table (Form 3), First 5 IMPACT Hubs Annual Budget Narrative (Form 4), and an amended LAA.

Major Hub Changes

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

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

Major changes are permissible only upon prior written approval by F5CA. The Hub Fiscal Lead Agency must submit a written request to F5IMPACT@ccfc.ca.gov

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, detailed information and corresponding budget amendment must be submitted describing the major system change and the change to the original budget for one or more fiscal years.

Dispute Resolution (Fiscal Components)

The Hub Fiscal 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 Hub Fiscal 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 Hub Fiscal Lead Agency's written dispute, the Chief Deputy Director will review the facts of the dispute, and if deemed necessary, will meet with the Hub Fiscal 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 Hub Fiscal Lead Agency, together with the reasons for the decision, within sixty (60) calendar days of the receipt of the Hub Fiscal Lead Agency's notification of the dispute. The decision of the Chief Deputy Director shall be final.

First 5 Financial Management Guide Compliance

Hub Fiscal 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 and the Hubs. The guidelines and glossary contained in the Guide provide a common frame of reference and language for use between F5CA and Lead Agencies when addressing financial matters.²

Hub Validation

While the Hubs strive to achieve the same outcome in all consortia (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 consortia/regions to achieve this outcome using various strategies and tools. As Hubs grow and evolve, F5CA will assess the systems work on the ground floor and learn with Hub Fiscal Lead Agencies which efforts and strategies are the most successful, as well as determine T&TA needs of consortia regarding this work.

² The First 5 Financial Management Guide is available on the First 5 California Web site at: http://www.cfc.ca.gov/about/about_fiscal.html

Additionally, to alleviate costs associated with an annual audit of Hub funds, and as required in previous F5CA programs, F5CA will perform a review of Hub-related expenditures. To accomplish this, a team of F5CA staff will be working with the Hub Fiscal Lead Agencies by way of site visits or other means of communication to:

- Conduct programmatic review, including but not limited to:
 - Reviewing and analyzing the administration of a Hub, the collaborative decision-making structure, and efficiencies implemented to meet the needs of consortia in the region
 - Identifying and addressing T&TA needs of consortia in the region
- Conduct fiscal review, including, but not limited to:
 - Conducting a fiscal review to verify expenditures claimed are valid and accurate
 - Safeguarding the operational and fiscal integrity of First 5 IMPACT Hubs
 - Providing information and feedback to Hub Fiscal Lead Agency staff
- Conduct evaluation review, including, but not limited to:
 - Reviewing the regional data system and methods used by consortia to collect, input, and upload data to F5CA
 - Confirming internal controls and required record keeping is consistent with requirements outlined in the RFA, funding applications, and LAA
 - Providing feedback and T&TA to evaluation staff

Hub 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 Hub Fiscal 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 Hub Fiscal Lead Agency's offices, 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 Hub funds.

Compliance Requirements

The Hub Fiscal 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 the First 5 IMPACT Hubs RFA, including, but not limited to, evaluation data, budget and reimbursement documents, APRs, etc., as requested by F5CA
3. Account for revenues and expenditures (both State and local) for the Hub funds separately from other programs/projects
4. Sign required certifications that attest to the accuracy of any data (program, fiscal, and evaluation) submitted
5. Participate in all Hub Validation activities
6. Declare any unexpended Hub funds

Hub Fiscal Lead Agencies failing 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

Hub funds shall be expended only for the purposes expressed in the Hubs RFA and may be used only to supplement existing levels of service. Hub 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.

Hub funds are not intended for direct services, but rather to support the implementation of regional efficiencies within First 5 IMPACT and the CA-QRIS. 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 Hub Fiscal Lead Agency at least thirty (30) days prior to such termination date. If F5CA terminates the LAA at its discretion, the Hub Fiscal 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 Hub Fiscal Lead Agency (“notice date”). The Hub Fiscal 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 Hub Fiscal Lead Agency receives prior written approval from F5CA.

Funding Contingencies for Local Area Agreements

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 as a result of:

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

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

If full funding does not become available, F5CA will amend the LAA to reflect the funding reduction and/or reduced activities. If possible, alternate funding arrangements may be made to address any unforeseen 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 Hub Fiscal 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 Hub Fiscal 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 Hub Fiscal 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 Hub Fiscal 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 Hub Fiscal Lead Agency under, or in connection with any work, authority, or jurisdiction

delegated to the Hub Fiscal Lead Agency under the LAA. It is understood and agreed, pursuant to Government Code section 895.4, the Hub Fiscal 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 Hub Fiscal Lead Agency under or in connection with any work, authority, or jurisdiction delegated to the Contractor under the LAA.

FORM 1. HUB APPLICATION

This template is to be used for the submission of a regional Hub’s application for funding.

- Only First 5 county commissions may apply on behalf of their region.
- First 5 California will accept only one application per region and encourages regions to work together to determine the most appropriate Hub Fiscal Lead Agency to apply.
- Applications should be completed in collaboration with other local IMPACT consortia to ensure all consortia needs are met by the Hub.

Please fill out each section, as applicable, and sign and date.

Hub Fiscal 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 page, the applicant(s) certify the information contained in the Hub Application 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 Hub Fiscal 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 Hub webpage (http://www.cafc.ca.gov/programs/programs_impact.html). Consortia also must adhere to changes made to the CA-QRIS.

1. Participating First 5 IMPACT Consortia Lead Agency Signatures

Please obtain signatures from each Lead Agency for each First 5 IMPACT consortium in your region. Every Lead Agency in the region must sign confirming their agreement with the Hub RFA goals and direction.

- Fill out the required information and secure stakeholder signatures.
- Add additional signature blocks as needed.
- If a local First 5 IMPACT consortium is comprised of multiple consortia, only the Lead Agency for the multi-county consortium must sign.

Signing this section means that representatives have read and concur with the application being submitted.

County:	
Agency:	
Print Name of Representative:	
Title of Representative:	
Signature:	Date:
E-mail:	Phone:
County:	
Agency:	
Print Name of Representative:	
Title of Representative:	
Signature:	Date:
E-mail:	Phone:
County:	
Agency:	
Print Name of Representative:	
Title of Representative:	
Signature:	Date:
E-mail:	Phone:

This page provided for Hubs with more than three local First 5 IMPACT consortia in the region. Please duplicate this page, if needed.

County:
Agency:
Print Name of Representative:
Title of Representative:
Signature: Date:
E-mail: Phone:
County:
Agency:
Print Name of Representative:
Title of Representative:
Signature: Date:
E-mail: Phone:
County:
Agency:
Print Name of Representative:
Title of Representative:
Signature: Date:
E-mail: Phone:
County:
Agency:
Print Name of Representative:
Title of Representative:
Signature: Date:
E-mail: Phone:

1. Summarize the Hub's guiding vision and goals.

--

The first major role of Hubs is basic coordination, project management and systems-building activities for consortia participating in the Hub.

2. Describe how the Hub will facilitate regional coordination and decision making. Please answer each of the following four questions:

a. What is the composition of Hub representatives from consortia in the region (decision-makers) and how were they selected?

--

b. How will you ensure full participation by all consortia in the region (include meeting frequency, how meetings will be held, etc.)

--

c. How will you organize the Hub to ensure the needs of all consortia in the region are met?

--

d. How will individual consortium's strengths and needs be considered in decision making about Hub priorities?

--

3. Describe how the region will select a data system and manage data. Please answer each of the following four questions

a. Is the Hub requesting data system reimbursement funds?

- Yes. The data system reimbursement funds will be used for the following activities (*Check all that apply*):
 - Data system(s)
 - Workforce Registry (with QRIS data system(s) in place)
 - Regional Data System Coordinator (with QRIS data system(s) in place)

<input type="checkbox"/> No. The Hub is not requesting data system reimbursement funds. (<i>Explain below.</i>)
<i>If no to 3.a. (not requesting data system reimbursement funds) please explain how the Hub will fulfill the data reporting requirements.</i>
<i>b. What QRIS data system(s) will your Hub use (check all that apply)</i>
<input type="checkbox"/> iPinwheel <input type="checkbox"/> Persimmony <input type="checkbox"/> Q-Star <input type="checkbox"/> TCC Software Solutions <input type="checkbox"/> Vertical Change <input type="checkbox"/> Web-based Early Learning System (WELS) <input type="checkbox"/> Other (Specify below.)
<i>If other, identify data system and describe this vendor's history with QRIS data collection</i>
<i>c. How was the data system(s) selected?</i>
<i>d. If applicable, why is this Hub supporting more than one vendor data system?</i>
<i>e. How will the Hub manage data requirements including communication with vendors, data collection, data entry, and upload to F5CA? Describe the role and activities of the Regional Data System Coordinator, if applicable.</i>
<i>f. Will the Hub be requesting funds for ELNAT?</i>
<input type="checkbox"/> Yes (<i>Explain below.</i>) <input type="checkbox"/> No
<i>If yes, describe how the subscription will be shared to support consortia or regional data planning.</i>

The second major role of Hubs is to provide specialized support for consortia participating in the Hub for at least one additional activity or element from the CA-QRIS and/or function of the local First 5 IMPACT systems.

