

**Race to the Top - Early Learning Challenge
Application for Initial Funding
CFDA Number: 84.412**



U.S. Department of Education
Washington, DC 20202
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Paperwork Burden Statement

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III. DEFINITIONS

Note: All definitions below are taken from the notice.

Children with High Needs means children from birth through kindergarten entry who are from Low-Income families or otherwise in need of special assistance and support, including children who have disabilities or developmental delays; who are English learners; who reside on “Indian lands” as that term is defined by section 8013(6) of the ESEA; who are migrant, homeless, or in foster care; and other children as identified by the State.

Common Education Data Standards (CEDS) means voluntary, common standards for a key set of education data elements (*e.g.*, demographics, program participation, transition, course information) at the early learning, K-12, and postsecondary levels developed through a national collaborative effort being led by the National Center for Education Statistics. CEDS focus on standard definitions, code sets, and technical specifications of a subset of key data elements and are designed to increase data interoperability, portability, and comparability across Early Learning and Development Programs and agencies, States, local educational agencies, and postsecondary institutions.

Comprehensive Assessment System means a coordinated and comprehensive system of multiple assessments, each of which is valid and reliable for its specified purpose and for the population with which it will be used, that organizes information about the process and context of young children’s learning and development in order to help Early Childhood Educators make informed instructional and programmatic decisions and that conforms to the recommendations of the National Research Council reports on early childhood.

A Comprehensive Assessment System includes, at a minimum--

- (a) Screening Measures;
- (b) Formative Assessments;
- (c) Measures of Environmental Quality; and
- (d) Measures of the Quality of Adult-Child Interactions.

Data System Oversight Requirements means policies for ensuring the quality, privacy, and integrity of data contained in a data system, including--

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

(b) A transparency policy that informs the public, including families, Early Childhood Educators, and programs, of the existence of data systems that house personally identifiable information, explains what data elements are included in such a system, enables parental consent to disclose personally identifiable information as appropriate, and describes allowable and potential uses of the data.

Early Childhood Educator means any professional working in an Early Learning and Development Program, including but not limited to center-based and family child care providers; infant and toddler specialists; early intervention specialists and early childhood special educators; home visitors;

related services providers; administrators such as directors, supervisors, and other early learning and development leaders; Head Start teachers; Early Head Start teachers; preschool and other teachers; teacher assistants; family service staff; and health coordinators.

Early Learning and Development Program means any (a) State-licensed or State-regulated program or provider, regardless of setting or funding source, that provides early care and education for children from birth to kindergarten entry, including, but not limited to, any program operated by a child care center or in a family child care home; (b) preschool program funded by the Federal Government or State or local educational agencies (including any IDEA-funded program); (c) Early Head Start and Head Start program; and (d) a non-relative child care provider who is not otherwise regulated by the State and who regularly cares for two or more unrelated children for a fee in a provider setting. A State should include in this definition other programs that may deliver early learning and development services in a child's home, such as the Maternal, Infant and Early Childhood Home Visiting; Early Head Start; and part C of IDEA¹.

Early Learning and Development Standards means a set of expectations, guidelines, or developmental milestones that--

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

Early Learning Intermediary Organization means a national, statewide, regional, or community-based organization that represents one or more networks of Early Learning and Development Programs in the State and that has influence or authority over them. Such Early Learning Intermediary Organizations include, but are not limited to, Child Care Resource and Referral Agencies; State Head Start Associations; Family Child Care Associations; State affiliates of the National Association for the Education of Young Children; State affiliates of the Council for Exceptional Children's Division of Early Childhood; statewide or regional union affiliates that represent Early Childhood Educators; affiliates of the National Migrant and Seasonal Head Start Association; the National Tribal, American Indian, and Alaskan Native Head Start Association; and the National Indian Child Care Association.

Essential Data Elements means the critical child, program, and workforce data elements of a coordinated early learning data system, including--

- (a) A unique statewide child identifier or another highly accurate, proven method to link data on that child, including Kindergarten Entry Assessment data, to and from the Statewide Longitudinal Data System and the coordinated early learning data system (if applicable);
- (b) A unique statewide Early Childhood Educator identifier;
- (c) A unique program site identifier;

¹ Note: Such home-based programs and services will most likely not participate in the State's Tiered Quality Rating and Improvement System unless the State has developed a set of Tiered Program Standards specifically for home-based programs and services.

- (d) Child and family demographic information;
- (e) Early Childhood Educator demographic information, including data on educational attainment and State credential or licenses held, as well as professional development information;
- (f) Program-level data on the program's structure, quality, child suspension and expulsion rates, staff retention, staff compensation, work environment, and all applicable data reported as part of the State's Tiered Quality Rating and Improvement System; and
- (g) Child-level program participation and attendance data.

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

Formative Assessment (also known as a classroom-based or ongoing assessment) means assessment questions, tools, and processes--

- (a) That are--
 - (1) Specifically designed to monitor children's progress in meeting the Early Learning and Development Standards;
 - (2) Valid and reliable for their intended purposes and their target populations;
 - (3) Linked directly to the curriculum; and
- (b) The results of which are used to guide and improve instructional practices.

High-Quality Plan means any plan developed by the State to address a selection criterion or priority in the notice that is feasible and has a high probability of successful implementation and at a minimum includes--

- (a) The key goals;
- (b) The key activities to be undertaken; the rationale for the activities; and, if applicable, where in the State the activities will be initially implemented, and where and how they will be scaled up over time to eventually achieve statewide implementation;
- (c) A realistic timeline, including key milestones, for implementing each key activity;
- (d) The party or parties responsible for implementing each activity and other key personnel assigned to each activity;
- (e) Appropriate financial resources to support successful implementation of the plan;
- (f) The information requested as supporting evidence, if any, together with any additional information the State believes will be helpful to peer reviewers in judging the credibility of the plan;
- (g) The information requested in the performance measures, where applicable;

(h) How the State will address the needs of the different types of Early Learning and Development Programs, if applicable; and

(i) How the State will meet the needs of Children with High Needs, as well as the unique needs of special populations of Children with High Needs.

Kindergarten Entry Assessment means an assessment that--

- (a) Is administered to children during the first few months of their admission into kindergarten;
- (b) Covers all Essential Domains of School Readiness;
- (c) Is used in conformance with the recommendations of the National Research Council² reports on early childhood; and
- (d) Is valid and reliable for its intended purposes and for the target populations and aligned to the Early Learning and Development Standards. Results of the assessment should be used to inform efforts to close the school readiness gap at kindergarten entry and to inform instruction in the early elementary school grades. This assessment should not be used to prevent children's entry into kindergarten.

Lead Agency means the State-level agency designated by the Governor for the administration of the RTT-ELC grant; this agency is the fiscal agent for the grant. The Lead Agency must be one of the Participating State Agencies.

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

Measures of Environmental Quality means valid and reliable indicators of the overall quality of the early learning environment.

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

Participating State Agency means a State agency that administers public funds related to early learning and development and is participating in the State Plan. The following State agencies are required Participating State Agencies: the agencies that administer or supervise the administration of CCDF, the section 619 of part B of IDEA and part C of IDEA programs, State-funded preschool, home visiting, Title I of ESEA, the Head Start State Collaboration Grant, and the Title V Maternal and Child Care Block Grant, as well as the State Advisory Council on Early Childhood Education and Care, the State's Child Care Licensing Agency, and the State Education Agency. Other State agencies, such as the agencies that administer or supervise the administration of Child Welfare, Mental Health, Temporary Assistance for Needy Families (TANF), Community-Based Child Abuse Prevention, the Child and Adult Care Food Program, and the Adult Education and Family Literacy Act (AEFLA) may be Participating State Agencies if they elect to participate in the State Plan.

²National Research Council. (2008). Early Childhood Assessment: Why, What, and How. Committee on Developmental Outcomes and Assessments for Young Children, C.E. Snow and S.B. Van Hemel, Editors. Board on Children, Youth, and Families, Board on Testing and Assessment, Division of Behavioral and Social Sciences and Education. Washington, DC: The National Academies Press.
http://www.nap.edu/catalog.php?record_id=12446

Participating Program means an Early Learning and Development Program that elects to carry out activities described in the State Plan.

Program Standards means the standards that serve as the basis for a Tiered Quality Rating and Improvement System and define differentiated levels of quality for Early Learning and Development Programs. Program Standards are expressed, at a minimum, by the extent to which--

- (a) Early Learning and Development Standards are implemented through evidence-based activities, interventions, or curricula that are appropriate for each age group of infants, toddlers, and preschoolers;
- (b) Comprehensive Assessment Systems are used routinely and appropriately to improve instruction and enhance program quality by providing robust and coherent evidence of--
 - (1) Children's learning and development outcomes; and
 - (2) program performance;
- (c) A qualified workforce improves young children's health, social, emotional, and educational outcomes;
- (d) Strategies are successfully used to engage families in supporting their children's development and learning. These strategies may include, but are not limited to, parent access to the program, ongoing two-way communication with families, parent education in child development, outreach to fathers and other family members, training and support for families as children move to preschool and kindergarten, social networks of support, intergenerational activities, linkages with community supports and adult and family literacy programs, parent involvement in decision making, and parent leadership development;
- (e) Health promotion practices include health and safety requirements; developmental, behavioral, and sensory screening, referral, and follow up; and the promotion of physical activity, healthy eating habits, oral health and behavioral health, and health literacy among parents; and
- (f) Effective data practices include gathering Essential Data Elements and entering them into the State's Statewide Longitudinal Data System or other early learning data system, using these data to guide instruction and program improvement, and making this information readily available to families.

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

State means any of the 50 States, the District of Columbia, and Puerto Rico.

State Plan means the plan submitted as part of the State's RTT-ELC application.

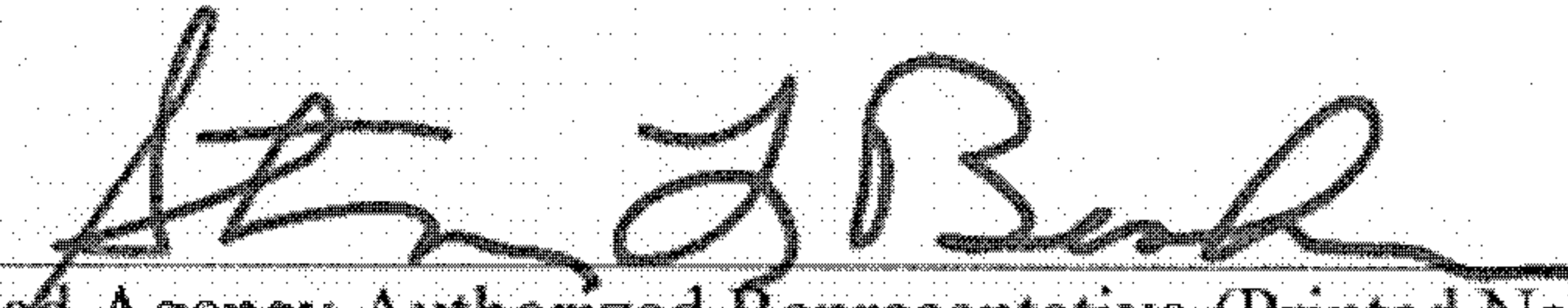
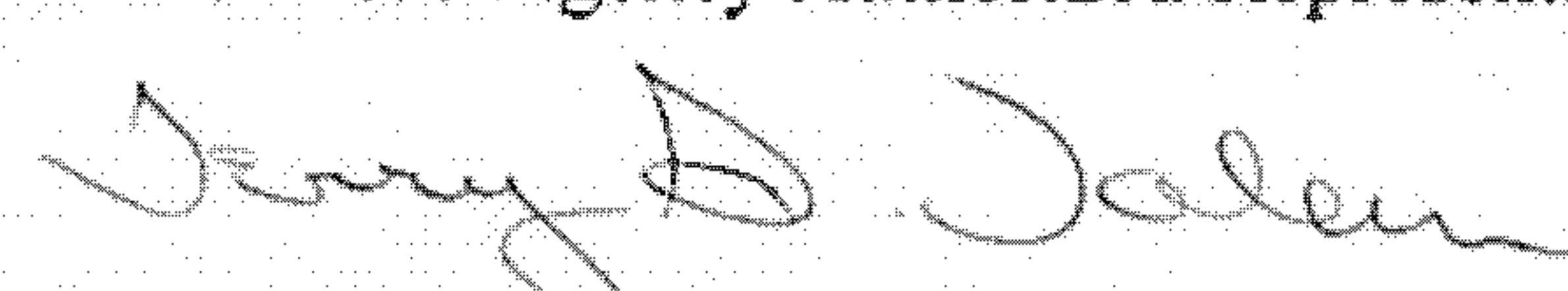
Statewide Longitudinal Data System means the State's longitudinal education data system that collects and maintains detailed, high-quality, student- and staff-level data that are linked across entities and that over time provide a complete academic and performance history for each student. The Statewide Longitudinal Data System is typically housed within the State educational agency but includes or can be connected to early childhood, postsecondary, and labor data.

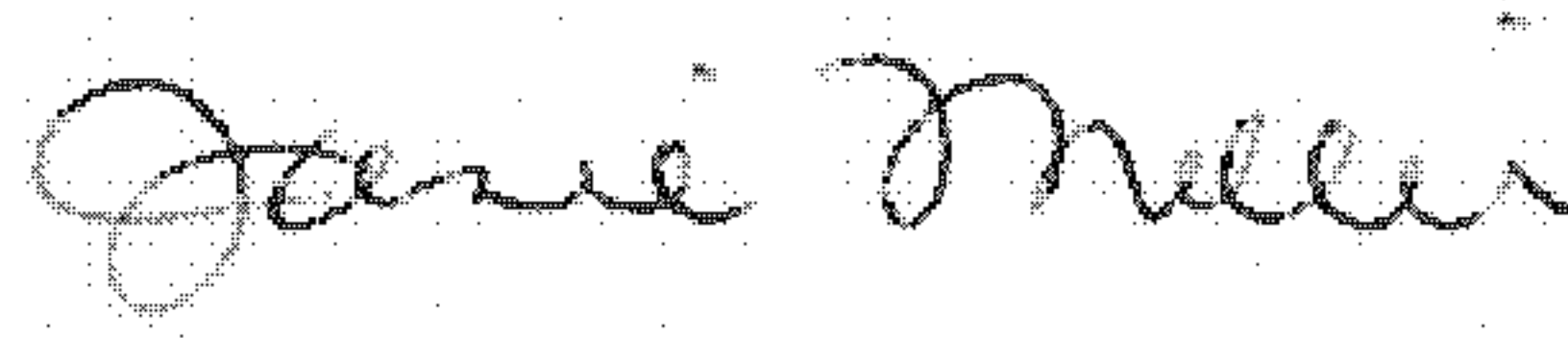
Tiered Quality Rating and Improvement System means the system through which the State uses a set of progressively higher Program Standards to evaluate the quality of an Early Learning and Development Program and to support program improvement. A Tiered Quality Rating and Improvement

System consists of four components: (a) tiered Program Standards with multiple rating categories that clearly and meaningfully differentiate program quality levels; (b) monitoring to evaluate program quality based on the Program Standards; (c) supports to help programs meet progressively higher standards (*e.g.*, through training, technical assistance, financial support); and (d) program quality ratings that are publically available; and includes a process for validating the system.