4. Describe the Hub’s role in supporting the ERS Anchor and assessor management needs of the region
<i>a. How will the Hub fill the role of Regional ERS Anchor(s) and contribute to regional efficiencies?</i>
<i>b. How will the Hub and/or ERS Anchor(s):</i>
<ul style="list-style-type: none"> • <i>Build consortia capacity to carry out local assessments</i> • <i>Support local consortia to meet the assessor re-certification and inter-rater-reliability requirements and assessment standards in the Implementation Guide</i>

5. Describe how the Hub will support activities that improve effective adult-child interactions within consortia in the region (note: Refer to Appendix J for additional information)
<i>a. Include all of the following in your response:</i>
<ul style="list-style-type: none"> • <i>What activities will be implemented by the Hub to support effective teacher-child interactions in local consortia?</i> • <i>How will they be implemented to build local/consortia capacity and create regional efficiencies?</i>
<i>a. How will the Hub monitor effectiveness of this support and use that information to improve implementation?</i>

6. Describe how the Hub will support family engagement and strengthening efforts in licensed; family, friend, and neighbor (FFN); and alternative settings, as applicable.
<i>a. Include all of the following in your response:</i>
<ul style="list-style-type: none"> • <i>What activities will be implemented by the Hub to support family engagement and strengthening efforts in local consortia?</i>

- *How will they be implemented to build local/consortia capacity and create regional efficiencies?*

- b. How will the Hub monitor effectiveness its support for family engagement and strengthening, and use that information to improve implementation?*

7. If applicable, describe other type(s) of specialized support the Hub will provide and how will they be implemented to create regional efficiencies and build local capacity.

For each additional type of specialized support identified by the Hub (other than those described in questions 4–6), describe:

- a. How does this support meet the needs of consortia in the region?*

- *How does this support build local/consortia capacity and create regional efficiencies?*
- *How will the Hub monitor effectiveness of this support and use that information to improve implementation?*

FORMS 2 – 4 BUDGET FORMS

Form 2. First 5 IMPACT Hubs Five Year Budget Table

Lead Agency: {insert here}						
Instructions: Each Hub Fiscal Lead Agency must submit a First 5 IMPACT Five-Year Budget Table included with their First 5 IMPACT Hub Application. The Five-Year Budget Table includes the costs associated with each budget category for each fiscal year. Lead Agencies are responsible for inputting dollar amounts into the WHITE cells for each budget category by fiscal year. The amounts inputted by Lead Agencies will automatically add up to the total 5-year funding allocation for each Lead Agency (identified in the YELLOW Cell 11-f). If there are "other" types of budget categories that a Lead Agency would like to identify in the Five-Year Budget, please specify in Budget Category 8. Hub Fiscal Lead Agencies can also add additional rows if more than one budget category needs to be added.						
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						\$0
2. Benefits						\$0
3. Materials and Supplies						\$0
4. Travel						\$0
5. Equipment (<\$2,500)						\$0
6. Incentives						\$0
7. Contractual						\$0
Early Learning Needs Assessment Tool (ELNAT)						\$0
8. Other <i>Please specify:</i>						\$0
9. Total Direct Costs (add lines 1-8)	\$0	\$0	\$0	\$0	\$0	\$0
10. Indirect Costs <i>(Indirect Cost Rate cannot exceed 15%)</i>						\$0
11. Total First 5 IMPACT Hub Funds Requested (add lines 9-10)	\$0	\$0	\$0	\$0	\$0	\$0
Columns (a) through (e): For each fiscal year of your county's First 5 IMPACT Hubs model for which funding is requested, show the total amount requested for each applicable budget category. Budget Category 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 7. Budget Category 10: Indirect Costs are based on the county's indirect cost rate and the Total Direct Costs in Budget Category 9. Indirect Cost Rates cannot exceed 15% of total reimbursable costs paid by First 5 California.						

Form 3. First 5 IMPACT Hubs Annual Budget and Reimbursement Table

BUDGET CATEGORY	First 5 IMPACT Hub Roles			TOTALS
	Role 1. Project coordination, management, and systems-building activities		Role 2. Specialized support for CA-QRIS element(s)	
	Hub Funds	Data System Funds		
Personnel				
Salaries				\$0
Benefits				\$0
A. TOTAL PERSONNEL COSTS	\$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
Early Learning Needs Assessment Tool (ELNAT)				\$0
Other: <i>{please specify}</i>				\$0
B. TOTAL OPERATING COSTS	\$0	\$0	\$0	\$0
C. TOTAL DIRECT COSTS (A+B)	\$0	\$0	\$0	\$0
Indirect Costs				
Costs Not Subject to Indirect				\$0
Total Costs Used to Calculate Indirect	\$0	\$0	\$0	\$0
D. INDIRECT COSTS (CANNOT EXCEED 15%)	0.00%	\$0	\$0	\$0
E. TOTAL FIRST 5 IMPACT HUB FUNDS REQUESTED (C+D)	\$0	\$0	\$0	\$0

I, the official named below, hereby request First 5 IMPACT Hubs RFA funding in the amounts represented in the above Table. I certify that the information represented on this form (Form 3) and in the First 5 IMPACT Hubs Budget Narrative (Form 4) are true and correct to the best of my knowledge and compliant with the requirements of the First 5 IMPACT Hubs RFA.

Form Type (e.g., Reimbursement, Annual Budget, or Budget Amendment):			First 5 California Only
Name of Lead Agency:	Biannual Reporting Period:	Fiscal Year:	
Name of Lead Agency Executive Director or Authorized Designee:			Fiscal Analyst:
			Program Consultant:
Signature <i>(please sign and date above)</i>			Division Manager:

FORM 4. First 5 IMPACT Hubs Annual Budget Narrative

A detailed First 5 IMPACT Hubs Budget Narrative must be submitted with the First 5 IMPACT Hubs Budget and Reimbursement Table (Form 3) 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. Expenditures also must be broken down on the First 5 IMPACT Hubs Budget and Reimbursement Table (Form 3) by Hub Role (e.g., 1. Project coordination, management, and systems-building activities; and 2. Specialized support for CA-QRIS element). The total fiscal year expenditures for each budget category displayed in this narrative must agree with the total reflected in Form 3.

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

Early Learning Needs Assessment Tool (ELNAT)

Provide:

- Annual ELNAT subscription amounts only under Role 1 — Data Systems

Explain:

- How your subscription to ELNAT will support your local/regional Hub efforts

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 First 5 IMPACT Hubs Funds Requested

Provide:

- The sum of direct and indirect costs for the applicable fiscal year

APPENDIX A. CA-QRIS 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	<input type="checkbox"/> Not required	<input type="checkbox"/> Program uses evidence-based child assessment/observation tool annually that covers all five domains of development	<input type="checkbox"/> Program uses valid and reliable child assessment/ observation tool aligned with CA <i>Foundations & Frameworks</i> ¹ twice a year	<input type="checkbox"/> DRDP (minimum twice a year) and results used to inform curriculum planning	<input type="checkbox"/> Program uses DRDP twice a year and uploads into DRDP Tech and results used to inform curriculum planning
2. Developmental and Health Screenings	<input type="checkbox"/> Meets Title 22 Regulations	<input type="checkbox"/> 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	<input type="checkbox"/> 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 <input type="checkbox"/> Meets Criteria from point level 2	<input type="checkbox"/> Program works with families to ensure screening of all children using the ASQ at entry and as indicated by results thereafter AND <input type="checkbox"/> Meets Criteria from point level 2	<input type="checkbox"/> 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 <input type="checkbox"/> Program staff uses children's screening results to make referrals and implement intervention strategies and adaptations as appropriate AND <input type="checkbox"/> Meets Criteria from point level 2
CORE II: TEACHERS AND TEACHING					
3. Minimum Qualifications for Lead Teacher/Family Child Care Home (FCCH)	<input type="checkbox"/> Meets Title 22 Regulations [Center: 12 units of Early Childhood Education (ECE)/Child Development (CD) FCCH: 15 hours of training on preventive health practices]	<input type="checkbox"/> Center: 24 units of ECE/CD ² OR Associate Teacher Permit <input type="checkbox"/> FCCH: 12 units of ECE/CD OR Associate Teacher Permit	<input type="checkbox"/> 24 units of ECE/CD + 16 units of General Education OR Teacher Permit AND <input type="checkbox"/> 21 hours professional development (PD) annually	<input type="checkbox"/> 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 <input type="checkbox"/> 21 hours PD annually	<input type="checkbox"/> 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 <input type="checkbox"/> 21 hours PD annually
4. Effective Teacher-Child Interactions: CLASS Assessments (*Use tool for appropriate age group as available)	<input type="checkbox"/> Not Required	<input type="checkbox"/> Familiarity with CLASS for appropriate age group as available by one representative from the site	<input type="checkbox"/> Independent CLASS assessment by reliable observer to inform the program's professional development/improvement plan	<input type="checkbox"/> Independent CLASS assessment by reliable observer with minimum CLASS scores: Pre-K ▪ Emotional Support - 5 ▪ Instructional Support - 3	<input type="checkbox"/> 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
				<ul style="list-style-type: none"> ▪ Classroom Organization – 5 Toddler ▪ Emotional & Behavioral Support – 5 ▪ Engaged Support for Learning – 3.5 Infant ▪ Responsive Caregiving (RC) – 5.0 	<ul style="list-style-type: none"> 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)	<input type="checkbox"/> Center: Title 22 Regulations Infant Ratio of 1:4 Toddler Option Ratio of 1:6 Preschool Ratio of 1:12 <input type="checkbox"/> FCCH: Title 22 Regulations <i>(excluded from point values in ratio and group size)</i>	<input type="checkbox"/> Center - Ratio: Group Size Infant/Toddler – 4:16 Toddler – 3:18 Preschool – 3:36	<input type="checkbox"/> Center - Ratio: Group Size Infant/Toddler – 3:12 Toddler – 2:12 Preschool – 2:24	<input type="checkbox"/> Center - Ratio: Group Size Infant/Toddler – 3:12 or 2:8 Toddler – 2:10 Preschool – 3:24 or 2:20	<input type="checkbox"/> 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)	<input type="checkbox"/> Not Required	<input type="checkbox"/> Familiarity with ERS and every classroom uses ERS as a part of a Quality Improvement Plan	<input type="checkbox"/> Assessment on the whole tool. Results used to inform the program's Quality Improvement Plan	<input type="checkbox"/> Independent ERS assessment. All subscales completed and averaged to meet overall score level of 5.0	<input type="checkbox"/> 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)	<input type="checkbox"/> 12 units ECE/CD+ 3 units management/ administration	<input type="checkbox"/> 24 units ECE/CD + 16 units General Education +/with 3 units management/ administration OR Master Teacher Permit	<input type="checkbox"/> Associate's degree with 24 units ECE/CD +/with 6 units management/ administration and 2 units supervision OR Site Supervisor Permit AND <input type="checkbox"/> 21 hours PD annually	<input type="checkbox"/> Bachelor's degree with 24 units ECE/CD +/with 8 units management/ administration OR Program Director Permit AND <input type="checkbox"/> 21 hours PD annually	<input type="checkbox"/> Master's degree with 30 units ECE/CD including specialized courses +/with 8 units management/ administration, OR Administrative Credential AND <input type="checkbox"/> 21 hours PD annually
TOTAL POINT RANGES					
Program Type	Common-Tier 1	Local-Tier 2³	Common-Tier 3	Common-Tier 4	Local-Tier 5⁴
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

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

APPENDIX B. CA-QRIS 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	<ul style="list-style-type: none"> • 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	<ul style="list-style-type: none"> • 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)	<ul style="list-style-type: none"> • CORE I.1 Child Observation and Assessment and Core 1.2 Developmental and Health Screenings
RTT-ELC Core Tool(s) & Resources	<ul style="list-style-type: none"> • 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	<ul style="list-style-type: none"> • 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 webpage 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	<ul style="list-style-type: none"> • Common Core 8²¹ • 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): <ul style="list-style-type: none"> • Infant-Toddler Environment Rating Scale (ITERS) • Early Childhood Environment Rating Scale (ECERS) • Family Child Care Environment Rating Scale (FCCERS)
Program Administration	
Goal (Pathway):	<ul style="list-style-type: none"> • The program effectively supports children, teachers, and families.
Related Element(s)	<ul style="list-style-type: none"> • All
RTT-ELC Core Tool(s) & Resources	<ul style="list-style-type: none"> • 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):	<ul style="list-style-type: none"> • 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)	<ul style="list-style-type: none"> • All (III.6 ERS <i>Provision for Parents</i> Indicator)
RTT-ELC Core Tool(s) & Resources	<ul style="list-style-type: none"> • Strengthening Families™ Five Protective Factors Framework

²¹ Recommended

APPENDIX C. TWO BASIC HUB ROLES

Regional Coordination, and Training and Technical Assistance Hubs (Hubs) will play two essential roles to support consortia and regions. Within this pair of roles, there are several requirements that may be fulfilled using Hub funding, contribution of local First 5 IMPACT or county funds, in-kind contribution of resources or personnel, or a combination of these.

Role 1: Basic Coordination, Project Management, and Systems-building Activities for Consortia Participating in the Hub

As regional bodies, Hubs are required to coordinate and prioritize local activities to implement the CA-QRIS elements and systems functions, help identify local and regional strengths and assets, determine local and regional gaps and needs, reduce regional duplication of efforts, and help build local and regional expertise. A significant part of these regional coordination efforts is the need to maintain a strong connection to the greater CA-QRIS efforts to uphold fidelity of implementation agreed upon by the CA-QRIS Consortium and cultivate cross-region learning and resource sharing. In carrying out the role of coordination, project management, and systems-building activities for consortia participating in the Hub, there are two required activities which may be carried out in a variety of locally determined ways:

- a. Consortia participating in the Hub are required to identify a method to facilitate the work of the Hub. The Hubs must implement an equitable, inclusive, unbiased process for engaging all consortia in the region, making decisions, and carrying out agreed-upon regional activities that support the implementation of the CA-QRIS in each consortium. Examples of how the Hub might facilitate its work include, but are not limited to:
 - Holding regular meetings of consortia participating in the Hub to discuss how to facilitate the work of the Hub
 - Identifying a project manager to coordinate the Hub's work, guide regional discussions and decision-making process, and oversee implementation of Hub priorities
 - Conducting a needs assessment in the region to identify strengths and gaps in order to make decisions about Hub priorities
 - Funding regional travel to enable face-to-face consortia-building, collaboration, and participation in T&TA opportunities
 - Funding travel to the statewide CA-QRIS Consortium meetings

- Developing, fostering, and supporting cross-regional relationships to encourage resource sharing and support networks (e.g., funding cross-county mentoring and capacity building activities between experienced consortia and consortia new to QRIS)
- b. The Hub will coordinate the selection of a data system, and manage data collection and reporting for consortia in the region. For example, the Hubs may choose to fulfill this requirement by identifying a data coordinator and/or housing a regional data system to support regional data collection.

Role 2: Specialized Support for Consortia Participating in the Hub

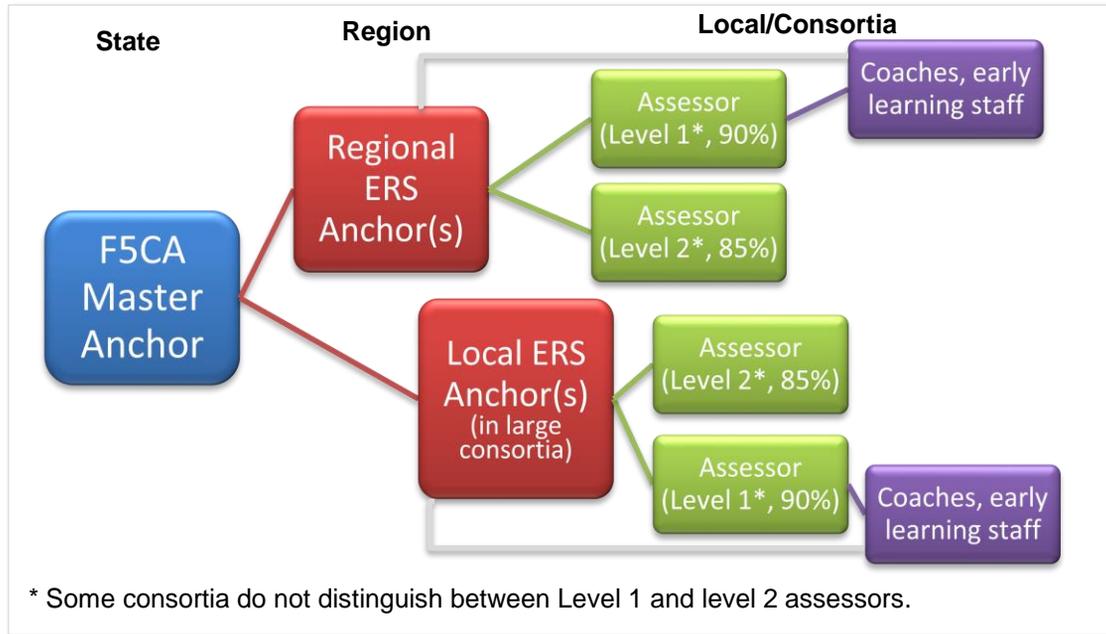
The Hubs can promote regional efficiencies, reduce duplication of effort, and increase regional capacity by coordinating support and technical assistance for at least one additional activity or element from the CA-QRIS and/or function of a QIS/QRIS system. In carrying out Role 2, there are three required activities that may be achieved in a variety of locally determined ways:

- a. Identify at least one Environment Rating Scales (ERS) Anchor who can certify local assessors, and support fidelity of assessment practices and consistency of tool interpretation across the region per the guidelines set forth by the CA-QRIS Assessor Management System. F5CA will support certification of a Regional ERS Anchor(s) identified by the Hub, while the Hub is responsible for coordinating Regional ERS Anchor responsibilities. Examples of how the Hub might fulfill this requirement include, but are not limited to:
- Identifying at least one ERS Anchor (employed by a consortium in the Hub region and shared by the region, or hired using Hub funds) to help build regional capacity for ERS observations, competency of coaches, and teachers' understanding of the importance of high-quality environments
 - Coordinating strategies to ensure assessments are conducted in early learning sites across the region by shared ERS assessors
 - Developing and/or engaging in a cross-county and/or cross-region learning community to share locally implemented evidence-based practices, tools, and resources to support ERS training, certification, and assessment practices that ensure fidelity to the tools and that adhere to the CA-QRIS Implementation Guide
- b. The Hubs will support increased capacity and knowledge around improving *Adult-Child Interactions*, a required element of First 5 IMPACT. Examples of Hub support for adult-child interactions include, but are not limited to:

- Identifying a Classroom Assessment Scoring System® (CLASS®) Lead Trainer to help build regional capacity for CLASS observations, competency of coaches, and teachers' understanding of the importance of effective classroom interactions
 - Identifying a Lead Coach to support local coaches on research-based coaching strategies for leadership development, teacher-child interactions, and CQI in early learning settings
 - Coordinating other types of regional training and technical assistance to build local and regional capacity on tools in the California quality rating and improvement system (CA-QRIS), ensure fidelity to those tools, track materials distribution, and collect data for coaching/training/T&TA cycles
 - Developing and/or engaging in a cross-county and/or cross-region learning community to share locally implemented evidence-based practices, tools, and resources to support effective adult-child interactions
- c. The Hubs will support increased capacity and knowledge around *Family Engagement and Strengthening*, a required element of First 5 IMPACT. Examples of Hub support for family engagement and strengthening include, but are not limited to:
- Coordinating strategies to ensure that high-quality, interactive professional development opportunities are accessible to quality improvement staff and early educators in licensed early learning settings, as well as FFNs and alternative settings
 - Regionalizing and embedding family-centered, culturally/linguistically competent strategies into all local QRIS activities as a critical means to support parents as leaders in their own families and ensure family partnership remains a critical means of supporting children
 - Focusing on quality in alternative sites by adapting elements of the CA-QRIS framework to support family engagement and strengthening
 - Developing and/or engaging in a cross-county and/or cross-region learning communities to share locally implemented evidence-based practices, tools, and resources to support family engagement and strengthening
 - Promoting evidence-based training across all consortia in the region

APPENDIX D. ENVIRONMENT RATING SCALE ANCHORS AND ASSESSORS

This document outlines the roles of Environment Rating Scale (ERS) Anchors and assessors as defined by the Race to the Top–Early Learning Challenge (RTT-ELC) Assessor Management Workgroup. These definitions are used in First 5 IMPACT and the greater CA-QRIS. The following graphic shows the relationship between each of these roles at the state, regional, and local/consortia levels.



Statewide Master Anchors (Employed by First 5 California)

First 5 California Master Anchors (F5CA MAs) are certified as reliable by the Environment Rating Scales Institute (ERSI) at 90 percent or higher on each of the three ERS tools. The F5CA MAs carry out the following activities:

- Certify and annually recertify reliability of Regional ERS Anchors (see description, next page) on the ERS family of tools in lieu of ERSI
- Provide advice and support for Regional ERS Anchors as they train and certify local assessors
- Develop resources for Regional ERS Anchors to use when conducting local training and reliability certification

- Help Regional ERS Anchors organize inter-rater reliability (IRR) with other Regional ERS Anchors
- Provide information and assistance to Regional ERS Anchors to carry out IRR activities with consortia assessors
- Obtain answers from ERSI about questions that arise during assessment and disseminate responses and clarifications to local Anchors to ensure consistent interpretation across the CA-QRIS
- Conduct in-person and web-based trainings and meetings with Regional ERS Anchors to build consensus and strengthen capacity to conduct ERS assessments and certify assessors

Regional ERS Anchor

A Regional ERS Anchor is a consortium-designated individual authorized to certify reliability of ERS assessors at level one and level two. The Regional ERS Anchor is considered an experienced, reliable "expert" assessor responsible for score interpretation and training of other assessors. Each Hub region with sites at implementation Step 3 should designate at least one Regional ERS Anchor on each ERS tool. A large consortium also may designate a Local ERS Anchor. The region or large consortium may have one Anchor for all three ERS tools or three different Anchors – one for each tool.

Regional ERS Anchors must achieve at least 90 percent reliability (average) over three consecutive assessments with a F5CA MA. However, this person is not considered an Anchor until designated as such by a region (Hub) or consortium and given the authority to carry out Anchor responsibilities. A Regional ERS Anchor also may obtain certification from ERSI; however, F5CA encourages consortia and the Hubs to use the no-cost F5CA MA certification process in order to maximize availability of local/regional funds.

Following initial certification, each Regional ERS Anchor must complete IRR (inter-rater reliability) with another Regional ERS Anchor every six months, at minimum, and recertify annually.

The Regional ERS Anchors shall have the authority to:

- Conduct assessments
- Train and certify ERS assessors

- Coordinate IRR for ERS assessors in their region every six months, at minimum, or at least once between annual recertification

F5CA MAs may ask Regional ERS Anchors to participate in virtual or in-person learning communities and/or meetings, as well as contribute to the overall CA-QRIS Anchor Management System by working with the F5CA MAs on ERS-related clarifications, policies, and statewide practices.

Regional ERS Anchors also may be given responsibility by consortia in the Hub region to review reports written by ERS assessors and conduct ERS training for coaches and early childhood educators.

ERS Assessors

All ERS assessors who rate early learning sites in the CA-QRIS shall be external (independent) to the site being assessed. Assessors participate in a rigorous certification process and complete multiple practice observations to ensure they have learned how to use the scales/instrument to measure the quality of early childhood sites. Assessors are deemed reliable when they achieve and maintain a minimum of 85 percent reliability (agreement) with an Anchor. Only a consortia/Hub-designated Regional ERS Anchor, a F5CA MA, or ERSI are authorized to certify assessors for the CA-QRIS. Following initial certification, assessors should complete IRR every six months, at minimum, and recertify annually.

Assessors shall demonstrate reliability during IRR to continue to assess using the ERS tool. Assessors have up to three opportunities to pass IRR. Local consortia determine next steps after a third failed attempt at reliability during IRR.

There are two ERSI-recommended levels of ERS assessor:

- **Level one ERS assessors** must achieve 90 percent reliability with an Anchor across three consecutive assessments for initial certification and recertification, and complete one assessment with a Regional ERS Anchor for IRR. Because of their higher level of reliability, consortia may (but are not required to) give level one ERS assessors other responsibilities, such as carrying out IRR with level two ERS assessors and reviewing reports written by level two ERS assessors.
- **Level two ERS assessors** shall achieve 85 percent reliability with an Anchor across three consecutive assessments for initial certification and recertification, and complete one assessment with a Regional ERS Anchor or level one assessor for IRR.

Some consortia do not distinguish between level one and level two ERS assessors, requiring all assessors to achieve and maintain a minimum of 85 percent reliability and use assessors only to carry out assessment responsibilities.

APPENDIX E. SYSTEMS FUNCTIONS AND HUB ACTIVITIES

System Function	Possible Hub Activities
<p>Build Local Consortia</p> <p>Convene and strengthen local partnerships, delineate decision-making process, identify and define roles and responsibilities. Create alignment and shared leadership across the partnerships and continuous quality improvement (CQI) efforts to improve the quality of early learning.</p>	<ul style="list-style-type: none"> • Identify and/or house a facilitator to coordinate the work of the region • Hold regular meetings of consortia participating in the Hub to discuss how to facilitate the work of the Hub • Conduct a needs assessment in the region to identify strengths and gaps in order to make decisions about Hub priorities • Identify and/or house a project manager to coordinate the Hub’s work, guide regional discussions and decision-making process, and oversee implementation of Hub priorities • Fund regional travel to enable face-to-face consortia-building, collaboration, and participation in training and technical assistance (T&TA) opportunities
<p>Finance Strategically</p> <p>Identify, secure, leverage, and maximize innovative funding strategies that will help maintain long-term sustainability of the local First 5 IMPACT efforts.</p>	<ul style="list-style-type: none"> • Fund travel to statewide CA-QRIS Consortium meetings • Develop, foster, and support cross-regional relationships to encourage resource sharing and networking • Fund cross-county mentoring and capacity building activities between experienced consortia and consortia new to CA-QRIS • Support increased capacity among consortia to braid and blend existing funds and leverage new funds
<p>Enhance and Align Standards</p> <p>Use the CA-QRIS to align standards within and across programs and systems and to integrate services and best practices.</p>	<ul style="list-style-type: none"> • Develop shared cross-region/cross-agency trainers and approved trainings • Hold regular regional cross-sector meetings of staff across programs and early learning systems • Support development and implementation of the California ECE Workforce Registry
<p>Recruit and Engage Participants</p> <p>Recruit and retain diverse early learning settings across the spectrum of setting type in local quality improvement efforts using culturally and linguistically competent practices.</p>	<ul style="list-style-type: none"> • Engage in cross-region and cross-state networking for problem solving and idea-sharing about successes and challenges • Develop shared recruitment, incentive, and cross-county retention strategies and materials • Use the Early Learning Needs Assessment Tool (ELNAT) to identify ECE service gaps

System Function	Possible Hub Activities
<p>Create and Support Continuous Quality Improvement</p> <p>Use elements of the QRIS to assess needs and set goals for improvement. Support continuous quality improvement activities within and across programs and systems to support workforce quality, site quality, and child outcomes.</p>	<ul style="list-style-type: none"> • Support enrollment of F5CA-funded regional CLASS® training and ensuring completion of training requirements • Coordinate regional implementation of CA-QRIS trainings/resources by certified trainers such as PITC, CLASS, DRDP, CCSEFEL, CPIN, etc. • Identify and/or house a regional CLASS trainer to provide training to early educators, and to certify CLASS observers in the region • House a Regional Professional Development Specialist or Regional Master Coach to support coaches • Act as resource for information about training resources such as the California Virtual Campus, the Child Development Training Consortium, etc. • Act as a resource for available cross-region trainings on topics such as such as dual language learners, health, family engagement, etc. • Take a regional approach to involving faculty and aligning workforce efforts with higher education • Coordinate trainings for administrators on contract management supervision, and staffing and support of a QRIS • Develop peer coaches trained on CLASS to support focused implementation that meets the needs of diverse populations across the region • Develop and implement specific/differentiated training for specialized populations across the region, such as FFN, FCC, providers serving infants and toddlers, children with disabilities (part C and part B), etc. • Provide regional trainings for staff and coaches on specific topics such as evidence based curriculum, effective transitions, screening and assessment, and culturally and linguistically age appropriate practices • Engage with PITC and CPIN to provide staff and coach training on the State’s early learning standards, i.e., the California Infant/Toddler Learning and Development Foundations and the Preschool Learning Foundations • Provide regional assistance to consortia in using data to improve practice

System Function	Possible Hub Activities
<p>Ensure Accountability</p> <p>Rate and monitor improvement of early learning sites. Collect common data fields for First 5 California. Use data to guide continuous quality improvement and track progress on outcomes and benchmarks.</p>	<ul style="list-style-type: none"> • Identify and/or house a regional ERS Anchor to support and certify assessors in region • Implement a regional, shared QIS/QRIS data system • Standardize assessment practices across the region • Fund universal evaluation components that respond to local evaluation questions and support state evaluation work • Support development and implementation of the California ECE Workforce Registry
<p>Public Outreach and Communication</p> <p>Build public awareness and broader community understanding and support for QRIS by disseminating information to parents and the public about quality, including site-specific tiered ratings (if applicable) and participation in continuous quality improvement activities. Also, 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.</p>	<ul style="list-style-type: none"> • Develop a regional approach to publicize ratings • Create a shared, cross-region messaging campaign about the importance of quality on child outcomes • Act as conduit for training, networking activities, and approaches that support effective, research based family engagement and strengthening practices in the region • Promote consumer education, family leadership, family financial stability, and individualized support for families facing adversity • Develop regional strategies, resources, and materials for agreed upon public outreach and communication strategies. If applicable may support implementation or use local funds to implement with specific consortium • Support consortia connection to the <i>Talk. Read. Sing.</i>® campaign

APPENDIX F. SAMPLE JOB DESCRIPTIONS

1. Quality Rating and Improvement System (QRIS) Regional Coordination, and Training and Technical Assistance Hub (Hub) Coordinator

Job Description

Provide regional leadership in the development, implementation, and coordination of the First 5 IMPACT Regional Coordination, and Training and Technical Assistance Hub (Hub) serving **X#** counties. This position will serve as the primary day-to-day lead responsible for organizing meetings and activities and carrying out decisions of consortia participating in the Hub. This position will act as liaison between consortia (and their participating agencies); contractors, and training and technical assistance providers; First 5 California; and others to increase local capacity, foster cross-county learning and support, and promote regional efficiencies. This position is located in **XX** but serves all counties in the region.

Major Duties and Responsibilities

- Lead the process for regional planning, organizing, coordinating, and implementing the QRIS in the **X#** county region, in collaboration with consortia partners serving children ages 0 to 5
- Contribute to the development of Hub goals and objectives, and plan for their implementation
- Participate in Hub budget development and management
- Identify resources to support consortia in their early childhood systems building efforts (build local consortia, finance strategically, enhance and align standards, recruit and engage participants, create and support continuous quality improvement, ensure accountability, and public outreach and communication)
- Monitor and review data related to Hub agreements to support attainment of Hub goals and objectives
- Develop effective communication processes and networks to access and disseminate information across consortia participating in the Hub; assist with strategic planning functions related to the implementation of the QRIS
- Monitor associated grant-funded programs and reports; research, develop, and submit early learning program applications and grants for funding as applicable; coordinate the processing and implementation of grants
- Serve as a resource to consortia participating in the Hub
- Share responsibility with the Lead Agencies in each of the participating consortia to abide by the terms of the First 5 California Local Area Agreement

QRIS Hub Regional Coordinator (continued)

Qualifications and Experience

- Master's degree from an accredited college or university in Child Development, Early Childhood Education, or related field
- Minimum of five years of supervision or administration in early care and education programs
- Record of successful accomplishment in organizational leadership and program/budget management for complex, large-scale projects involving collaboration and delivery of staff development
- Strong content and working knowledge regarding critical QRIS elements including: Environment Rating Scales, Classroom Assessment Scoring System® (CLASS®) child screening and assessment, early learning curricula, California Preschool Learning Foundations and Frameworks, California Early Childhood Educator Competencies, and the Desired Results Developmental Profile
- Experience developing professional development strategies for a culturally, linguistically, and/or geographically diverse array of clientele

2. Regional Professional Development Specialist

Description

The Regional Professional Development Specialist works with the QRIS Regional Coordination, and Training and Technical Assistance Hub (Hub) Coordinator and consortia Lead Agencies in the Hub to plan, organize, and direct the professional development work in the X# county region to support continuous quality improvement in early learning sites based on the California QRIS (CA-QRIS).

Major Duties and Responsibilities

- Assess professional development and technical assistance needs of individuals working with children in early learning settings to improve effective adult-child interactions
- Assess professional development and technical assistance needs of sites to participate in continuous quality improvement based on the CA-QRIS across the X# county region
- Develop and implement a Regional Quality Improvement plan for professional development and technical assistance related to the consortia First 5 IMPACT High-Quality Action Plans, including, but not limited to, T&TA resources, coaching models, on-site and virtual training, and other forms of technical assistance
- Engage local and regional stakeholders and regional consortia partners (e.g., institutes of higher education, resource and referral agencies, CDE EESD Professional Development providers, local educational agencies, and First 5 county commissions) in developing and carrying out the region's professional development and technical assistance plan
- Develop information, training, and self-study materials that enable sites in the region to better understand and engage in the CA-QRIS
- Administer professional development and technical assistance funds directly through Memoranda of Understanding with community partners and through subcontracts
- Serve as a regional resource to provide expert advice on research-based coaching practices and high-quality training
- Support local coaches, trainers, and other technical assistance providers through workshops, regular meetings, e-mail, and telephone communication
- Coordinate responsibilities of regional trainers to meet the training and technical assistance needs of consortia within the Hub
- Monitor and ensure quality implementation of coaching and training activities, proactively identify issues, and collaboratively solve problems

Regional Professional Development Specialist (continued)

- Track and monitor certification status of regional trainers to ensure recertification requirements are met on a timely basis
- Develop and maximize use of innovative tools and resources to enable individualized coaching and high-quality training in early learning sites in the region to reach and serve diverse settings
- Demonstrate leadership, facilitation, and team-building skills to ensure a productive work environment and achieve goals
- Perform general administrative duties, as needed

Qualifications and Experience

- Master's degree in Early Childhood Education, Child Development, or related field with three years of related job experience (alternate qualifications may be considered)
- Certified CLASS® trainer on at least one CLASS tool
- Reliable at 90% or higher on at least one of the Environment Rating Scale tools
- Expertise in effective coaching, mentoring, and/or other consultative practices that support adult learners in group and one-on-one settings
- Minimum of three years of experience supervising staff; understanding of adult learning theory and reflective practices with adults
- Understanding and experience with QRIS and facilitating quality improvement activities
- Coursework and/or formal training in culturally appropriate anti-bias practice and theory, along with a commitment toward continued professional development in this area
- Practical experience in at least two or more of the following content areas: infant development, toddler development, preschool development, bilingual/bicultural education, evidence-based classroom curriculum, accreditation (NAEYC, NAC, NAFCC, etc.), social-emotional development, and child care center administration and management
- Excellent oral and written communication skills
- Ability to work independently and cooperatively
- Proficient in Microsoft Office Suite
- Valid driver's license and daily access to an automobile
- Bilingual in English and Spanish, preferred

3. Regional Environment Rating Scales Anchor

Job Description

The Regional Environment Rating Scales (ERS) Anchor will work with the Regional Professional Development Specialist to carry out the regional ERS assessment needs of consortia in the X region and ensure assessors maintain standards outlined in the California Quality Rating and Improvement System (CA-QRIS) Implementation Guide (http://www.ccfca.gov/programs/impact/impact_qris.html).