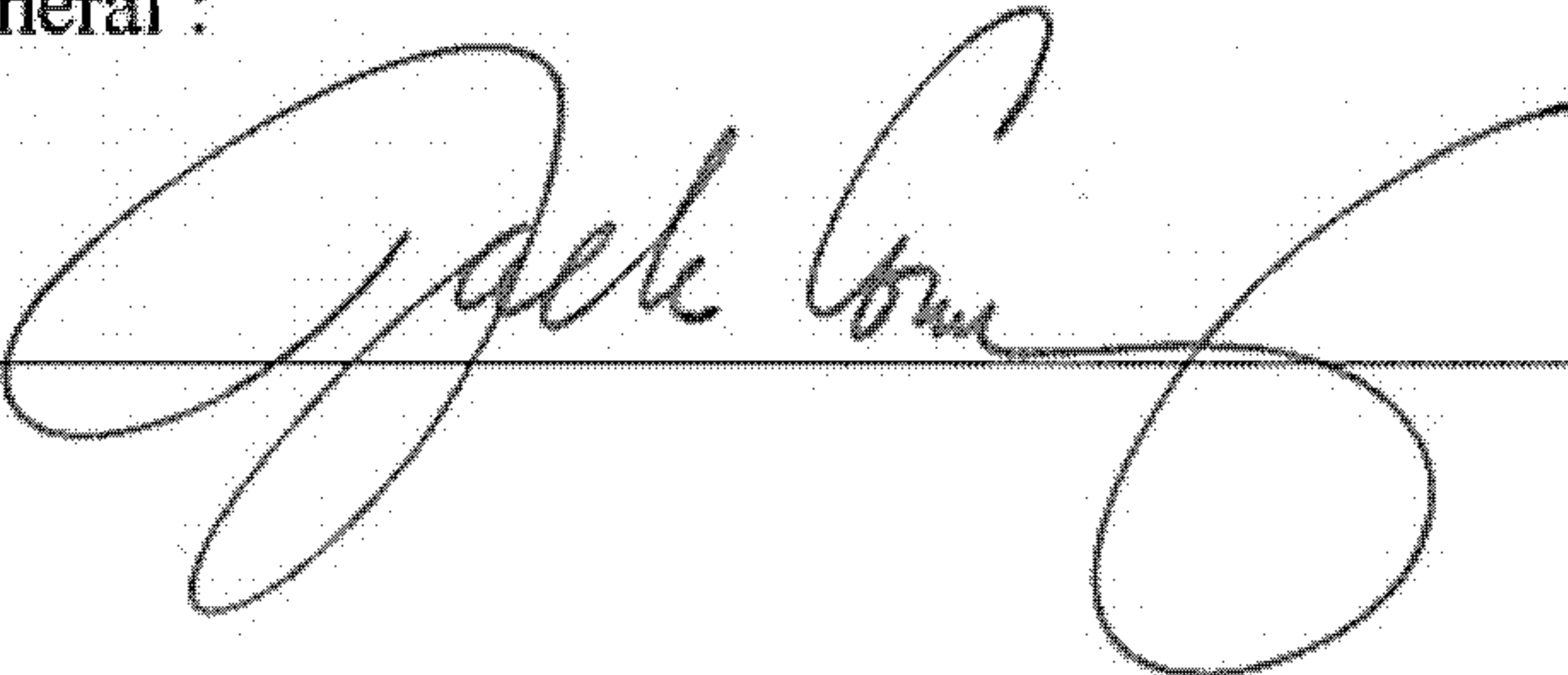
Workforce Knowledge and Competency Framework means a set of expectations that describes what Early Childhood Educators (including those working with children with disabilities and English learners) should know and be able to do. The Workforce Knowledge and Competency Framework, at a minimum, (a) is evidence-based; (b) incorporates knowledge and application of the State's Early Learning and Development Standards, the Comprehensive Assessment Systems, child development, health, and culturally and linguistically appropriate strategies for working with families; (c) includes knowledge of early mathematics and literacy development and effective instructional practices to support mathematics and literacy development in young children; (d) incorporates effective use of data to guide instruction and program improvement; (e) includes effective behavior management strategies that promote positive social emotional development and reduce challenging behaviors; and (f) incorporates feedback from experts at the State's postsecondary institutions and other early learning and development experts and Early Childhood Educators.

IV. APPLICATION ASSURANCES AND CERTIFICATIONS
Race to the Top – Early Learning Challenge
(CFDA No. 84.412)

Legal Name of Applicant (Office of the Governor): Governor Steven L. Beshear	Applicant's Mailing Address: 700 C. Suite 100 Frankfort, KY 40601apital Av
Employer Identification Number: 61-0600439	Organizational DUNS: 007002959
Lead Agency: Office of Early Childhood Contact Name: Terry S. Tolan, Exec. Dir. (Single point of contact for communication)	Lead Agency Contact Phone: 502-782-0200 Lead Agency Contact Email Address: terry.tolan@ky.gov
<p>Required Applicant Signatures (Must include signatures from an authorized representative of each Participating State Agency. Insert additional signature blocks as needed below. To simplify the process, signatories may sign on separate Application Assurance forms.):</p> <p>To the best of my knowledge and belief, all of the information and data in this application are true and correct. I further certify that I have read the application, am fully committed to it, and will support its implementation:</p>	
Governor or Authorized Representative of the Governor (Printed Name): Steven L. Beshear	Telephone: 502-564-2611
Signature of Governor or Authorized Representative of the Governor: 	Date:
Lead Agency Authorized Representative (Printed Name): Terry S. Tolan	Agency Name: Office of Early Childhood
Signature of Lead Agency Authorized Representative: 	Date: 10-17-2011
Participating State Agency Authorized Representative (Printed Name): Terry Holliday, Commissioner	Agency Name: Kentucky Department of Education

Signature of Participating State Agency Authorized Representative: 	Date: 11-17-11
Participating State Agency Authorized Representative (Printed Name): Janie Miller, Secretary of the Cabinet	Agency Name: Cabinet for Health and Family Services 10-17-11
Signature of Participating State Agency Authorized Representative: 	Date: 10-17-11
Participating State Agency Authorized Representative (Printed Name): Joseph U. Meyer, Secretary of the Cabinet	Agency Name: Education and Workforce Development Cabinet 10-17-2011
Signature of Participating State Agency Authorized Representative:	Date:


State Attorney General Certification

State Attorney General or Authorized Representative of the Attorney General Certification	
I certify that the State's description of, and statements and conclusions in its application concerning, State law, statute, and regulation are complete and accurate, and constitute a reasonable interpretation of State law, statute, and regulation:	
State Attorney General or Authorized Representative of the Attorney General (Printed Name):	Telephone:
Jack Conway	502.696.5643
Signature of the State Attorney General or Authorized Representative of the Attorney General :	Date:
	10.17.2011

Accountability, Transparency, and Reporting Assurances

The Governor or his/her authorized representative assures that the State will comply with all applicable assurances in OMB Standard Forms 424B and D (Assurances for Non-Construction and Construction Programs), including the assurances relating to the legal authority to apply for assistance; access to records; conflict of interest; merit systems; nondiscrimination; Hatch Act provisions; labor standards, including Davis-Bacon prevailing wages; flood hazards; historic preservation; protection of human subjects; animal welfare; lead-based paint; Single Audit Act; and the general agreement to comply with all applicable Federal laws, executive orders, and regulations.

- With respect to the certification regarding lobbying in Department Form 80-0013, no Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making or renewal of Federal grants under this program; the State will complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," when required (34 C.F.R. Part 82, Appendix B); and the State will require the full certification, as set forth in 34 C.F.R. Part 82, Appendix A, in the award documents for all subawards at all tiers.
- The State and other entities will comply with the following provisions of the Education Department General Administrative Regulations (EDGAR), as applicable: 34 CFR Part 74 -- Administration of Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations; 34 CFR Part 76 -- State-Administered Programs, including the construction requirements in section 75.600 through 75.617 that are incorporated by reference in section 76.600; 34 CFR Part 77 -- Definitions that Apply to Department Regulations; 34 CFR Part 80 -- Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments, including the procurement provisions; 34 CFR Part 81 -- General Education Provisions Act—Enforcement; 34 CFR Part 82 -- New Restrictions on Lobbying; 34 CFR Part 85 -- Government-wide Debarment and Suspension (Nonprocurement).

Governor or Authorized Representative of the Governor (Printed Name): Steven L. Beshear	
Signature: 	Date:

V. ELIGIBILITY REQUIREMENTS

The State must meet the following requirements to be eligible to compete for funding under this program:

(a) The Lead Agency must have executed with each Participating State Agency a Memorandum of Understanding (MOU) or other binding agreement that the State must attach to its application, describing the Participating State Agency's level of participation in the grant. (See section XIII.) At a minimum, the MOU or other binding agreement must include an assurance that the Participating State Agency agrees to use, to the extent applicable--

- (1) A set of statewide Early Learning and Development Standards;
- (2) A set of statewide Program Standards;
- (3) A statewide Tiered Quality Rating and Improvement System; and
- (4) A statewide Workforce Knowledge and Competency Framework and progression of credentials.

List of Participating State Agencies:

The applicant should list below all Participating State Agencies that administer public funds related to early learning and development, including at a minimum: the agencies that administer or supervise the administration of CCDF, the section 619 of part B of IDEA and part C of IDEA programs, State-funded preschool, home visiting, Title I of ESEA, the Head Start State Collaboration Grant, and the Title V Maternal and Child Care Block Grant, as well as the State Advisory Council on Early Childhood Education and Care, the State's Child Care Licensing Agency, and the State Education Agency.

For each Participating State Agency, the applicant should provide a cross-reference to the place within the application where the MOU or other binding agreement can be found. Insert additional rows if necessary. The Departments will determine eligibility.

Participating State Agency Name (* for Lead Agency)	MOU Location in Application	Funds/Program(s) administered by the Participating State Agency
Office of Early Childhood	Appendix, pages 1-24	<p>Provides support, monitoring and funding for Community Early Childhood Programs</p> <p>Includes the Head start Collaboration Office</p> <p>Coordinates the scholarship program</p> <p>Maintains relationships with and coordinates the network of Professional Development Counselors</p> <p>Partners with Institutes of Higher Education on professional development programs</p> <p>Provides staff support to the Early Childhood Advisory Council</p> <p>Recommends investment of 25% of the Tobacco Settlement Funds in early childhood programs</p>
<p>Cabinet for Health and Family Services which includes:</p> <p>Dept for Community Based Services</p> <p>Department for Public Health</p> <p>Department for Family Resource Centers and Volunteer Services</p> <p>Office of Inspector General</p> <p>Department for Medicaid Services</p> <p>Commission for Children with Special Health Care Needs</p>	Appendix, pages 1-24	<p>Child Care Development Fund and Temporary Assistance to Needy Families</p> <p>HANDS home visitation program; IDEA Part C; Women, Infants and Children; prenatal and well-child services; newborn screening program</p> <p>Family Resource and Youth Service Centers</p> <p>Licensing of Type I and II child care centers</p> <p>KY Medicaid Program and KY Children's Health Insurance Program</p> <p>Program providing specialized care for children with certain physical conditions</p>
Kentucky Department of Education	Appendix, pages 1-24	State funded pre-school IDEA Part B
Education and Workforce Development Cabinet	Appendix, pages 1-24	Kentucky Educational Television (KET) Education Professional Standards Board (EPSB)

(b) The State must have an operational State Advisory Council on Early Care and Education that meets the requirements described in section 642B(b) of the Head Start Act (42 U.S.C. 9837b).

The State certifies that it has an operational State Advisory Council that meets the above requirement. The Departments will determine eligibility.

Yes

No

(c) The State must have submitted in FY 2010 an updated MIECHV State plan and FY 2011 Application for formula funding under the Maternal, Infant, and Early Childhood Home Visiting program (see section 511 of Title V of the Social Security Act, as added by section 2951 of the Affordable Care Act of 2010 (P.L. 111-148)).

The State certifies that it submitted in FY 2010 an updated MIECHV State plan and FY 2011 Application for formula funding, consistent with the above requirement. The Departments will determine eligibility.

Yes

No

VI. SELECTION CRITERIA

Selection criteria are the focal point of the application and peer review. A panel of peer reviewers will evaluate the applications based on the extent to which the selection criteria are addressed.

Core Areas -- Sections (A) and (B)

States must address in their application all of the selection criteria in the Core Areas.

A. Successful State Systems

(A)(1) Demonstrating past commitment to early learning and development. (20 points)

The extent to which the State has demonstrated past commitment to and investment in high-quality, accessible Early Learning and Development Programs and services for Children with High Needs, as evidenced by the State's—

- (a) Financial investment, from January 2007 to the present, in Early Learning and Development Programs, including the amount of these investments in relation to the size of the State's population of Children with High Needs during this time period;
- (b) Increasing, from January 2007 to the present, the number of Children with High Needs participating in Early Learning and Development Programs;
- (c) Existing early learning and development legislation, policies, or practices; and
- (d) Current status in key areas that form the building blocks for a high quality early learning and development system, including Early Learning and Development Standards, Comprehensive Assessment Systems, health promotion practices, family engagement strategies, the development of Early Childhood Educators, Kindergarten Entry Assessments, and effective data practices.

In the text box below, the State shall write its full response to this selection criterion. The State shall include the evidence listed below and describe in its narrative how each piece of evidence demonstrates the State's success in meeting the criterion; the State may also include any additional information it believes will be helpful to peer reviewers. If the State has included relevant attachments in the Appendix, these should be described in the narrative below and clearly cross-referenced to allow the reviewers to locate them easily.

Evidence for (A)(1):

- The completed background data tables providing the State's baseline data for--
 - The number and percentage of children from Low-Income families in the State, by age (see Table (A)(1)-1);
 - The number and percentage of Children with High Needs from special populations in the State (see Table (A)(1)-2); and
 - The number of Children with High Needs in the State who are enrolled in Early Learning and Development Programs, by age (see Table (A)(1)-3).

- Data currently available, if any, on the status of children at kindergarten entry (across Essential Domains of School Readiness, if available), including data on the readiness gap between Children with High Needs and their peers.
- Data currently available, if any, on program quality across different types of Early Learning and Development Programs.
- The completed table that shows the number of Children with High Needs participating in each type of Early Learning and Development Program for each of the past 5 years (2007-2011) (see Table (A)(1)-4).
- The completed table that shows the number of Children with High Needs participating in each type of Early Learning and Development Program for each of the past 5 years (2007-2011) (see Table (A)(1)-5).
- The completed table that describes the current status of the State's Early Learning and Development Standards for each of the Essential Domains of School Readiness, by age group of infants, toddlers, and preschoolers (see Table (A)(1)-6).
- The completed table that describes the elements of a Comprehensive Assessment System currently required within the State by different types of Early Learning and Development Programs or systems (see Table (A)(1)-7).
- The completed table that describes the elements of high-quality health promotion practices currently required within the State by different types of Early Learning and Development Programs or systems (see Table (A)(1)-8).
- The completed table that describes the elements of a high-quality family engagement strategy currently required within the State by different types of Early Learning and Development Programs or systems (see Table (A)(1)-9).
- The completed table that describes all early learning and development workforce credentials currently available in the State, including whether credentials are aligned with a State Workforce Knowledge and Competency Framework and the number and percentage of Early Childhood Educators who have each type of credential (see Table (A)(1)-10).
- The completed table that describes the current status of postsecondary institutions and other professional development providers in the State that issue credentials or degrees to Early Childhood Educators (see Table (A)(1)-11).
- The completed table that describes the current status of the State's Kindergarten Entry Assessment (see Table (A)(1)-12).
- The completed table that describes all early learning and development data systems currently used in the State (see Table (A)(1)-13).

Narrative for (A)(1) begins here

Kentucky's commitment to early learning and development

Kentucky is pleased to submit this application for federal funding to support its Race to the Top --- Early Learning Challenge Plan. We do so as a state facing significant obstacles that we are determined to overcome. We currently rank 48th out of 50 states in median household

income, and 47th in the percentage of people over 25 who have completed high school. A greater proportion of children live in poverty in Kentucky – 26 percent – than in all but six other states. But we are also responding to the Early Learning Challenge as a state convinced that transforming our Early Learning and Development system is the key to breaking through the inter-generational cycles of poverty that constrain too many families across the Commonwealth. This is a hard-won conviction, borne of the results and promise we have seen in work we have done in this area going back more than two decades. We are proud of the great strides we have made in our system at different points in our recent past. We also realize these strides have not been sufficient: the data noted above underscore that we have yet to achieve the necessary breakthrough. We are submitting this grant application to help us do just that.

Kentucky has, like many states, faced challenges in maintaining spending in Early Learning and Development (ELD) Programs during the recent economic downturn. However, we have not let this decline in funding substantially decrease the number of Children with High Needs participating in Early Learning and Development Programs in Kentucky during this period. Per (A)(1)(a), and as indicated in accompanying Table (A)(1)-4, from fiscal year 2007 to 2011 total funding for Early Learning and Development in Kentucky decreased from \$228 million to \$185 million. Yet, per (A)(1)(b), and as demonstrated in Table (A)(1)-5), from 2007 through 2010 (the last year for which there is a complete set of data), the number of Children with High Needs participating in state funded Early Learning and Development programs increased slightly, from 126,049 to 126,128. Moreover, during this period, Kentucky's state agencies providing Early Learning and Development Programs have avoided implementing waiting lists, reducing provider payment rates, or moving to more restrictive eligibility criteria.

Kentucky's resolute pattern of staying the course in the face of severe fiscal shortfalls is no accident. It builds on the deep and abiding historical commitment that Kentucky has demonstrated in providing Early Learning and Development Programs for Children with High Needs and their families. Per (A)(1)(c), it will be helpful to survey the establishment of the Early Learning and Development legislation, policies, and practices that Kentucky currently has in place.

Head Start in Kentucky

The first cornerstone of Kentucky's current Early Learning and Development system is its Head Start program, which traces its roots back to the mid-1960s. Indeed, it was on April 24, 1964, on the front porch of Tom Fletcher's cabin on the outskirts of Inez in Martin County, Kentucky, that President Lyndon B. Johnson formally declared the federal government's War on Poverty, of which Head Start came to be a key component. The first Head Start programs came to Eastern Kentucky the following summer, in 1965. Starting from that initial base of a few programs operating in Appalachian counties during the summer months, the State's Head Start system now operates in all 120 counties, with 32 Head Start Programs and 12 Early Head Start Programs operating 429 centers serving 16,927 children.

Kentucky Education and Reform Act

The second cornerstone for Kentucky's current Early Learning and Development system was the Kentucky Education and Reform Act (KERA) of 1990. This was, at the time of its passage, the most profound statewide educational reform act in the country. In addition to establishing much more equitable patterns of school finance, new forms of school governance, and a set of statewide educational standards, KERA also created a state-funded preschool program. KERA's preschool program initially served four-year old children in families at or below 130 percent of the federal poverty line and three- and four-year old children with special needs. Subsequently, in 2006, program guidelines were expanded to include children up to 150 percent of the federal poverty line. Currently the program serves 23,342 children.

The results to date of KERA preschool have been notable. Researchers from the University of Kentucky launched a longitudinal study of KERA preschool in 1991 that followed the progress of 3,528 students. In a summative evaluation of the program's impact in 1999, they concluded that the program "has a positive effect on children's development during preschool, their readiness for kindergarten, and their social and academic progress through the fifth grade." More specifically, the researchers noted that:

1. "Children make significant progress across all areas (e.g., social, motor, cognition) when they are in the preschool program;
2. Children who attend the preschool programs are rated by their teachers as being as ready for kindergarten as their peers from higher income families;

3. Children who attend preschool programs continue to do as well in both social and academic skills as their peers through the fifth grade.”

The Kentucky Education Reform Act also established Kentucky’s system of Family Resource and Youth Service Centers in each school district where at least 20% of the students are eligible for free and reduced lunch. The primary goal of the Family Resource and Youth Service Centers is to remove nonacademic barriers to learning as a means to enhance student academic success. Each center offers a unique blend of programs and services determined by the needs of the population being served, available resources, location and other local characteristics. The mission of these school-based centers is to help academically at-risk students succeed in school by helping to minimize or eliminate non-cognitive barriers to learning. Support for early learning and successful transition to school has always been a key thrust of the Family Resource and Youth Service Center program. This was strengthened in 2008 when Governor Beshear signed Senate Bill 192 into law, which enabled Family Resource and Youth Service Centers to support preschool, after-school child care, families in training, family literacy services, and health services and referrals.

KIDS NOW

The third cornerstone for Kentucky’s current Early Learning and Development system was the Kentucky Invests in Developing Success Now (KIDS NOW) legislation, which passed in 2000. This legislation originated in recommendations of a task force set up by Governor Paul Patton in 1999 to identify additional elements in Kentucky’s Early Learning and Development system that would complement and ensure more social returns on the investments being made in the Head Start and KERA preschool programs. Significantly, the KIDS NOW legislation established that the programs and policy changes contained within it were to be funded on an ongoing basis with a dedicated stream amounting to 25 percent of Kentucky’s Phase I Tobacco Settlement.

Explicitly focusing on the needs of the whole child as well as the family in which the child was living, KIDS NOW augmented Kentucky’s Early Learning and Development system in a wide variety of ways. For the purposes of this summary it is worth reviewing the three main

thrusts of KIDS NOW as well as the ensuing activities and results to date of their signature components:

- Assuring maternal and child health via:
 - A folic acid campaign that currently provides counseling and / or supplementation to 75,000 mothers annually and reduced neural tube defects by 27% between 2000 and 2007;
 - A substance abuse treatment program currently serving more than 1,000 pregnant and postpartum women annually;
 - Immunizations for underinsured children, with over 40,000 children immunized to date;
 - The Oral Health Education and Prevention Program, with over 200,000 children provided with oral health screenings and fluoride applications to date, including 31,912 in 2010;
 - Universal newborn hearing tests, currently screening 99 percent of the 55,000+ children born in Kentucky annually.
- Supporting families via:
 - Health Access Nurturing Development Services (HANDS), a voluntary home visitation program for new and expectant parents that currently serves more than 11,000 families with more than 150,000 home visitations annually;
 - Relative to a comparison group of similarly at risk families in the state, first time parents participating in HANDS were
 - 35 percent less likely to have a premature infant;
 - 32 percent less likely to have a low birth weight infant;
 - 49 percent less likely to have a very low birth weight infant;
 - Relative to all other families statewide, first time parents participating in HANDS were
 - 69 percent less likely to experience infant mortality;
 - 50 percent less likely to visit the emergency room.
 - The Early Childhood Mental Health program that in the current fiscal year has made over 1,600 direct interventions, and in prior surveys has achieved an 88% success rate for keeping children who are at risk from expulsion enrolled

in the child care program, with 87% of the families enrolled in Early Childhood Mental Health reporting that their children were better at handling daily life;

- Child Advocacy Centers for children who have been sexually abused to mitigate the physical and mental health impact of sexual abused; Child Advocacy Centers served 4,889 children in 2010, 1,544 (31%) of whom were under five.
- Enhancing Early Care and Education via:
 - The creation of a Professional Development Framework for Early Learning and Development caregivers and teachers;
 - The Scholarship Fund for Early Child Care Providers that currently provides scholarships to more than 1,000 recipients annually, with 2,982 college scholarships and 1,054 non-college scholarships awarded and 918 being credentialed in 2010;
 - The Access to Child Care Subsidy that increases reimbursement to child care centers and licensed family child care homes that provide care to low income families by increasing the percentage of eligible children, with 23,932 families and 42,427 children served on average each month in 2010;
 - The First Steps program that each year provides services to over 12,000 children birth to age 3 with developmental disabilities, along with their families;
 - The Healthy Start in Child Care Health Consultation program that in 2010 provided more than 2,060 consultations and inspections on health, safety, and nutrition to child care providers and also taught 1,783 classes to 2,876 providers, parents and children;
 - Establishing a statewide network of local Community Early Childhood Councils (CECCs) to address the unique needs and strengths of local communities related to early childhood. Community Early Childhood Councils serve as a vehicle for bringing together many community members to support issues of importance to children and families. There are currently 67 CECCS serving a total of 91 counties in the Commonwealth. In addition to

the grants many of these receive from the state for various projects, six councils received \$50,000 grants to increase awareness of Kentucky's TQRIS in their counties;

- STARS for KIDS NOW, a Tiered Quality Rating and Improvement System (TQRIS) for licensed child care centers and family care homes; 1,003 providers currently participate in STARS for KIDS NOW and receive upwards of \$300,000 annually in incentive and achievement grants to support their improvement.

Governor's Task Force on Early Childhood Development and Education

A plan for additional refinements to Kentucky's Early Learning and Development system has been developed over the past two years. In early 2009, recognizing that ongoing improvement was needed to integrate and advance the Commonwealth's performance in this area, Governor Beshear commissioned a task force to assess and recommend improvements in Kentucky's system of Early Learning and Development services. The task force was led by Joseph Meyer, Secretary of the Education and Workforce Development Cabinet, and Janie Miller, Secretary of the Cabinet for Health and Family Services, and included representatives from all relevant government agencies, leading private providers, nonprofit advocacy organizations, business, philanthropy, etc. The group met 16 times over the course of 2009 and 2010 and submitted its recommendations in November 2010. These recommendations serve as the backbone for the plan that will be summarized in section (A)(2) below. (The Executive Summary of the final report of the Governor's Task Force on Early Childhood Development and Education may be found on pages 197-198 of the Appendix).

Pockets of promising innovation

Thus far we have been talking about statewide initiatives, but one of the strengths of Kentucky's system for Early Learning and Development has been bottom-up innovation from a diverse array of participants in the field. Prominent examples here that are also informing Kentucky's statewide plan include the following:

- Madison County Public Schools has taken the initiative to actively engage a wide array of child care providers, Head Start, state-funded preschool programs, parents and family

caregivers to align expectations and supports around school readiness. Participating institutions have each signed a Memorandum of Understanding that reflects their mutual commitment to getting the children they are supporting ready for school. (See pages 199-216 of the Appendix for more information on this innovative program.)

- Four Northern Kentucky school districts partner with a local early childhood organization which provides the other half of the preschool day at the same location that the children attend half day state-funded preschool. The organization provides high quality, nationally accredited early learning experiences aligned with the state-funded preschool curriculum. This provides the children additional time to practice the concepts that have been introduced in the state-funded preschool. In return, the school provides the classroom and all other school facilities, utilities, and janitorial support at no cost. Over 85% of the children enrolled in these programs for six months or longer were assessed at age-appropriate level in the cognitive, language and gross motor domains using the nationally normed assessment, Learning Accomplishment Profile.
- For the last four years, the United Way has funded coaching to quality initiatives across three counties, working primarily with low performing private early learning centers. The United Way provides early childhood experts that work with the directors and classroom staff to help them become star rated. United Way also provides some funding for classroom materials. In the last year alone, there was an 11% increase in the number of early learning programs that became STAR-rated (i.e., participate in the STARS for KIDS NOW TQRIS) across the three county region.

Status of Key Building Blocks in Kentucky's Early Learning and Development System

Through the above initiatives, Kentucky has established many of the building blocks for a high quality Early Learning and Development system, including Early Learning and Development Standards, Comprehensive Assessment Systems, health promotion practices, family engagement strategies, the development of Early Childhood Educators, Kindergarten Entry Assessments, and effective data practices. Per (A)(1)(d), more detail on each of these building blocks appears below.