Major Duties and Responsibilities

- Reach and maintain 90 percent reliability with the First 5 California Master Anchors on the ERS instruments (Early Childhood Environment Rating Scale; Infant/Toddler Environment Rating Scale; Family Child Care Environment Rating Scale) according to the CA-QRIS Implementation Guide and F5CA-published assessor management resources
- Train and certify assessors in the region designated by local consortia, and ensure they maintain certification on ERS tools, including conducting inter-rater reliability and annual recertification
- Review reports written by local assessors to ensure reports meet high standards of quality
- Provide information and support to local assessors, including, but not limited to:
 - Developing report templates, checklists, and other regional materials to support fidelity of tool use and interpretation
 - Clarifying rating of ERS items/indicators consistent with CA-QRIS standards
 - Conducting training to increase overall assessor capacity
 - Implementing a regional assessor learning community; facilitating communications among assessors via conference calls, e-mail, and/or webinar
- Maintain communication with F5CA Master Anchors regarding local challenges, questions, and tool clarifications, and ensure local interpretations and policies support statewide policies and agreements
- Participate in F5CA-led ERS workgroups and/or learning communities to contribute to the overall CA-QRIS Anchor Management System
- Conduct ERS assessments, as needed, and complete paperwork related to scoring assessments within 24 hours of observation

Qualifications and Experience

- Reliable at or above 90 percent on all three ERS instruments with at least two years of experience conducting ERS assessments in diverse early learning sites

Regional ERS Anchor (continued)

- Associate's degree in Early Childhood Education, Child Development, Human Development, or related field (alternative qualifications may be considered, [e.g., California Master Teacher Permit])
- Ability to relate to people of various racial, ethnic, and socio-economic backgrounds
- Knowledge about local and state requirements and standards for early care and education programs serving children birth through five years
- Attention to detail and accuracy and ability to maintain confidentiality
- Good writing and communication skills
- Experience in child care settings as a teacher, director, trainer, or researcher, especially in settings serving Dual Language Learners preferred
- Bilingual Spanish-speaking applicants preferred

4. Regional Classroom Assessment Scoring System® Trainer/Observer

Job Description

The Regional Classroom Assessment Scoring System® (CLASS®) Trainer/Observer will work with the Regional Professional Development Specialist to provide oversight for CLASS observations, support competency and skills of CLASS observers, and conduct regional CLASS observer certification training for consortia in the X region to support implementation of the California Quality Rating and Improvement System (CA-QRIS).

Major Duties and Responsibilities

- Meet and maintain observer reliability and trainer certification criteria on the CLASS Infant, Toddler, and Pre-K CLASS tools
- Conduct training for early childhood educators, observers, coaches, and consortia partners, as requested by consortia in the region
- Support successful certification of local consortia assessors and coaches during and after certification training
- Participate in bi-annual calibration offered by First 5 California (F5CA) and ensure assessors and coaches in the region do the same
- Participate in training offered by Teachstone and supported by F5CA to increase skills in coaching (and supporting coaches), feedback strategies, and other areas of capacity building
- Develop and implement a plan to support CLASS observers and coaches in the region to successfully maintain certification, including counseling any observers who do not maintain 80 percent on calibration or re-certification tests
- Provide information and support to local observers and coaches, including, but not limited to:
 - Developing report templates, coaching materials, and other regional materials to support fidelity of tool use and interpretation
 - Conducting training to increase overall observer capacity
 - Implementing a regional observer/coach learning community; facilitating communications among observers and coaches via conference calls, e-mail, and/or webinars
- Maintain communication with F5CA staff concerning local challenges, questions, and tool clarifications, and ensure local interpretations and policies support statewide policies and agreements
- Participate in F5CA-led CLASS workgroups and/or learning communities to contribute to the overall CA-QRIS

Regional CLASS® Trainer/Observer (continued)

- Conduct CLASS observations in school-based, center-based, and/or home-based early care and education settings using the CLASS family of tools, as needed, according to the CA-QRIS Implementation Guide

Qualifications and Experience

- Reliable on all three CLASS tools with at least two years of experience conducting CLASS assessments in diverse early learning sites; current CLASS Trainer certification preferred
- AA in Early Childhood Education, Child Development, Human Development, or related field (alternative qualifications may be considered, [e.g., California Master Teacher Permit])
- Ability to relate to people of various racial, ethnic, and socioeconomic backgrounds
- Experience in child care settings as a teacher, director, trainer or researcher, especially in settings serving Dual Language Learners
- Attention to detail and accuracy, and ability to maintain confidentiality
- Good writing and communication skills
- Bi-lingual Spanish speaking applicants, preferred

5. Regional Data System Coordinator

Job Description

Provide leadership in the coordination and implementation of regional Quality Rating and Improvement System (QRIS) data system(s) serving consortia in the First 5 IMPACT (Improve and Maximize Programs so All Children Thrive) Regional Coordination, and Training and Technical Assistance Hub Data System (Hub) region, serving **X#** consortia. This position will serve as the primary day-to-day lead, managing and supporting consortia to collect data and enter it into a selected data system. This position will act as liaison between consortia, the Hub, and First 5 California regarding data collection, common data fields, and data system policies, issues, and questions. The coordinator is likely to interact and collaborate with members of county consortia such as information technology staff, evaluators, assessors, and program directors. The coordinator also may serve as a primary contact with vendors of QRIS data systems shared within the Hub region. This position is located in **XX** but serves all consortia in the region.

Major Duties and Responsibilities

- Ensure selection, implementation, and operation of a regional data system for reporting First 5 IMPACT common data fields, including, but not limited to:
 - Researching data vendors and providing information to Hub consortia about costs and benefits of a recommended data system or systems
 - Developing and managing contracts with selected data system vendors
 - Providing access to reporting agencies for data submittal and assisting reporting agencies with implementation of data system software
 - Ensuring all vendor updates are properly installed and rolled out
 - Soliciting and coordinating feedback from regional partners to communicate to vendor
- Oversee data collection for consortia in the Hub region, including, but not limited to:
 - Determining local data collection needs and capacity
 - Assisting consortia or Lead Agencies with data collection requirements
 - Training local and regional staff, and reporting agencies on data collection tools, requirements, processes, and equipment
 - Establishing data quality standards and techniques; working with reporting agencies to ensure standards are met
 - Supporting the development and implementation of the ECE Workforce Registry in partnership with consortia, the CDE, existing Registry members, foundations, and F5CA

APPENDIX G. REGIONAL HUB AND STATEWIDE T&TA STRUCTURE

State-wide T&TA Support for Regional Coordination, and T&TA Hubs, and First 5 IMPACT Consortia

Statewide T&TA: System Supports

Support Implementation of T&TA Hubs

Provide initial and ongoing support for Hub coordination and specialized functions to operate as a quality improvement system (QIS) or a quality rating and improvement system (QRIS).

Statewide T&TA: System Supports

Build Capacity in Small Counties & Counties New to QRIS

Assist small counties and other counties without QRIS experience to implement their First 5 IMPACT High-Quality Action Plan.

Statewide T&TA: System Supports

Support Assessor Management

Support regional certification and capacity of regional Anchors and assessors on CA-QRIS Rating Matrix Tools to implement an assessor management system and ensure fidelity and best practices.

Statewide T&TA: System Supports

Map Available Training to CA-QRIS

Depict existing training along “pathways” that show how opportunities contribute to individual and site progress along a continuum of CA-QRIS quality/ skill for different audiences (e.g., teacher, administrator).