- Early Learning and Development Standards: Kentucky has recognized the importance of developing a shared set of expectations for young children, drawn from current research, to provide the foundation for competencies critical to ensuring later academic success. First developed in 2003 by a statewide work group of representative stake holders in the arena of early childhood, the Kentucky Early Childhood Standards are designed as a framework to assist parents, early care, intervention, and education professionals, administrators, and others in understanding what children are able to know and do from birth through four years of age. The standards cover all ages from birth through four and address all Essential Domains of School Readiness (Table (A)(1)-6). In addition, the standards have been linked to the Kentucky Department of Education's K-12 Program of Studies (most recently linked to the common core for Mathematics and English Language Arts) and the National Head Start Outcomes.
- Comprehensive Assessment System: In 2006, early childhood experts developed Kentucky's Early Childhood Continuous Assessment Guide (see page 217 of the Appendix) which identifies a set of assessments aligned with state standards for each assessment purpose, including those used to promote child learning and development (Formative Assessments), those used to identify children for health and special services (Screening Measures), those used to monitor trends and evaluate programs and services (Measures of Environmental Quality and Quality of Adult-Child Interactions). Kentucky has also mapped the recommended classroom/instructional assessments to the Early Learning and Development Standards. Specific items within each assessment are aligned to the benchmark level by the publishers, and state early childhood experts review, revise and approve the final crosswalks. Table (A)(1)-7 conveys the existing integration of the Comprehensive Assessment System – including all four types of assessments – into state-funded preschool and Head Start.
- Health promotion practices: Kentucky leaders have long recognized that children must be healthy to be able to learn. This has been validated for children of all ages. Committed to supporting the “whole child”, Kentucky has addressed the role of health in early learning with programs to assure children are born healthy; promoting access to not only health care, but healthy and safe environments; and promoting healthy social-emotional as well as physical development. Thus the Early Learning and Development Programs have

targeted prevention of birth defects (folic acid, newborn metabolic screening), prevention of contagious diseases (immunizations for underinsured), prevention of early childhood caries (fluoride varnish and screening), health promotion and prevention through family support (home visiting, HANDS), prevention and early intervention for behavioral and emotional problems (Early childhood mental health), and technical assistance to child cares and schools on health issues (Child Care Health Consultation, obesity prevention). These initiatives reach every community and target Children with High Needs whether or not they are in an organized setting.

In addition, Governor Beshear has provided strong leadership to enroll more children in the Kentucky Child Health Insurance Program and Medicaid, despite the economic climate, out of recognition that children's preventative health care is more cost effective than treating chronic diseases later. In the last two years, the Governor's Oral Health Program, Healthy Smiles Kentucky, has supported funding for oral health projects with particular emphasis on Children with High Needs. These include a program to train general dentists in pediatric techniques to increase the number of dentists who will see children; community oral health coalitions which develop local solutions for oral health issues; a school-based fluoride varnish project that will reach some 25,000 Children with High Needs, and an innovative training program through the dental schools to identify, recruit, and support students from rural areas into dental schools who would return to rural areas to practice.

- Family engagement strategies: Kentucky is promoting family engagement to increase kindergarten readiness in three ways. First, progressing standards for family engagement are woven into the STARS for KIDS NOW system in order to ensure culturally and linguistically competent support and services that meets the needs of local communities (see Table (A)(1)-9) for a description of the standards at each tier as well as the base level mandates for state-funded preschool and Head Start). Second, the core knowledge and competencies expectations for the early childhood workforce outlined in the Kentucky's Early Childhood Professional Development Framework include teaching and learning topics related to family and community relationships. Third, the State has implemented a number of initiatives to promote family support and engagement statewide, such as:

- The Health Access Nurturing Development Services (HANDS) Home Visiting Program, a voluntary home visitation program for at-risk first time parents to promote the healthy pregnancies, improved family functioning, and healthy growth and development of the child.
- School-based Family Resource and Youth Services Centers, which offer a unique blend of programs and services determined by the needs of the population being served with the primary goal of these centers is to remove nonacademic barriers to learning as a means to enhance student academic success.
- Help Me Grow, now a statewide initiative that provides parents with Ages and Stages screeners, which was piloted in the Louisville metro area. In Louisville, Metro United Way provides parents with a series of questionnaires that help them keep track of their children's development from the age of 1 month to 5 years. The workgroup for statewide implementation is chaired by two members of the Kentucky Chapter of the American Academy of Pediatrics.
- Development of Early Childhood Educators: Created in 2001, the Kentucky's Early Childhood Professional Development Framework governs articulation, core content, credentials, scholarships and training for early learning professionals. College and non-college professional development aligned with this framework is delivered through a variety of partners including institutions of higher education, regional training centers, Child Care Resource and Referral agencies, Kentucky Educational Television and others in coordination with the Governor's Office of Early Childhood (Table (A)(1)-10) for full list of credentials offered in Kentucky and Table (A)(1)-11) for a list of institutions offering these credentials). To support professionals in pursuing development opportunities, Kentucky has an extensive scholarship program, administered by the Kentucky Higher Education Assistance Authority. This program provided \$1M to professionals in the field in 2011.
- Kindergarten Entry Assessment: In 2010, the Governor's Early Childhood Task Force developed a statewide school readiness definition (see page 218 of the Appendix) which was then adopted by the Governor and forms the foundation for Kentucky's forthcoming universal Kindergarten Entry Assessment. The definition covers all Essential Domains of School Readiness, including five developmental competencies necessary for success:

approach to learning; health and physical well-being; language and communication development; social and emotional development; and cognitive and general knowledge. The Governor's Task Force also recommended that the Kentucky Department of Education and the Kentucky Early Childhood Advisory Council work together to identify and implement a universal tool, aligned with the readiness definition, to measure children's readiness for success in kindergarten. The Kentucky Department of Education in conjunction with the Early Childhood Advisory Council is currently selecting this instrument and the Kentucky Board of Education will enact a regulation that will direct school districts to implement the assessment.

- Effective data practices: Kentucky has made progress in moving towards a unified data system with the ability to support quality improvement and increased rates of kindergarten readiness. Currently, there is a substantial amount of data being tracked about students and their families, professionals, and providers. For example (Table (A)(1)-13 for full detail):
 - Formative assessment, development and demographic information for students enrolled in state preschool and Head Start programs;
 - Professional development, educational attainment, workforce, and demographic information for professionals;
 - Environmental (e.g., structure, quality) and staff information for state preschool and Head Start programs, as well as child care providers participating in the current TQRIS.

Kentucky has also made progress in the next phase of data system implementation, which is to integrate data from each system using unique child, Early Childhood Educator, and program site identifiers. This effort exists within a larger initiative to build a statewide longitudinal database under the P-20 Data Collaborative, thereby allowing early childhood data to be linked with data from K-12 and post-secondary instructions. The system when complete will compose a “live”, transactional data warehouse that will make early childhood data immediately available for use by many types of stakeholders, including providers, researchers, policymakers, and parents.

- Tiered Quality Rating and Improvement System: Kentucky has had a TQRIS for its child care programs for over a decade called STARS for KIDS NOW (referred to as “STARS” here). STARS was launched as part of the KIDS NOW Initiative of 2000, and represents a collaborative effort to ensure that young children in Kentucky are in early care and education settings that are seeking ever-increasing quality. The STARS tiers of program quality are on a scale of 1 through 4 STARS (with 1 STAR as the lowest-quality tier). STARS tiers are based on the Kentucky Early Childhood Standards, in conjunction with the Early Childhood Environment Rating Scale (ECERS), Infant/Toddler Environment Rating Scale (ITERS), School-Age Care Environment Rating Scale (SACERS), and Family Day Care Environmental Rating Scale (FDCERS) rating scales to encompass a whole-child approach to school readiness, and reflect research that demonstrates what combination of criteria are essential for quality early childhood programs. The recommendations for the content of each level were constructed by a representative group of consumers, child care providers, non-profit group representatives, and others who work and live with young children, along with what existing research defined as measures of quality. Programs are assessed in the following areas: staff/child ratios, group size, curriculum, parent involvement, training/education of staff, regulatory compliance, and personnel practices. (See pages 219-221 of the Appendix for requirements for each STAR tier).

Table (A)(1)-1: Children from Low-Income³ families, by age		
	Number of children from Low-Income families in the State	Children from Low-Income families as a percentage of all children in the State
Infants under age 1	30,847	53.1%
Toddlers ages 1 through 2	59,730	53.1%
Preschoolers ages 3 to kindergarten entry	85,865	52.4%
Total number of children, birth to kindergarten entry, from low-income families	176,442	52.8%
<i>Source: NCCP calculations based on 2007-2009 American Community Survey 3-year PUMS data.</i>		

Table (A)(1)-2: Special populations of Children with High Needs		
<i>The State should use these data to guide its thinking about where specific activities may be required to address special populations' unique needs. The State will describe such activities throughout its application.</i>		
Special populations: Children who . . .	Number of children (from birth to kindergarten entry) in the State who...	Percentage of children (from birth to kindergarten entry) in the State who...
Have disabilities or developmental delays⁴	22,807	6.7%
Are English learners⁵	22,844*	7.1%
Reside on "Indian Lands"	N/A	N/A
Are migrant⁶	1,102 ages 0-5**	0.33%

³ Low-Income is defined as having an income of up to 200% of the Federal poverty rate.

⁴ For purposes of this application, children with disabilities or developmental delays are defined as children birth through kindergarten entry that have an Individual Family Service Plan (IFSP) or an Individual Education Plan (IEP).

⁵ For purposes of this application, children who are English learners are children birth through kindergarten entry who have home languages other than English.

⁶ For purposes of this application, children who are migrant are children birth through kindergarten entry who meet the definition of "migratory child" in ESEA section 1309(2).

Table (A)(1)-2: Special populations of Children with High Needs

The State should use these data to guide its thinking about where specific activities may be required to address special populations' unique needs. The State will describe such activities throughout its application.

Special populations: Children who . . .	Number of children (from birth to kindergarten entry) in the State who...	Percentage of children (from birth to kindergarten entry) in the State who...
Are homeless ⁷	12,352 under age 6***	3.6%
Are in foster care	Ages 0-5: 2,184****	0.63%

**Children 0-5 with one or more foreign born parents. Source Migration Policy Institute, MPI Data Hub, American Community Survey and Census Data on Foreign Born by State. KY English language learner data not collected ages 0-5.*
*** Federal Migrant Education Program Data Accountability Center 2009*
*** Federal Migrant Education Program 2005-2006. There are 1,102 migrant children under age 6 in Kentucky. We assumed an equal age distribution and multiplied by (4/5) to get an estimation of the number of children birth to K-entry*
****Campaign to End Homelessness 2009. There are 12,352 homeless children under age 6 in Kentucky. We assumed an equal age distribution and multiplied by (4/5) to get an estimation of the number of children birth to K-entry.*
***** HHS Administration for Children and Families 2009*

Table (A)(1)-3: Participation of Children with High Needs in different types of Early Learning and Development Programs, by age

Note: A grand total is not included in this table since some children participate in multiple Early Learning and Development programs.

Type of Early Learning and Development Program	Number of Children with High Needs participating in each type of Early Learning and Development Program, by age			
	Infants under age 1	Toddlers ages 1 through 2	Preschoolers ages 3 until kindergarten entry	Total
State-funded preschool <i>Data Source and Year: State preschool data, Dec. 1, 2010 count</i>	N/A	N/A	23,342	23,342
Early Head Start and Head Start ⁸ <i>Data Source and Year: Dec. 1, 2010 count by Kentucky Head Start Collaboration</i>	622	1437	17,127	19,186

⁷ The term “homeless children” has the meaning given the term “homeless children and youths” in section 725(2) of the McKinney-Vento Homeless Assistance Act (425 U.S.C. 11434a(2)).

⁸ Including children participating in Migrant Head Start Programs and Tribal Head Start Programs.

Table (A)(1)-3: Participation of Children with High Needs in different types of Early Learning and Development Programs, by age				
<i>Note: A grand total is not included in this table since some children participate in multiple Early Learning and Development programs.</i>				
Type of Early Learning and Development Program	Number of Children with High Needs participating in each type of Early Learning and Development Program, by age			
	Infants under age 1	Toddlers ages 1 through 2	Preschoolers ages 3 until kindergarten entry	Total
Programs and services funded by IDEA Part C and Part B, section 619 <i>Data Source and Year: Data Accountability Center 2009</i>	382	4695	18,865	23,942
Programs funded under Title I of ESEA <i>Data Source and Year: State preschool data, Dec. 1, 2010</i>	N/A	N/A	N/A	N/A
Programs receiving funds from the State's CCDF program <i>Data Source and Year: KICCS II 2011</i>	8,143	27,536	35,849	71,528
<i>CCDF data is not able to provide unduplicated counts for different age brackets. Unduplicated counts are only shown for the total number of students. In order to ensure that the total column in Table A(1)-3 matched the total column in Table A(1)-5, we proportionally allocated the difference between 81,586 (duplicated count) and the 71,528 (unduplicated count) among the different age categories in order to have the two numbers match. So, we took the $81,586 - 71,528 = 10,058$ difference and apply this difference to each age category proportionally.</i>				

Table (A)(1)-4: Historical data on funding for Early Learning and Development					
Type of investment	Funding for each of the Past 5 Fiscal Years				
	2007	2008	2009	2010	2011
Supplemental State spending on Early Head Start and Head Start⁹	No state funding	No state funding	No state funding	No state funding	No state funding

⁹ Including children participating in Migrant Head Start Programs and Tribal Head Start Programs.

Table (A)(1)-4: Historical data on funding for Early Learning and Development					
Type of investment	Funding for each of the Past 5 Fiscal Years				
	2007	2008	2009	2010	2011
State-funded preschool <i>Specify:</i>	\$75,127,000	\$75,127,000	\$75,127,000	\$72,531,300	\$71,806,300
State contributions to IDEA Part C	\$24,981,900	\$29,808,400	\$32,410,000	\$31,438,700	\$29,567,900
State contributions for special education and related services for children with disabilities, ages 3 through kindergarten entry*	\$4,793,1026	\$43,273,152	\$46,954,375	\$37,861,338	\$34,897,861
Total State contributions to CCDF¹⁰	\$27,645,200	\$29,889,000	\$23,333,400	\$18,904,700	\$17,921,000
State match to CCDF <i>Exceeded/Met/Not Met (if exceeded, indicate amount by which match was exceeded)</i>	\$10,569,000	\$12,771,500	\$5,348,400	\$2,083,900	\$1,574,400
TANF spending on Early Learning and Development Programs¹¹	\$59,720,900	\$88,721,500	\$22,211,000	\$28,289,500	\$31,784,100
Commission for Children with Special Health Care Needs – Early Hearing Detection and Intervention Program. Follow up to statewide newborn screening (tobacco funding up to FY 11; now agency and General Fund supported)	\$790,300	\$1,193,200	\$1,009,500	\$1,038,600	\$1,191,800

¹⁰ Total State contributions to CCDF must include Maintenance of Effort (MOE), State Match, and any State contributions exceeding State MOE or Match.

¹¹ Include TANF transfers to CCDF as well as direct TANF spending on Early Learning and Development Programs.

Table (A)(1)-4: Historical data on funding for Early Learning and Development					
Type of investment	Funding for each of the Past 5 Fiscal Years				
	2007	2008	2009	2010	2011
DPH HANDS - approximately 70 % is Restricted Funds from third party payers (Medicaid).	\$26,296,400	\$28,670,600	\$31,202,800	\$32,135,000	\$27,678,100
DPH Mental Health	\$891,300	\$772,800	\$1,486,700	\$1,072,400	\$935,400
DPH Children's Oral Health	\$ 244,000	\$ 184,600	\$ 816,800	\$ 437,800	\$ 304,600
DPH Child Care Health Consultation (Healthy Start in Childcare)	\$ 959,400	\$ 952,500	\$2,512,100	\$2,326,800	\$1,062,900
DPH Reach out and Read	\$ -	\$ 230,200	\$ 323,200	\$ 215,100	\$ 143,500
KIDS NOW PLUS (tobacco): substance abuse treatment and prevention for pregnant women	\$827,600	\$760,900	\$1,127,300	\$974,900	\$742,700
Total State contributions:	\$228,053,000	\$760,900	\$1,127,300	\$191,448,7000	\$184,712,700
<i>Source: Kentucky State Government Accounting System (eMARS) . Kentucky's fiscal year runs from July 1 through June 30.</i>					
<i>*Figures for state contributions for special education represent a percentage of the overall preschool funding and are therefore a subset of the data in line one for preschool.</i>					

Table (A)(1)-5: Historical data on the participation of Children with High Needs in Early Learning and Development Programs in the State					
<i>Note: A grand total is not included in this table since some children participate in multiple Early Learning and Development programs.</i>					
Type of Early Learning and Development Program	Total number of Children with High Needs participating in each type of Early Learning and Development Program for each of the past 5 years¹²				
	2007	2008	2009¹³	2010¹⁷	2011¹⁷
State-funded preschool <i>(annual census count; e.g., October 1 count)</i> <i>Specify:</i>	21,485	21,427	22,299	23,342	
Early Head Start and Head Start¹⁴ <i>(funded enrollment)</i>	16,228	16,254	16,199	16,927	
Programs and services funded by IDEA Part C and Part B, section 619 <i>(annual December 1 count)</i>	12,797 Part B 3-4 year olds 4,237 Part C	13,317 Part B 3-4 year olds 4,999 Part C	11,734 Part B 3-4 year olds 5,077 Part C	11,447 Part B 619 3-4 year olds 4,641 Part C	
Programs funded under Title I of ESEA <i>(total number of children who receive Title I services annually, as reported in the Consolidated State Performance Report)</i>	N/A	N/A	N/A	N/A	N/A
Programs receiving CCDF funds <i>(average monthly served)</i>	71,302	71,835	70,186	69,152	71,528
<i>Kentucky does not fund early childhood programs under Title I of the ESEA. Districts may use their Title I funds for pre-school and 26 of 174 do so. [Enter text here to indicate data source and clarify or explain any of these data if needed. Include 2011 if data are available. The final column of data should match that reported in Table (A)(1)-3.]</i>					
<i>Data for state funded preschool, Early Head Start, Head Start and program and services funded by IDEA Part C and B do not have data for 2011</i>					

¹² Include all Children with High Needs served with both Federal dollars and State supplemental dollars.

¹³ Note to Reviewers: The number of children served reflects a mix of Federal, State, and local spending. Head Start, IDEA, and CCDF all received additional Federal funding under the 2009 American Recovery and Reinvestment Act, which may be reflected in increased numbers of children served in 2009-2011.

¹⁴ Including children participating in Migrant Head Start Programs and Tribal Head Start Programs.

Table (A)(1)-6 : Current status of the State’s Early Learning and Development Standards			
<i>Please place an “X” in the boxes to indicate where the State’s Early Learning and Development Standards address the different age groups by Essential Domain of School Readiness</i>			
Essential Domains of School Readiness	Age Groups		
	Infants	Toddlers	Preschoolers
Language and literacy development	X	X	X
Cognition and general knowledge (including early math and early scientific development)	X	X	X
Approaches toward learning	X	X	X
Physical well-being and motor development	X	X	X
Social and emotional development	X	X	X
<i>[Enter text to explain or clarify information as needed]</i>			

Table (A)(1)-7: Elements of a Comprehensive Assessment System currently required within the State					
<i>Please place an “X” in the boxes to indicate where an element of a Comprehensive Assessment System is currently required.</i>					
Types of programs or systems	Elements of a Comprehensive Assessment System				
	Screening Measures	Formative Assessments	Measures of Environmental Quality	Measures of the Quality of Adult-Child Interactions	Other
State-funded preschool <i>Specify: See Kentucky’s Continuous Assessment Guide</i>	X	X	X		X (diagnostic)
Early Head Start and Head Start¹⁵	X	X	X	X	
Programs funded under IDEA Part C	X	X	N/A	N/A	
Programs funded under IDEA Part B, section 619	X	X	X		

¹⁵ Including Migrant and Tribal Head Start located in the State.

Table (A)(1)-7: Elements of a Comprehensive Assessment System currently required within the State					
<i>Please place an "X" in the boxes to indicate where an element of a Comprehensive Assessment System is currently required.</i>					
Types of programs or systems	Elements of a Comprehensive Assessment System				
	Screening Measures	Formative Assessments	Measures of Environmental Quality	Measures of the Quality of Adult-Child Interactions	Other
Programs funded under Title I of ESEA	X	X	X		
Programs receiving CCDF funds			X – see below (QRIS)		
Current Quality Rating and Improvement System requirements <i>Specify by tier (add rows if needed):</i>					
<i>Tier I (lowest tier)</i>					
<i>Tier II</i>			X		
<i>Tier III</i>			X		
<i>Tier IV</i>			X		
State licensing requirements	N/A	N/A	N/A	N/A	N/A
<i>[Edit the labels on the above rows as needed, and enter text here to clarify or explain any of the data, if necessary.]</i>					

Table (A)(1)-8: Elements of high-quality health promotion practices currently required within the State					
<i>Please place an "X" in the boxes to indicate where the elements of high-quality health promotion practices are currently required.</i>					
Types of Programs or Systems	Elements of high-quality health promotion practices				
	Health and safety requirements	Developmental, behavioral, and sensory screening, referral, and follow-up	Health promotion, including physical activity and healthy eating habits	Health literacy	Other
State-funded preschool <i>Specify</i>	X	X	X	X	Vision Exam
Early Head Start and Head Start		X	X		
Programs funded under IDEA Part C	N/A-Part C services are not provided in a center-based setting	X	X	X	
Programs funded under IDEA Part B, section 619	X	X	X	X	Vision Exam
Programs funded under Title I of ESEA	X	X	X	X	Vision exam
Programs receiving CCDF funds	X		X		
Current Quality Rating and Improvement System requirements <i>Specify by tier (add rows if needed):</i>	Level I Level II Level III Level IV		Level I Level II Level III Level IV	Level III Level IV	
State licensing requirements	X		X		
<i>[Edit the labels on the above rows as needed, and enter text here to clarify or explain any of the data, if necessary.]</i>					

Table (A)(1)-9: Elements of a high-quality family engagement strategy currently required within the State	
<p><i>Please describe the types of high-quality family engagement strategies required in the State. Types of strategies may, for example, include parent access to the program, ongoing two-way communication with families, parent education in child development, outreach to fathers and other family members, training and support for families as children move to preschool and kindergarten, social networks of support, intergenerational activities, linkages with community supports and family literacy programs, parent involvement in decision making, and parent leadership development.</i></p>	
Types of Programs or Systems	Describe Family Engagement Strategies Required Today
<p>State-funded preschool <i>Specify:</i></p>	<p>All families receive at least 2 home visits with the first one within 60 days of enrollment. School personnel must collaborate with medical, health, mental health, and social services. They must also provide parent with information about community services and resources. Program staff assist parents in coordinating interagency services for children and families. At least annually, parents are involved in evaluating the program effectiveness. Most schools also have a support system developed through the Family Resource Youth Services Centers (FRYSC) who help coordinate and provide assistance for families.</p>
<p>Early Head Start and Head Start</p>	<p>Head Start must:</p> <ul style="list-style-type: none"> - Involve parents in program policy-making and operations - Provide parent involvement and education activities responsive to the expressed needs of the parents - Provide opportunities for parents to enhance their parenting skills and understanding of the developmental needs and activities of their children and to share concerns about their children with program staff - Encourage parent involvement in health, nutrition, and mental health education. (1) Grantee and delegate agencies must - Provide medical, dental, nutrition, and mental health education programs for program staff, parents, and families - Provide parent education activities to assist individual families with food preparation and nutritional skills

Table (A)(1)-9: Elements of a high-quality family engagement strategy currently required within the State	
<p><i>Please describe the types of high-quality family engagement strategies required in the State. Types of strategies may, for example, include parent access to the program, ongoing two-way communication with families, parent education in child development, outreach to fathers and other family members, training and support for families as children move to preschool and kindergarten, social networks of support, intergenerational activities, linkages with community supports and family literacy programs, parent involvement in decision making, and parent leadership development.</i></p>	
Types of Programs or Systems	Describe Family Engagement Strategies Required Today
Programs funded under IDEA Part C	<p>Part C is a family-centered system. All children served by Part C receive individualized services in the natural environments with families as the primary focus of the interventions. Services are delivered using a primary service provider who teaches/coaches the family as they embed interventions within their daily routine. Families are integral members of all team meetings and services may address not only child needs but also family needs as related to the child. Part C service coordinators work with families to identify needed resources and supports in the community that may be needed by the family but are not funded by Part C. This ensures that a comprehensive family service plan is implemented. Families participate in family assessment of their concerns and priorities. Families are surveyed annually as a measurement of family outcomes (OSEP report).</p>
Programs funded under IDEA Part B, section 619	<p>Same as Preschool above</p>
Programs funded under Title I of ESEA	<p>26 districts have chosen to use Title I funds for pre-school</p>
Programs receiving CCDF funds	<p>A child care program shall provide a daily planned program of activities that offers a variety of activities including the use of electronic viewing or listening devices if the device is discussed with parents prior to viewing or listening. Child Care programs shall coordinate at least one (1) annual activity involving parental or family participation and post and provide to each parent a copy of children and parent rights, as required by KRS 199.898.</p>

Table (A)(1)-9: Elements of a high-quality family engagement strategy currently required within the State	
<p><i>Please describe the types of high-quality family engagement strategies required in the State. Types of strategies may, for example, include parent access to the program, ongoing two-way communication with families, parent education in child development, outreach to fathers and other family members, training and support for families as children move to preschool and kindergarten, social networks of support, intergenerational activities, linkages with community supports and family literacy programs, parent involvement in decision making, and parent leadership development.</i></p>	
Types of Programs or Systems	Describe Family Engagement Strategies Required Today
<p>Current Quality Rating and Improvement System requirements</p> <p><i>Specify by tier (add rows if needed):</i></p>	<p>Tier I -Coordinate at least one annual activity involving parental or family participation</p> <p>Tier II -Coordinate at least two annual activities involving parental or family participation and Provide documentation of a written plan for parental or family involvement</p> <p>Tier III -Coordinate at least three annual activities involving parental or family participation and document a procedure for use of parental or family feedback.</p> <p>Tier IV -Coordinate at least four annual activities involving parental or family participation</p>
<p>State licensing requirements</p>	<p>Same as CCDF above</p>
<p>Kentucky Early Childhood Professional Development Framework</p>	<p>See pages 222-314 of the Appendix</p>
<p><i>[Edit the labels on the above rows as needed, and enter text here to clarify or explain any of the data, if necessary.]</i></p>	

Table (A)(1)-10: Status of all early learning and development workforce credentials¹⁶ currently available in the State				
List the early learning and development workforce credentials in the State	If State has a workforce knowledge and competency framework, is the credential aligned to it? <i>(Yes/No/Not Available)</i>	Number and percentage of Early Childhood Educators who have the credential		Notes (if needed)
		#	%	
Interdisciplinary Early Childhood Education (birth to primary) teacher certificate	Yes	611	N/A	Teachers who hold the IECE certification in the state-funded preschool program. Note: Many more teachers have this certificate than are hired by preschool.
Interdisciplinary Early Childhood Education (birth to primary) Associates of Applied Science (AAS)	Yes	N/A	N/A	
Child Development Associate (CDA)*	Yes	N/A	N/A	Credential not issued by the state but instruction and both college and non-college scholarships are provided to acquire the CDA
Commonwealth Credential	Yes	960	N/A	Number of active credentials for SFY 2011 (expires annually, renewed with 15 clock hours) (see below)
Director's Credential	Yes	1182	N/A	Active credential since 2002 (credential does not expire)
Kentucky Early Care and Education Trainer's Credential	Yes	803	N/A	Active credentials as of SFY 2011 – Valid for three years can be renewed with 45 clock hours of training
<i>Commonwealth Child Care Credential (CCCC) can be obtained three ways: 1) available with a non-college scholarship payable to one of 15 statewide approved training organizations offering the 60 hours of a planned program of instruction 2) articulation agreements with higher education institutions (they determine course work that meets CCCC requirements) 3) Certificate of Eligibility from Secondary institution offering ECE career and technical classes. CDA credential is administered through the Center of Professional Recognition in Washington DC and the state of Kentucky was not able to receive this information from them. Total numbers of educators not available so percentages cannot be calculated.</i>				

¹⁶ Includes both credentials awarded and degrees attained.