Regional Coordination, and Training and Technical Assistance Hubs

Regional Coordination, and Training and Technical Assistance Hubs (Hubs) are designed to improve the efficiency of the QRIS system. The Hubs will play the following two essential roles to support counties in the regions:

1. Basic coordination, project management, and systems-building activities for counties participating in that Hub.
2. Specialized support for counties in the region for at least one additional activity or element from the CA-QRIS and/or function of a QIS/QRIS to increase county capacity or improve system efficiency.

Statewide T&TA: Public Policy & Public Outreach Supports

Facilitate a CA-QRIS Conference

Assist F5CA in hosting an annual, convening that draws on national and county expertise and lessons learned to inform county practices, state policy, and national research.

Statewide T&TA: Public Policy & Public Outreach Supports

QRIS Messaging

Expand CA-QRIS messaging campaign to create common templates and messages about characteristics of quality early learning programs, the impact of quality on improved outcomes for children, and the role of families in early learning.

Statewide T&TA: Early Educator Workforce Supports

Improve Coach Competency

Increase capacity of local and regional coaches and ensure coaches possess a common set of competencies.

Statewide T&TA: Early Educator Workforce Supports

Support Best Practices in Supporting & Strengthening Families

Build on existing resources to develop tools and training opportunities aligned to the CA-QRIS for coaches, administrators, and early learning staff to improve effectiveness of family support and strengthening efforts.

Statewide T&TA: Early Educator Workforce Supports

Increase Availability of Qualified Trainers

Scale up existing trainer approval process to increase number of qualified local trainers approved to provide training linked to the CA-QRIS.

Statewide T&TA: Early Educator Workforce Supports

California-Specific Resources

Develop specific California resources and training materials that reflects the diversity of California classrooms and supports effective practices and movement along the CA-QRIS.

APPENDIX H. F5CA STATEWIDE TRAINING AND TECHNICAL ASSISTANCE

First 5 IMPACT's state-level support and statewide training and technical assistance (T&TA) will support consortia, the Hubs, and the early educator workforce in three major areas: system supports, early educator workforce supports, and policy and public outreach supports. County and stakeholder input was used to determine the statewide T&TA activities detailed below.

1. System Supports

F5CA's planned state-level systems supports include:

- a. Providing local and regional technical assistance for coordination and operation of a QRIS, building on local needs and developing local capacity to implement selected CA-QRIS elements, including:
 - Initial and ongoing development of the Hubs coordination and specialized functions
 - T&TA to consortia with little QRIS experience to support their development of systems functions and CA-QRIS quality elements
 - Support for small population counties to coordinate and align First 5 IMPACT, Small Population County Funding Augmentation (SPCFA) priorities, and other quality improvement efforts
 - Development and guidance for the completion of site improvement plan templates and guidance on the development/selection of tools for local evaluation
- b. Facilitating a workgroup of the CA-QRIS Consortium to develop pathways that map to existing statewide and local training, support, and resources for the CA-QRIS, ensuring:
 - Professional development, promotes evidence-based practices to support child development and teaching and learning practices that are culturally and linguistically responsive and lead to positive child outcomes and site improvement
 - Statewide trainings are mapped to the CA-QRIS Pathways, levels of knowledge development (e.g., introductory to advanced), and target audiences (e.g., early educators and site leaders)

- Clear and accessible tracks for new trainers and coaches to gain skill and competency on the quality elements within the CA-QRIS
- c. Hosting an Annual Summit that brings together national and local experts and policymakers, and highlights promising practices in QRIS implementation and development of local and statewide early learning systems. The annual summit also provides a forum to spotlight innovative and effective strategies for improving adult-child interactions, supporting dual language learners, engaging and strengthening families, and implementing the Trusted Messenger campaign within the CA-QRIS.
- d. Supporting Regional ERS Anchor certification and annual recertification for at least one Master Anchor in each Hub and large consortium, as applicable.
- e. Providing funding to offset costs of data collection and incentivize the selection of a regional data system.

2. Early Educator Workforce Supports

Statewide T&TA for the early educator workforce includes support for early educators and administrators in licensed, license-exempt, and alternative sites. These efforts include continuing and expanding F5CA CARES Plus-related efforts, such as offering evidence-based training, practice-based coaching, and access to higher education. Planned statewide T&TA includes:

- a. Supporting coaches to use research-based and promising practices to promote leadership development, teacher-child interactions, family engagement and strengthening, dual language learners (DLL), and continuous quality improvement in early childhood centers, family child care homes (FCCHs), family friend and neighbors (FFNs), and alternative settings by:
 - Hosting Annual Coaching Institutes to ensure coaches in CA-QRIS efforts successfully embed principles of adult learning, practice-based coaching, differentiated coaching, and culturally and linguistically competent practices into their support for quality improvement
 - Convening consortia representatives in a “Think Tank” designed to facilitate face-to-face and virtual exchanges on best practices in coaching; using outcomes from the Think Tank, along with national evidence-based practices to develop coach competency in a range of topics, including, but not limited to:
 - DLL, diversity, and equity

- Site leadership development to guide program-wide continuous quality improvement
 - Strategies to support quality in FCCHs, FFNs, and alternative settings
 - Implementing support networks, learning communities, and peer-to-peer support for coaches and bridging communication and knowledge sharing between coaches and assessors
- b. In regions with an identified regional trainer, providing no-cost trainer certification opportunities on tools associated with the California Early Learning and Development System such as the Desired Results Developmental Profile (DRDP) and with developmental screening, and CLASS®
 - c. Working with higher education to improve teacher preparation through availability of coursework that embeds practice-based coaching and QRIS quality elements into coursework
 - d. Developing non-proprietary materials, tools, and trainings that help early educators understand and improve their environment, interactions with children, and relationships with families to enhance positive child outcomes

3. Policy and Public Outreach Supports

Policy and public outreach supports are multi-fold strategies to promote policy, outreach, and communication including:

- a. Engaging other state agencies and partners on a shared agenda, building public will and knowledge through a messaging campaign, and increasing parents demand for quality programs
- b. Supporting the work of the CA-QRIS Consortium on a statewide messaging campaign, including creation of tools and materials for local and regional adaptation to assist consortia in making ratings publicly available
- c. Providing funding for annual subscriptions to the Early Learning Needs Assessment Tool (ELNAT) to enable consortia to access regional and local demographic and education data

APPENDIX I. DEFINITION OF TRAINING AND TECHNICAL ASSISTANCE

Training and technical assistance is “the provision of targeted and customized supports by a professional(s) with subject matter and adult learning knowledge and skills to develop or strengthen processes, knowledge application, or implementation of services by recipients.”³ Within the category of technical assistance are different types of strategies, including mentoring, coaching, and consultation. The table below provides a summary of each strategy, often used simultaneously. For more information regarding each of type of technical assistance, go to http://www.naeyc.org/GlossaryTraining_TA.pdf.

	Mentoring	Coaching	Consultation
Definition	<p>Mentoring is a relationship-based process between colleagues in similar professional roles. The more experienced individual with adult learning knowledge and skills provides guidance and example to the less-experienced.</p> <p>Mentoring is intended to increase an individual’s personal or professional capacity, resulting in greater professional effectiveness.</p>	<p>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).</p> <p>Coaching is designed to build capacity for specific professional dispositions, skills, and behaviors and is focused on goal-setting and achievement for an individual or group.</p>	<p>Consultation is a collaborative, problem-solving process between an external consultant with specific expertise and adult learning knowledge and skills and an individual or group from one program or organization.</p> <p>Consultation facilitates the assessment and resolution of an issue-specific concern or addresses a specific topic.</p>
Focus	<p>Focuses on a specific topic or holistic professional growth.</p> <p>Uses reflective processes to translate theories and information learned into best practices and should be part of a broader professional development plan.</p>	<p>Focuses on development of specific skills and practices focused on a performance-based outcome(s) and should be embedded in broader professional development plan.</p>	<p>Focuses on resolution of a specific concern or set of concerns along with capacity-building to facilitate continued use of process used during consultation.</p>

³ National Association for the Education of Young Children (NAEYC) and National Association of Child Care Resource & Referral Agencies (NACCRRA) (2011). Early childhood education professional development: Training and technical assistance glossary. Available at http://www.naeyc.org/GlossaryTraining_TA.pdf

	Mentoring	Coaching	Consultation
Relationships and Process	<p>Includes the mentor and mentee establishing and maintaining a mutually agreed upon, positive, trusting, and respectful relationship. (Ideally, this relationship is not assigned.)</p> <p>If conducted by ones' supervisor, it should not be used as a method of evaluating job performance.</p> <p>Mentoring is generally an ongoing, iterative process which may include unplanned contacts when the mentee has question or planned, resulting in the application of new ideas. Mentoring begins with establishing role clarity and goal setting and concludes by mutual agreement.</p>	<p>Requires interactions that build trust and respect.</p> <p>A person may select a coach, be assigned to a coach, or the coach may be assigned to an individual or group. If conducted by ones' supervisor, outcome may contribute to job performance evaluation (with recipient being made aware).</p> <p>Coaching can occur one time or in a series of planned, onsite coaching sessions.</p> <p>Coaching begins with a collaborative agreement between the coach and the individual to set the guidelines and goals and concludes when the goal has been reached.</p>	<p>Requires a collaborative relationship between the consultant and the person to whom he/she provides recommendations.</p> <p>Consultants often are engaged by the administrative leadership of a workplace. In some instances, the consultancy is arranged or directed by a regulatory or funding agency or organization.</p> <p>Consultation is generally a short-term arrangement that begins with the joint development of goals and strategies for achieving them, and concludes when the strategies are carried out.</p>
Delivery	<p>May be provided face-to-face (onsite or offsite) or through distance, technology-based, or hybrid methods.</p>	<p>May be provided face-to-face (onsite or offsite) or through distance, technology-based, or hybrid methods.</p>	<p>May be provided face-to-face (onsite or offsite) or through distance, technology-based, or hybrid methods.</p>

APPENDIX J. F5CA STATEWIDE SUPPORT FOR CLASSROOM ASSESSMENT SCORING SYSTEM

F5CA will allocate at least \$2 million over the term of First 5 IMPACT to support regional capacity around effective adult-child interactions in local early learning sites using the Classroom Assessment Scoring System® (CLASS®) tool.