Table (A)(1)-11: Summary of current postsecondary institutions and other professional development providers in the State that issue credentials or degrees to Early Childhood Educators		
List postsecondary institutions and other professional development providers in the State that issue credentials or degrees to Early Childhood Educators	Number of Early Childhood Educators that received an early learning credential or degree from this entity in the previous year	Does the entity align its programs with the State's current Workforce Knowledge and Competency Framework and progression of credentials? (Yes/No/ Not Available)
Ashland Community College	3 AAS	
Big Sandy Tech & Com. College	0	Yes
Bluegrass Comm. & Tech	16 AAS	Yes
Brescia University	0	Yes
Campbellsville University	17 IECE 2 AS	Yes
Eastern KY University	1 MAT 1 AAS 2 AS	Yes
Elizabethtown Comm. College	10 AAS	Yes
Gateway Community & Tech College	25 AAS	Yes
Hazard Comm. College	8 AAS	Yes
Henderson Comm. College	5 AAS	Yes
Hopkinsville Comm. College	29AAS	Yes
Jefferson Comm. College	28AAS	Yes
Kentucky St. University	0	Yes
Lindsey Wilson College	3 AA	
Madisonville Comm. College	9AAS	Yes
Maysville Comm. College	7AAS	Yes
Morehead State University	2 IECE	Yes

Table (A)(1)-11: Summary of current postsecondary institutions and other professional development providers in the State that issue credentials or degrees to Early Childhood Educators		
List postsecondary institutions and other professional development providers in the State that issue credentials or degrees to Early Childhood Educators	Number of Early Childhood Educators that received an early learning credential or degree from this entity in the previous year	Does the entity align its programs with the State's current Workforce Knowledge and Competency Framework and progression of credentials? (Yes/No/ Not Available)
Murray State University	7 IECE 1 AS	Yes
Northern KY University	0	Yes
Owensboro Comm. College	7 AAS	Yes
Somerset Community College	42 AAS	Yes
Southeast Community College	0	Yes
Spalding University	0	
Saint Catharine College	3 AAS	Yes
Sullivan University	Not reported	Yes
University of Kentucky	2 Masters 9 EDU	Yes
University of Louisville	0	Yes
West KY Community & Tech	0	Yes
Western KY University	16 Masters 21 BS 19 Cert 10 AA	Yes
<i>[Add additional rows as needed and enter text here to clarify or explain any of the data, if necessary.]</i>		

Table (A)(1)-12: Current status of the State’s Kindergarten Entry Assessment					
State’s Kindergarten Entry Assessment	Essential Domains of School Readiness				
	Language and literacy	Cognition and general knowledge (including early mathematics and early scientific development)	Approaches toward learning	Physical well-being and motor development	Social and emotional development
Domain covered? <i>(Y/N)</i>	N/A	N/A	N/A	N/A	N/A
Domain aligned to Early Learning and Development Standards? <i>(Y/N)</i>	N/A	N/A	N/A	N/A	N/A
Instrument(s) used? <i>(Specify)</i>	N/A	N/A	N/A	N/A	N/A
Evidence of validity and reliability? <i>(Y/N)</i>	N/A	N/A	N/A	N/A	N/A
Evidence of validity for English learners? <i>(Y/N)</i>	N/A	N/A	N/A	N/A	N/A
Evidence of validity for children with disabilities? <i>(Y/N)</i>	N/A	N/A	N/A	N/A	N/A
How broadly administered? <i>(If not administered statewide, include date for reaching statewide administration)</i>	N/A	N/A	N/A	N/A	N/A
Results included in Statewide Longitudinal Data System? <i>(Y/N)</i>	N/A	N/A	N/A	N/A	N/A
<i>Kentucky does not yet have a common kindergarten entry assessment. See Section (E)(1)</i>					

Table (A)(1)-13: Profile of all early learning and development data systems currently used in the State							
List each data system currently in use in the State that includes early learning and development data	Essential Data Elements						
	<i>Place an "X" for each Essential Data Element (refer to the definition) included in each of the State's data systems</i>						
	Unique child identifier	Unique Early Childhood Educator identifier	Unique program site identifier	Child and family demographic information	Early Childhood Educator demographic information	Data on program structure and quality	Child-level program participation and attendance
Kentucky Early Childhood Data System	x		x	x			x
National Data Set for Early Learning and School Age Programs (NACCRRAware©)			x			x	x
P-20 Data Collaborative	x		x	x			x
TOTS (First Steps Data System)	x	x	x	x			x
HANDS (Home Visitation) Data System	x	x	x	x			x
Early Care Education Training Records Information System		x	x		x		
*Northern Kentucky Early Childhood Data System	x	x	x	x			x
Kentucky Integrated Child Care System	x		x	x		x	x
<i>*Best practice regional model for statewide system</i>							

(A)(2) Articulating the State's rationale for its early learning and development reform agenda and goals. (20 points)

The extent to which the State clearly articulates a comprehensive Early Learning and Development reform agenda that is ambitious yet achievable, builds on the State's progress to date (as demonstrated in selection criterion (A)(1)), is most likely to result in improved school readiness for Children with High Needs, and includes--

(a) Ambitious yet achievable goals for improving program quality, improving outcomes for Children with High Needs statewide, and closing the readiness gap between Children with High Needs and their peers;

(b) An overall summary of the State Plan that clearly articulates how the High-Quality Plans proposed under each selection criterion, when taken together, constitute an effective reform agenda that establishes a clear and credible path toward achieving these goals; and

(c) A specific rationale that justifies the State's choice to address the selected criteria in each Focused Investment Area (C), (D), and (E), including why these selected criteria will best achieve these goals.

In the text box below, the State shall write its full response to this selection criterion. The State shall include the evidence listed below and describe in its narrative how each piece of evidence demonstrates the State's success in meeting the criterion; the State may also include any additional information it believes will be helpful to peer reviewers. If the State has included relevant attachments in the Appendix, these should be described in the narrative below and clearly cross-referenced to allow the reviewers to locate them easily.

Evidence for (A)(2)

- The State's goals for improving program quality statewide over the period of this grant.
 - The State's goals for improving child outcomes statewide over the period of this grant.
 - The State's goals for closing the readiness gap between Children with High Needs and their peers at kindergarten entry.
- Identification of the two or more selection criteria that the State has chosen to address in Focused Investment Area (C).
- Identification of the one or more selection criteria that the State has chosen to address in Focused Investment Area (D).
- Identification of the one or more selection criteria that the State has chosen to address in Focused Investment Area (E).
- For each Focused Investment Area (C), (D), and (E), a description of the State's rationale for choosing to address the selected criteria in that Focused Investment Area, including how the State's choices build on its progress to date in each Focused Investment Area (as outlined in Tables (A)(1)6-13 and in the narrative under (A)(1)) and why these selected criteria will best achieve the State's ambitious yet achievable goals for improving program quality, improving outcomes for Children with High Needs statewide, and closing the readiness gap between Children with High Needs and their peers.

Narrative for (A)(2) begins here

Kentucky's System of Improvement Will Enable Us To Achieve Our Ambitious Goals

The RTT-ELC competition has the goal of significantly increasing the number of Children with High Needs who are school ready, recognizing that achievement gaps start early and tend to grow if not addressed at a young age. There is a direct and causal link between the quality of the care setting and the development of the child – and that quality above a certain (high) threshold is required for children to develop at a rate sufficient to narrow kindergarten readiness gaps. Too many settings that currently serve Children with High Needs operate at quality levels below this threshold. As summarized below, we in Kentucky have developed credible and compelling plans -- building on the legacy of our work to date and even extending far beyond them -- that address the shortcomings and deficits in the current system to increase the quality of Early Learning and Development Programs serving Children with High Needs and move more of these children into high-quality programs.

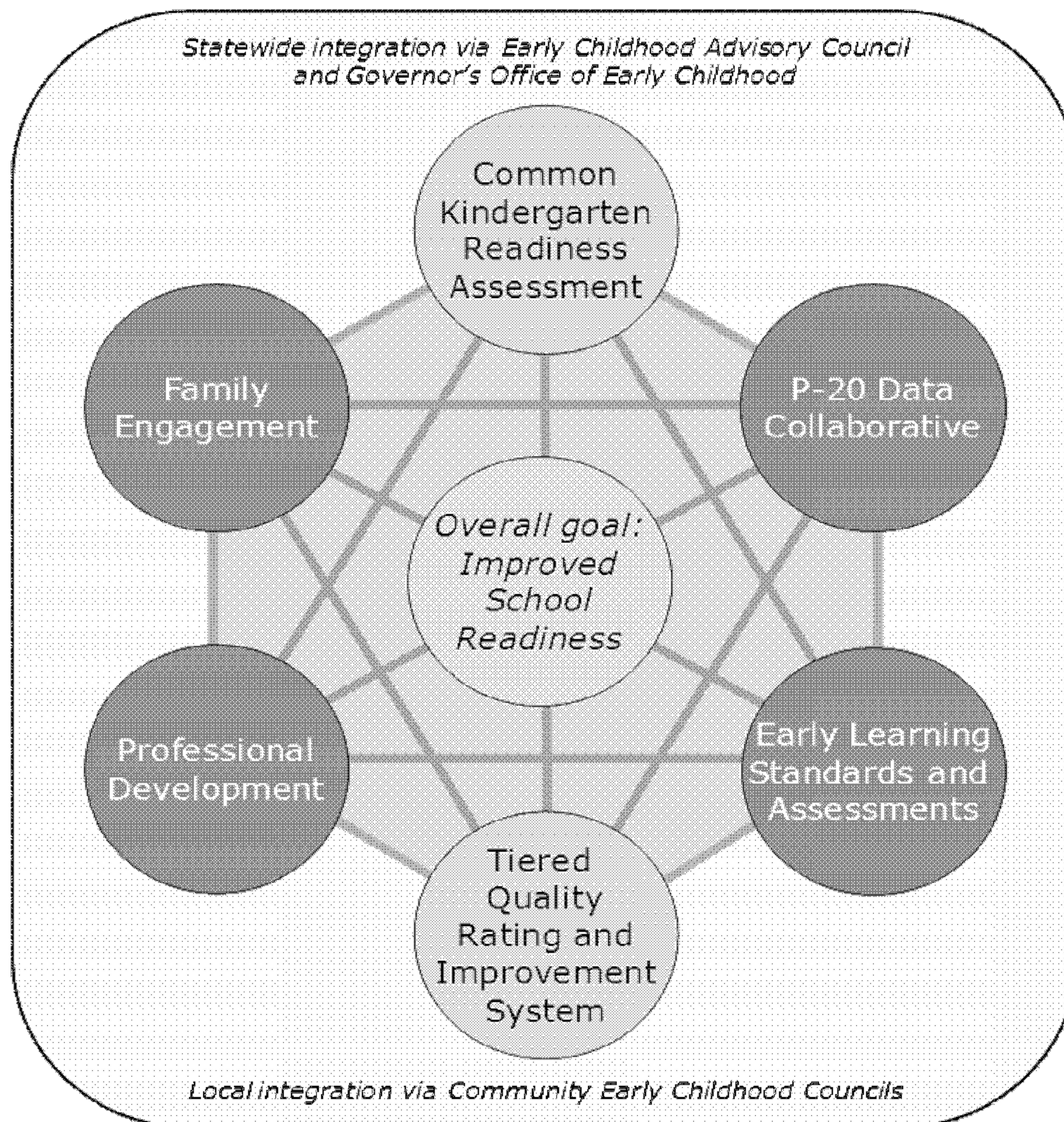
In order to improve quality levels across a large system in a significant and continuous manner, we are building a system of improvement - that is, credible mechanisms by which the quality of settings will increase over time, including, for example:

- The ability to measure and track school readiness for all children relative to validated standards on all relevant (holistic) dimensions that Kentucky has identified;
- The ability to measure and track the quality of the care settings relative to Program Standards, which in turn supports the ability for every provider to know what high-quality is and where they stand relative to this high bar;
- Technical assistance and professional development to help providers meet this standard of quality;
- A financial system that both creates the incentive for a care setting to elevate its quality and which provides the financial resources required to operate at such levels of quality;
- A workforce development plan to provide the workforce required to support a high-quality system;
- Family engagement strategies and supports to ensure that all families are effective in preparing their children for kindergarten.

With respect to the specifics of criterion **(A)(2)(a)**, Kentucky will use this system of

improvement to realize ambitious yet achievable goals for improving program quality, improving outcomes for Children with High Needs, and closing the readiness gap between Children with High Needs and their peers.

- The first step for Kentucky in this process is to increase the number of Early Learning and Development Programs participating in the state's TQRIS system. As indicated in Table (B)(2)(c), Kentucky plans to move this number from ~1,000 licensed and certified child care providers and Head Start programs to ~3,500, or 100 percent of licensed and certified child care providers receiving CCDF funds, Head Start programs, and state-funded preschool programs participating by 2013.
- Simple inclusion is not enough. As indicated in Table (B)(4)(c)(1), Kentucky also plans to encourage and incent Participating Programs to improve their quality, moving from ~840 of those participating in the top two tiers of quality in 2013 to ~920 of those participating in the two top tiers by 2015.
- Kentucky expects to increase the number of Children with High Needs participating in TQRIS-rated programs from 17,109, or 10 percent of Children with High Needs under 5, in 2012 to ~79,900, or 45 percent of Children with High Needs under 5, by the end of 2015.
- Through increasing participation and increasing quality, Kentucky also plans to increase the number of Children with High Needs participating in TQRIS programs in the top two tiers of quality as indicated in Table (B)(4)(c)(2) from 2,784 in 2012 to ~24,000 by the end of 2015.
- As a result of these shifts, Kentucky expects to increase school readiness rates for Children with High Needs over this period. Though measuring school readiness upon kindergarten entry is a key priority of the State Plan, Kentucky has yet to establish baseline data for kindergarten readiness rates. Because of this, the State has committed to a goal of annual progress, with this rate being 50 percent improvement in kindergarten readiness rates for children, including Children with High Needs, per year. Once the baseline rate is established, Kentucky will set annual targets for improvement in kindergarten readiness rates incorporating this commitment to 50 percent annual increases through 2015.
- Hitting these ambitious but achievable targets for increasing school readiness among



Children with High Needs is expected to reduce the relative gap between school readiness for these children and their peers by 15 percent per year over this same period. This measure will grow at a slower rate than the gains in readiness rates for Children with High Needs because we expect some aspects of the State Plan to also increase readiness rates among children other than those with High Needs.

Executive Summary: An Ambitious but Achievable Plan

Our plan constitutes an effective reform agenda that establishes a compelling and credible path toward achieving these ambitious goals. With respect to **(A)(2)(b)**, the following visual gives you an overall picture of our plan, which is then described in more detail.

The visual conveys two overarching aspects of Kentucky's plan. First, all the elements

in the plan are oriented around one central goal: improving school readiness, especially for Children with High Needs. Second, all the elements of the plan are intended to work together as part of an integrated system of improvement, with each element building on and reinforcing the contributions of the other elements.

The two anchoring elements of this system of improvement are called out in the blue circles at the top and bottom of the visual. A transformed TQRIS system will be the engine driving improvement across our Early Learning and Development Programs. This is not simply an expansion / extension of the STARS for KIDS NOW rating system described above, but rather a new and comprehensive system that encompasses all three “silos” – including state-funded preschool and Head Start programs as well as child care. All publicly-funded programs will participate in the TQRIS. The tier system will be set to drive the levels of quality needed to close readiness gaps. The funding flows and reimbursements for different levels of quality for all Participating Programs will be augmented and governed by the new TQRIS. Establishing a common Kindergarten Entry Assessment, one that takes into account all the Essential Domains of School Readiness, will complement the TQRIS and provide a universal “capstone” benchmark that can be used to assess the performance of our system of improvement, flag gaps that need to be addressed in particular programs and places, and identify best practices to replicate more broadly.

Alongside and linked to these two anchoring elements are four essential supporting elements. We plan to refresh and systematically roll out our Early Learning and Development Standards and the corresponding Comprehensive Assessment System. These changes will support and be reinforced by an integrated system for professional development across all of Kentucky’s programs and regions as well as more systematic use of the P-20 Data Collaborative to assess and improve our practices with data. Finally, we plan to emphasize family engagement strategies, recognizing that what a member of the Early Childhood Advisory Council has termed “The Department of Mom and Dad” is really the most important institution in all of this work. If our plan engages and enables families to help get their children ready for school, we will succeed in our goal, whereas if we fail to do this, nothing else we are planning will work very well.

Having provided an integrated overview, let’s now turn to look in more detail at the specifics of Kentucky’s plan in the context of the five criteria of the RTT-ELC competition.

Successful State Systems

On July 12, 2011, Governor Beshear issued an executive order that established the Early Childhood Advisory Council. (See pages 315-325 of the Appendix for a copy of this executive order.) The 26 members of the Early Childhood Advisory Council represent all relevant agencies within the government of the state involved with the Early Learning and Development (ELD) system as well as representatives of the provider, nonprofit, philanthropic, business, and civic leadership communities. As stated in the executive order, it is premised on the fact that “Kentucky can best achieve its objective of school readiness and child success through a coordinated approach to the delivery of early childhood development and education services to children for birth to school entry.” The Early Childhood Advisory Council’s broad mission as outlined in the executive order begins with “promoting the vision for Kentucky’s early childhood system” and “advocating for improved quality of early childhood services.” But the charge to the Early Childhood Advisory Council goes on to cover virtually all the strategic issues raised in this plan – the Governor wants, and indeed expects, the group to provide encompassing guidance and direction. Overseeing the development of the plan shared herein has been the first task that the Early Childhood Advisory Council has tackled. Kentucky’s Early Learning and Development system will be speaking through this council.

The organizational changes went further with the establishment of an operational arm -- the Governor’s Office of Early Childhood – charged with integrating Early Learning and Development Programs, services and supports across the multiple cabinets and departments that are delivering them within the state government. The Office of Early Childhood is led by the Executive Director of the Early Childhood Advisory Council, insuring integration with the broader body, and will serve as the Lead Agency for this grant.

The integration being achieved through the Early Childhood Advisory Council and the Office of Early Childhood at the state level will be mirrored at the local level with the planned revitalization of the Community Early Childhood Councils that were first established with KIDS NOW. These councils will foster grassroots awareness and community-driven support for early childhood development and school readiness, particularly for Children with High Needs, assessing and responding to data and ensuring that key community needs are met; identifying unmet needs and potential solutions to remove barriers; and providing outreach,

coordination, and orchestration support for local providers and families. The presence of vibrant Community Early Childhood Councils in each county in the State will also serve as a tremendous force for inclusion, bringing in providers, families, and children into the ELD system in a way that the Frankfort-based agencies cannot.

The integration driven by the establishment and development of the Early Childhood Advisory Council and the Office of Early Childhood, and the revitalization of the Community Early Childhood Councils, will ultimately provide a strong foundation for improvement on the other elements within our plan. These organizational developments will not on their own lead to better outcomes, but they will greatly enable them – and it is hard to see how they can be realized in the absence of these stronger systems.

High-Quality, Accountable Programs

As noted above, the transformation of Kentucky's existing TQRIS system is an anchoring element of this plan, and this change will create the engine for the "system of improvement" needed to realize the ambitious but achievable goals that Kentucky has set out for its Early Learning and Development Programs. Kentucky will achieve this transformation through the following steps:

- Establishing one common statewide set of Program Standards that incorporate the best of the different sets now being used in the state-funded preschool, Head Start, and child care program areas, with meaningful differentiation across tiers of quality;
- Including all publicly funded programs serving Children with High Needs in this new, integrated TQRIS system by equating the entry level tier with child care licensing, and encouraging participation of all publicly funded programs serving Children with High Needs;
- Rating and monitoring all Participating Programs using valid, reliable tools to measure performance against the newly established set of common Program Standards;
- Providing the financial incentives and technical assistance supports needed to help all Participating Programs progress to the higher tiers of quality needed to promote school readiness for Children with High Needs;
- Validating the effectiveness of the TQRIS by means of a formal evaluation to ensure that the system is meeting its goals and resulting in the program improvement required

to drive school readiness for Children with High Needs.

Clearly, the transformation of Kentucky's TQRIS will drive improvement, but it will also support integration by establishing and validating the foundational aspects of commonly held Program Standards and corresponding tiers that drive school readiness. Insofar as these developments will lead more Children with High Needs to be served by programs that are achieving this differential impact, this transformation will serve as a force for inclusion as well.

Promoting Early Learning and Development Outcomes for Children

Kentucky first developed an initial set of Early Learning and Development (ELD) Standards as part of the KIDS NOW initiative and has a comprehensive set of standards across all relevant dimensions for all age ranges birth to five. Implementation of these standards serves as a powerful potential source of improved outcomes for children. We recognize however, that for this potential to be realized, the Early Learning and Development Standards need to be updated and revised to reflect the latest thinking. They must be fully integrated into other parts of the state's ELD system, in particular, TQRIS Program Standards, curriculum, assessments, and professional development, and widely and effectively disseminated so that all providers and families are in a position to understand and use them to enhance the school readiness of the young children under their care.

Refreshing the Early Learning and Development Standards will enable the more effective uses of Comprehensive Assessment Systems that also figure prominently in Kentucky's plan. As the common standards are reviewed and revised the state will be able to establish a core set of effective assessment instruments appropriate for the purpose and population in question and help providers and parents understand and make use of those assessments in helping their children improve. As with the new commonalities being established with Program Standards and assessments, the commonalities in standards and assessments for the Early Learning and Development of individual children will also serve as a powerful force for integration as well as improvement.

Family engagement is a key lynchpin in Kentucky's plan for promoting Early Learning and Development outcomes for Children with High Needs. Indeed it is the single biggest

driver of inclusion in the entire plan. Family engagement will be enhanced in three ways in this plan: (1) by making it a central component of the revised Program Standards; (2) by equipping the Community Early Childhood Councils to engage in it more effectively – especially in regions characterized by high degrees of poverty and limited human service infrastructure, most notably Appalachia; and (3) through the Center for Community and Family Engagement leveraging the considerable array of programs that are already up and running in Kentucky’s Early Learning and Development system that are engaging families, like the Health Access Nurturing Development Services (HANDS) and the Family Resource and Youth Service Centers.

A Great Early Childhood Education Workforce

In this area, KIDS NOW gave Kentucky a head start ten years ago in fleshing out a professional development framework for early childhood educators and care givers. To drive necessary improvements in this part of the plan, though, that framework will be updated to reflect our evolving Early Learning and Development Standards, Program Standards and Comprehensive Assessment System. Kentucky also plans to update its career lattice for early childhood professionals and establish deeper articulation agreements with post-secondary institutions in ways that reflect and align with this framework. Another innovation that will create new opportunities for early childhood professionals and help develop the workforce as a whole is the creation of new credentials for coaching and online training. These credentials will support improvement and inclusion as they will enable great professional development to get further out into the field, in rural communities that are otherwise without these resources as well as into unorganized family care settings. The State will also continue to support early childhood professionals with scholarship opportunities so they can advance their careers in the context of the new professional development framework (see pages 222-314 for Kentucky’s Early Childhood Professional Development Framework.)

recommendation of the Governor's Early Learning and Development Task Force and the State Board of Education is committed to following through on it. The Department of Education will decide on an assessment in consultation with other stakeholders in the ELD system, it will administer the assessment beginning in Fall 2012. The data from this Kindergarten Entry Assessment will be collected in Kentucky's Student Information System which provides data to the P-20 Data Collaborative to allow for analysis. The universal administration of this common assessment along with carefully structured collection of and reflection on the data by teachers, school administrators, Early Childhood Educators and other Early Learning and Development program personnel, and parents will provide a tremendously rich feedback loop for the ELD system in every community across the state, thereby enabling ongoing improvements in school readiness over time. Moreover, insofar as it will serve as the "North Star" outcome for all the work being done in the ELD system, it will also stand as a powerful force for integration of work that, to date, has at times not been explicitly focused on the same converging objectives.

Along with the establishment of the Kindergarten Entry Assessment, the early childhood community will also take important steps to ensure that data from the early childhood system is tracked and used to guide continuous improvement. First, we will develop a statewide Early Childhood Data System (ECDS), which will allow for child level data to be entered into a transactional, live data system that can provide useful information back to stakeholders such as providers, policy-makers, and parents. This system will be partially based on a successful model already deployed in Northern Kentucky and will adhere to the "10 Fundamentals of Coordinated State Early Care and Education Data Systems" developed by the Early Childhood Data Collaborative. Second, we will collaborate with the P-20 Data Collaborative to create a longitudinal data warehouse that draws from the Early Childhood Data System. Kentucky's ELD stakeholders through the Early Childhood Advisory Council will be working to zero in on an initial set of questions they want to answer via the P-20 Data Collaborative, ascertain whether / where the data that could help answer those questions is available and how to bring it into the system, and finally, where the data is not available, how it can be gathered in a cost effective way. The P-20 Data Collaborative will facilitate these steps by including all of the Essential Data Elements and enabling uniform data collection and easy entry by participating agencies and programs.

Rationale for Kentucky's Focused Investment Areas

We have made specific choices for focused investment areas in this plan that we convey here per the specifics of criteria (A)(2)(c). For area (C), we have chosen to respond sub-criteria (1), (2), and (4). Fully implementing statewide, high-quality Early Learning and Development standards are an essential first step towards increased rates of kindergarten readiness for all children because they provide a common definition and roadmap towards readiness that can be incorporated by all aspects of the early learning system. Kentucky has already developed statewide, high-quality Early Learning and Development standards and will focus on continuing to embed these standards in other elements such as Program Standards for the transformed TQRIS. For these learning and development standards to lead to better results for children, providers must have assessment instruments and resulting data that align to these standards. For this reason, we have chosen to address (C)(2) in our State Plan. We have also addressed (C)(4) in the belief that Family Engagement Standards focused on Children of High Needs will be essential in beginning to break down barriers to success for these populations.

As noted in section (A)(1) above, Kentucky has an extensive set of programs geared to address the health, behavioral and developmental issues faced by Children with High Needs. Our State Plan will develop these further in multiple places. For example, the revised Program Standards include standards to guide programs in promoting children's physical, social, and emotional development. Kentucky will also address these needs in the Comprehensive Assessment System and family engagement initiatives. Because of the state of development of our current systems and the fact that activities to address the health, behavioral, and developmental needs of Children with High Needs are embedded throughout the State Plan, we chose to not directly respond to (C)(3) and instead emphasize investments in other elements of the state system in order to bring them up to par.

We chose to include both selection criteria in section (D) regarding the development of a Great Early Childhood Workforce. (D)(1) and (D)(2) are closely linked and essential to facilitate a workforce capable of driving kindergarten readiness. With the revision of Kentucky's Early Learning Standards in (C)(1) and implementation of Comprehensive Assessment Systems (C)(2), Kentucky's Professional Development framework will need to be adjusted to incorporate these elements. Also to more effectively reach the large rural, low-

income constituency within the State, especially in Central Appalachia, Kentucky will add a technical assistance credential encompassing coaching, consulting, and mentoring as well as a trainer credential focused on online learning to its current progression of credentials. For these reasons, Kentucky has chosen to address (D)(1) in this plan.

However, just having the framework and content in place will not drive the improvements in our workforce to realize our goals for kindergarten readiness. The delivery of the information and support to educators is critical, which is why criterion (D)(2) is a priority for the state. The current professional development network is fragmented across agencies and not aligned on strategic direction. By serving as a clearinghouse for professional development, there will be, in one central location, information systematically focusing on Educators in communities with Children with High Needs. By offering continued support through scholarships offered by the Kentucky Higher Education Assistance Authority, and publicly reporting aggregated information on Educators, Kentucky can improve the effectiveness and retention of Early Childhood Educators who work with Children with High Needs.

Finally, we also chose to address both criteria in section (E) because they are critical both in their own right and as components for a system of improvement that drives high-quality early learning experiences for all children and, as a result, increased rates of kindergarten readiness. A universal Kindergarten Entry Assessment (E)(1), aligned with the State's Early Learning and Development Standards and covering all Essential Domains of School Readiness, provides critical data for understanding both how Kentucky is progressing towards increases in rates of kindergarten readiness and how the Commonwealth can continue to improve its policies and practices to drive increases. An early learning data system (E)(2) provides the essential link between the data that is gathered – especially that resulting from the key initiatives in the State plan such as the revised TQRIS and Comprehensive Assessment System – and the stakeholders using the data, such as Early Childhood Educators, researchers, policymakers, and administrators. With this link, Kentucky can use information to drive continuous quality improvement and increased kindergarten readiness rates.

Identification of the two or more selection criteria that the State has chosen to address in Focused Investment Area (C):
Please check the box to indicate which selection criterion or criteria in Focused Investment Area (D) the

State is choosing to address

- (C)(1) Developing and using statewide, high-quality Early Learning and Development Standards.
- (C)(2) Supporting effective uses of Comprehensive Assessment Systems.
- (C)(3) Identifying and addressing the health, behavioral, and developmental needs of Children with High Needs to improve school readiness.
- (C)(4) Engaging and supporting families.

Identification of the one or more selection criteria that the State has chosen to address in Focused Investment Area (D):

Please check the box to indicate which selection criterion or criteria in Focused Investment Area (D) the State is choosing to address

- (D)(1) Developing a Workforce Knowledge and Competency Framework and a progression of credentials.
- (D)(2) Supporting Early Childhood Educators in improving their knowledge, skills, and abilities.

Identification of the one or more selection criteria that the State has chosen to address in Focused Investment Area (E):

Please check the box to indicate which selection criterion or criteria in Focused Investment Area (E) the State is choosing to address

- (E)(1) Understanding the status of children's learning and development at kindergarten entry.
- (E)(2) Building or enhancing an early learning data system to improve instruction, practices, services, and policies.