Each Hub will be allocated an annual set-aside to support the Hub's plan for regional support for improved adult-child interactions using CLASS. In order to access the F5CA-funded CLASS training and services, the Hubs will submit an annual CLASS usage plan indicating the desired types and quantity of training so F5CA can allocate funds and monitor its contract. Once approved by F5CA, the Hub will work out the training and technical assistance details and logistics.

F5CA believes this approach to funding CLASS training and services will help regions receive the types of support they need, maximize regional flexibility in scheduling, and free up local First 5 IMPACT and Hub funds for other priorities.

The Hubs may choose to use their allocation for the following types of activities:

- CLASS age-level trainer certification training, which enables the trainer to conduct live Introduction to CLASS and Observer CLASS certification Trainings to groups of up to 17 participants in their organization or local First 5 IMPACT consortium
- CLASS age-level observer certification training, which prepares participants to identify and code the teacher-child interactions that improve learning in classrooms and family child care settings.
- Making the Most of Classroom Interactions (MMCI) instructor certification training, which prepares the participant to facilitate MMCI workshops (a series of 10 two-hour in-person sessions to groups of early childhood educators within their organization or local First 5 IMPACT consortium) to help teachers and caregivers learn to identify and describe effective interactions in classrooms and care settings, and discuss ways to interact intentionally to increase children's learning.
- myTeachstone subscriptions, a virtual and face-to-face coaching, peer learning, and the ability to link CLASS observation with individualized professional development resources, including videos and written materials to support self-reflection and learning and coach training
- *MyTeachingPartner™ (MTP™)* materials, training, and/or coaching supports
- Annual recertification expenses

- CLASS® materials shipped from Teachstone
- Ongoing CLASS coach support
- Other types of training, supports, and services, to be determined

F5CA will offer a webinar in spring 2015 to describe the process for accessing the CLASS training and the availability of staff to help the Hubs make decisions to maximize state, regional, and local dollars and support consortia High-quality Action Plans.

The table below provides an estimate of F5CA’s allocation by Hub region based on the proportion of target early learning sites participating in First 5 IMPACT. This allocation is an estimate and shall not be initiated until FY 2016-17.

Hub Region	Minimum Annual Set-Aside	Minimum Total Set-Aside (July 2016 – June 2020)
1	\$ 53,467	\$ 160,400
2	\$ 37,528	\$ 112,584
3	\$ 117,511	\$ 352,532
4	\$ 132,290	\$ 396,870
5	\$ 72,158	\$ 216,475
6	\$ 11,593	\$ 34,779
7	\$ 37,818	\$ 113,454
8	\$ 67,811	\$ 203,434
9	\$ 88,387	\$ 265,160
10	\$ 54,771	\$ 164,312
	\$ 673,333	\$ 2,020,000

APPENDIX K. REGIONAL FIRST 5 IMPACT HUB MAP



APPENDIX L. QRIS DATA SYSTEM GUIDANCE

First 5 California recommends that all county consortia implement QRIS data systems to collect and report site-level data in support of First 5 IMPACT.

Usefulness of QRIS Data Systems

Data systems are important for support of early learning quality for these reasons:

- Local data can be integrated for purposes of Continuous Quality Improvement (CQI) activities related to assessments (e.g., ERS, CLASS[®]), program structure, and professional development.
- Web-based systems on the Internet can support multiple users and locations for data entry and reporting.
- Standardized data elements and codes ensure clean and usable data for program and evaluation purposes.
- Current or future quality-rating tiers can be documented based on site-level data and the CA-QRIS Hybrid Rating Matrix.
- Collection and preparation of data for First 5 IMPACT Common Data Fields file to be submitted annually to First 5 California (First 5 IMPACT RFA, Appendix I).

F5CA discourages county consortia from using spreadsheets as a primary means of managing site-level data for First 5 IMPACT. Spreadsheets are unlikely to be able to support the complexity of quality improvement efforts during First 5 IMPACT's program period. As discussed in the narrative, F5CA will provide qualified financial support for QRIS data systems.

Data System Selection and Features

As county consortia review potential data systems, the following list of features may be useful for discussions with vendors. Consortia should consider the capability of the data system to support:

- Early learning site data (e.g., program site name/address, classroom, teaching staff)
- Classroom data
- Teacher data
- Child data
- Parent data
- Family services or referrals data
- QRIS rating-specific fields (including ERS, CLASS, DRDP, ASQ)
- QRIS rating calculations ("rating engine")
- Quality improvement and professional development data (training, unit-based coursework, coaching by provider, content, dosage, etc.)
- Planning and tracking of activities at site, classroom, or staff levels

- User roles supported (e.g., teacher, site administrator, program administrator, system administrator, etc.)
- Reports available by level (individual, classroom, or site) and user role
- Ability to interface with other systems
- Data export capabilities
- Information security

Additionally, consortia may consider other vendor criteria such as:

- Cost model or structure provided by the vendor (Is there a definite cost per site? Is there a discount by county or number of sites?)
- Availability of technical support by the vendor by phone or internet
- Flexibility in modifying existing features for local use (e.g., reports)

Because QRIS data systems for Step 3 sites must support tier ratings from the CA-QRIS Hybrid Rating Matrix, data system requirements are more stringent as listed below. The following Data System Checklist may be useful as you work to determine the most fitting data system for your region.

QRIS Data System Checklist

System Feature	IMPACT QRIS (Step 3)
<input type="checkbox"/> Site data: <ul style="list-style-type: none"> ○ licensing (including ratios and group size) ○ funding/subsidy ○ accreditation ○ demographic ○ other QRIS enrollment program information 	Required
<input type="checkbox"/> Program/Site/Classroom data: <ul style="list-style-type: none"> ○ classroom assessment (ERS, CLASS), ○ child observation practice (DRDP, other) ○ developmental and health screening practice 	Required
<input type="checkbox"/> Teacher data: <ul style="list-style-type: none"> ○ demographics ○ teacher education ○ teacher training ○ credentials ○ professional development activities 	Required
<input type="checkbox"/> Child level data: <ul style="list-style-type: none"> ○ demographics ○ screening and referrals ○ IFSP/IEP status ○ 801a reporting 	Local Consideration

System Feature	IMPACT QRIS (Step 3)
<input type="checkbox"/> QRIS Rating data: <ul style="list-style-type: none"> ○ rating data used to calculate QRIS tier level ○ cumulative and detail element score ○ rating dates ○ rating periods 	Required
<input type="checkbox"/> Quality Improvement data: <ul style="list-style-type: none"> ○ Site Quality Improvement Plan strategies and goals ○ dosage and duration of ongoing support (education, training, coaching/mentoring, professional growth planning, stipend, etc.) ○ family engagement strategies 	Recommended
<input type="checkbox"/> Reporting: <ul style="list-style-type: none"> ○ QIS/QRIS status summary for QIPs ○ individual teacher PD planning ○ county/region reporting 	Recommended
<input type="checkbox"/> Export: Ability to export Common Data Fields file per field specifications (First 5 IMPACT RFA, Appendix I)	Required

Potential Data System Vendors

The following data system vendors may be helpful for collecting site-level data for QI/QIS/QRIS purposes. Most vendors already operate in California and may be able to provide referrals by current users. First 5 California does not endorse any particular vendor.

- iPinwheel (ipinwheel.com)
- Persimmony (www.persimmony.com)
- Q-Star (www.branaghgroup.com/qris-home.html)
- TCC Software Solutions (www.e-tcc.com)
- Vertical Change (verticalchange.com)
- Web-based Early Learning System (WELS) (www.welsfoundation.org/qrisdata.html)