(A)(3) Aligning and coordinating early learning and development across the State. (10 points)

The extent to which the State has established, or has a High-Quality Plan to establish, strong participation and commitment in the State Plan by Participating State Agencies and other early learning and development stakeholders by--

(a) Demonstrating how the Participating State Agencies and other partners, if any, will identify a governance structure for working together that will facilitate interagency coordination, streamline decision making, effectively allocate resources, and create long-term sustainability and describing--

- (1) The organizational structure for managing the grant and how it builds upon existing interagency governance structures such as children's cabinets, councils, and commissions, if any already exist and are effective;

(2) The governance-related roles and responsibilities of the Lead Agency, the State Advisory Council, each Participating State Agency, the State's Interagency Coordinating Council for part C of IDEA, and other partners, if any;

(3) The method and process for making different types of decisions (*e.g.*, policy, operational) and resolving disputes; and

(4) The plan for when and how the State will involve representatives from Participating Programs, Early Childhood Educators or their representatives, parents and families, including parents and families of Children with High Needs, and other key stakeholders in the planning and implementation of the activities carried out under the grant;

(b) Demonstrating that the Participating State Agencies are strongly committed to the State Plan, to the governance structure of the grant, and to effective implementation of the State Plan, by including in the MOU or other binding agreement between the State and each Participating State Agency--

(1) Terms and conditions that reflect a strong commitment to the State Plan by each Participating State Agency, including terms and conditions designed to align and leverage the Participating State Agencies' existing funding to support the State Plan;

(2) "Scope-of-work" descriptions that require each Participating State Agency to implement all applicable portions of the State Plan and a description of efforts to maximize the number of Early Learning and Development Programs that become Participating Programs; and

(3) A signature from an authorized representative of each Participating State Agency; and

(c) Demonstrating commitment to the State Plan from a broad group of stakeholders that will assist the State in reaching the ambitious yet achievable goals outlined in response to selection criterion (A)(2)(a), including by obtaining--

(1) Detailed and persuasive letters of intent or support from Early Learning Intermediary Organizations, and, if applicable, local early learning councils; and

(2) Letters of intent or support from such other stakeholders as Early Childhood Educators or their representatives; the State's legislators; local community leaders; State or local school boards; representatives of private and faith-based early learning programs; other State and local leaders (*e.g.*, business, community, tribal, civil rights, education association leaders); adult education and family literacy State and local leaders; family and community organizations (*e.g.*, parent councils, nonprofit organizations, local foundations, tribal organizations, and community-based organizations); libraries and children's museums; health providers; and postsecondary institutions.

In the text box below, the State shall write its full response to this selection criterion. The State shall include the evidence listed below and describe in its narrative how each piece of evidence demonstrates the State's success in meeting the criterion; the State may also include any

additional information it believes will be helpful to peer reviewers. If the State has included relevant attachments in the Appendix, these should be described in the narrative below and clearly cross-referenced to allow the reviewers to locate them easily.

In scoring the selection criterion, peer reviewers will determine, based on the evidence the State submits, whether each element of the selection criterion is implemented or planned; the quality of the implementation or plan (see the definition of a High-Quality Plan for the components reviewers will be judging); the extent to which the different types of Early Learning and Development Programs in the State are included and addressed; and the extent to which the unique needs of the State's special populations of Children with High Needs are considered and addressed. The State is responsible for providing clear and detailed information to assist the peer reviewers in making these determinations.

Evidence for (A)(3)(a) and (b):

- For (A)(3)(a)(1): An organizational chart that shows how the grant will be governed and managed.
- The completed table that lists governance-related roles and responsibilities (see Table (A)(3)-1).
- A copy of all fully executed MOUs or other binding agreements that cover each Participating State Agency. (MOUs or other binding agreements should be referenced in the narrative but must be included in the Appendix to the application).

Evidence for (A)(3)(c)(1):

- The completed table that includes a list of every Early Learning Intermediary Organization and local early learning council (if applicable) in the State and indicates which organizations and councils have submitted letters of intent or support (see Table (A)(3)-2).
- A copy of every letter of intent or support from Early Learning Intermediary Organizations and local early learning councils. (Letters should be referenced in the narrative but must be included in the Appendix with a table.)

Evidence for (A)(3)(c)(2):

- A copy of every letter of intent or support from other stakeholders. (Letters should be referenced in the narrative but must be included in the Appendix with a table.)

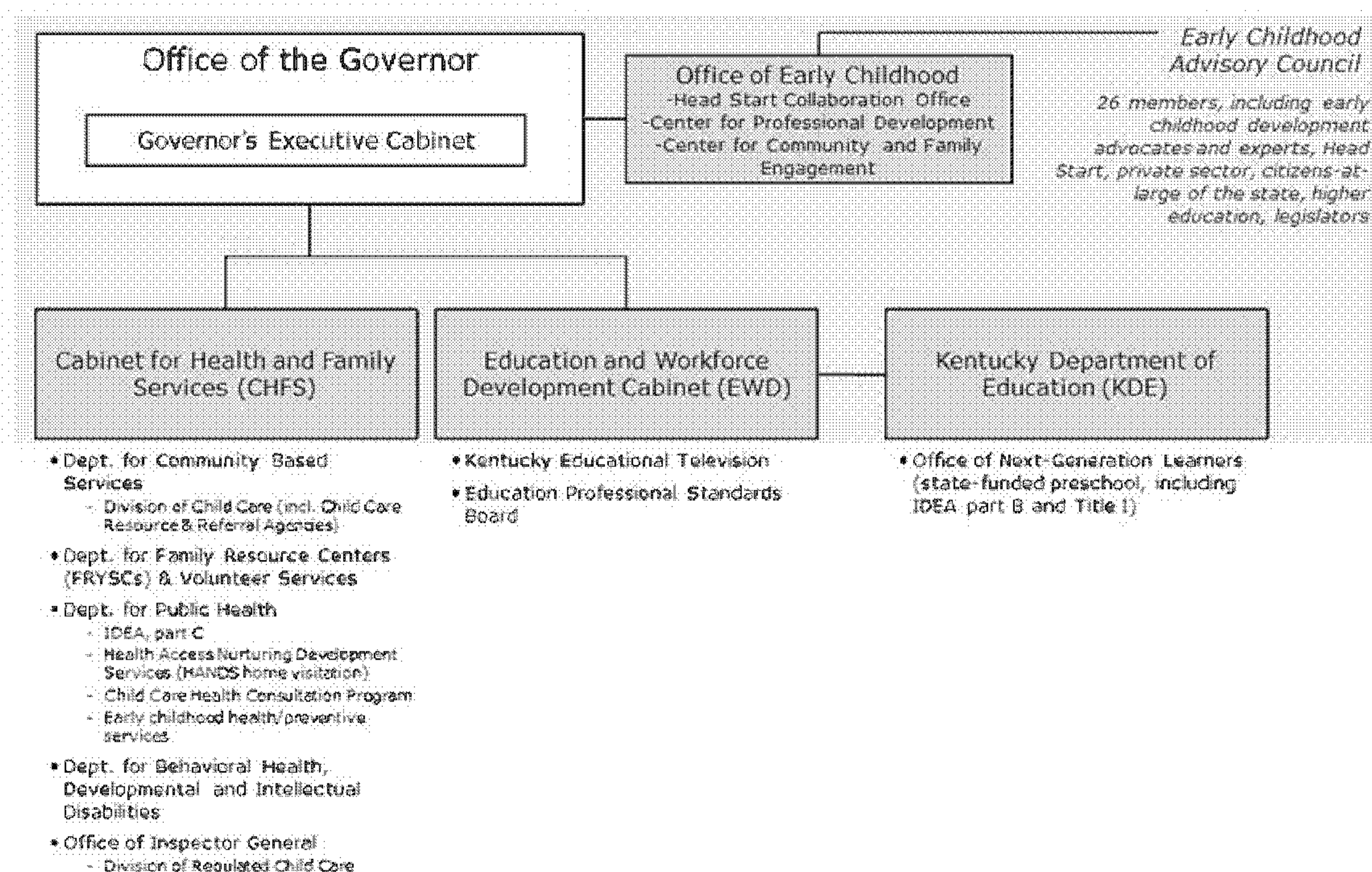
Narrative for (A)(3) begins here

How Kentucky Has Organized Itself to Carry Out the State Plan

As outlined above, Kentucky's approach to early learning and development is multifaceted, taking into account full set of considerations and outcomes for each child. As such there will be a multi-faceted set of agencies involved in the planning and implementation, each bringing their own expertise, networks, and relationships with families and children to bear on behalf of families and Children with High Needs. With this multi-faceted approach, integration

will obviously be key. This integration was accelerated two years ago with the work of Governor Beshear's Task Force on Early Childhood Development and Education, which drew together representatives from all relevant government agencies, the social sector, and the private sector in Kentucky to develop a statewide approach and plan to identify address key early learning and development needs. Per (A)(3)(a)(1), the following graphic presents the integrated organizational structure that Kentucky will use to administer the State Plan.

Kentucky Early Learning and Development Organizational Chart



The following paragraphs describe the key offices and units in this organizational structure, as well as the governance-related roles and responsibilities within it (per (A)(3)(a)(2)).

The Governor's Office of Early Childhood, recently established by Governor Beshear to integrate early childhood efforts across his administration, will serve as the Lead Agency for this grant and implementing the work that will be funded by it. It will define, prioritize, and orchestrate the desired impact across the different components in Kentucky's early learning and development systems, the Participating Agencies within state government, and stakeholders and programs across the state.

As noted above, to help further integrate the work across sectors at the statewide level, Governor Beshear also established, by executive order, the Early Childhood Advisory Council and it will provide guidance and direction to the Office of Early Childhood. The integration here is straightforward, as the Executive Director of the Office of Early Childhood also serves as Executive Director of the Advisory Council; in effect, the Advisory Council serves as the governing board of directors for the Office of Early Childhood. The Advisory Council's multifaceted membership plays an important part in this integration strategy by bringing all relevant Participating State Agency stakeholder views to the table. The Early Childhood Advisory Council is now meeting monthly. Over the past three months it has taken up and provided extensive input into this application, and its subcommittees are currently developing plans to carry it out.

The Early Childhood Advisory Council will also serve as the reporting link for the State's Interagency Coordinating Council for part C of IDEA, which will provide the Executive Director of the Advisory Council with advice and assistance on the administration of part C of IDEA pursuant to federal regulations.

It is also important to note that Kentucky's Cabinets of Health and Family Services and Education and Workforce Development and the Kentucky Department of Education will also participate in the governance structure of this grant insofar as their respective leaders serve on the Early Childhood Advisory Council as fully participating members.

Per (A)(3)(a)(3), the method and process for making different types of decisions (e.g., policy, operational) and resolving disputes in this organizational and governance structure is as follows.

The Lead Agency for this grant, the Governor's Office of Early Childhood, will orchestrate and make decisions that cut across the participating cabinet agencies with respect to overall strategy, implementation planning, changes to the existing plan, and ongoing budgeting for initiatives undertaken pursuant to the grant. The Office of Early Childhood will inform its decisions by proactively seeking the input of the leaders and key staff of the other Participating Agencies, as well as from the members of Early Childhood Advisory Council, on which the relevant cabinet secretaries and commissioner of education are represented. In any instances where the Office of Early Childhood is not able to reach a consensus with the participating

cabinet-level agencies on to how to proceed, the decision will be made by the Secretary of the Governor's Executive Cabinet, the highest appointed position in the executive branch.

For decisions bearing on the implementation and adjustments of this plan that do not directly involve other participating cabinet agencies, the cabinet agency concerned will make the decision, ensuring that it is informed with the input of the Office of Early Childhood and other agencies as necessary to make the best possible decision.

Per (A)(3)(a)(4), the monthly meetings of the Early Childhood Advisory Council, and its seven functional subgroups, will continue to be the primary venue for when and how the State will involve representatives from Participating Programs, Early Childhood Educators or their representatives, parents and families, including parents and families of Children with High Needs, and other key stakeholders in the planning and implementation of the activities carried out under the grant. The members of the Advisory Council either are themselves, represent, or regularly engage participating programs, educators, and family groups, and the Advisory Council was expressly designed to be a rich conduit for two-way information about the elements and implementation of the work mapped out in this plan.

Participating State Agencies Are Strongly Committed to the State Plan

This plan is clearly going to be an intensively cross functional effort. Kentucky's participating agencies are used to working in this fashion. The leader of the Governor's Office of Early Childhood, the Secretaries leading the Cabinets for Health and Family Services and Education and Workforce Development, and the Commissioner of Education all served on the Governor's Task Force and presently serve together on the Early Childhood Advisory Council. Each of these agencies and their leaders have actively participated in the development of this plan and are strongly committed to implementing it. Per (A)(3)(b), this commitment is borne out in the strong MOU that all the Participating State Agencies have signed -- an exact replica of the suggested format in the original application, with no modifications -- as well as the detailed scopes of work that are embedded in each MOU. Copies of the four signed MOUs -- from the Office of Early Childhood, the Cabinet of Health and Family Services, the Education and Workforce Development Cabinet, the Kentucky Department of Education -- all appear with their respective embedded scopes of work on pages 1 through 24 of the Appendix.

As indicated in the organizational chart, all other state agencies whose participation is needed to carry out this plan are subunits of one of the four. MOU signatories, who as part of their MOU and scope of work, are obligated to ensure that all their respective offices carry out the responsibilities assigned to them pursuant to this plan. More broadly, for programs outside of the state government that will be delivering services to children and families with public funding, they will automatically be participating in the overall approach insofar as licensing requirements will automatically have them participating in the TQRIS system.

Key Stakeholders Also Support The Plan

This application has the strong support of a broad group of stakeholders that will assist Kentucky in reaching the ambitious yet achievable goals outlined in response to selection criterion. Per (A)(3)(c), accompanying tables (A)(3)-2 and (A)(3)-2a list the organizations that have submitted letters of support, including the Early Childhood Advisory Council, 28 Community Early Childhood Councils, 9 local chambers of commerce, 13 universities, the Kentucky Head Start Association, and the STRIVE Partnership. Jefferson County Public Schools and the Mayor of Louisville, representing our biggest school district and largest city, have expressed strong support for the State Plan. So have organizations working with families and early childhood educators in the Appalachian region, including Save the Children, Red Bird Mission, and the Eastern Kentucky Childcare Coalition. (See Appendix pages 25-28 for the table of letters of support from Early Learning Intermediary Organizations including Community Early Childhood Councils, pages 29-72 for the copies of the letters of support from Early Learning Intermediary Organizations, pages 73-76 for Table (A)(3)-2a, the table of letters of intent/support from other stakeholders, and pages 77-196 for copies of the letters of support/intent from other stakeholders.)

Of particular note are the philanthropic institutions represented on the roster of those who have submitted strong letters of support, including the United Way of Kentucky, 12 local United Ways, and the corporate philanthropy representatives of LG&E KU (the state's largest utility), Toyota Motor Manufacturing, and JP Morgan Chase. Kentucky has already started engaging these organizations to support this effort and, based on the initial discussions, we expect substantial contributions to complement the federal funding in carrying out the plan. Terry Tolan, the director of the Governor's Office of Early Childhood as well as the Executive Director

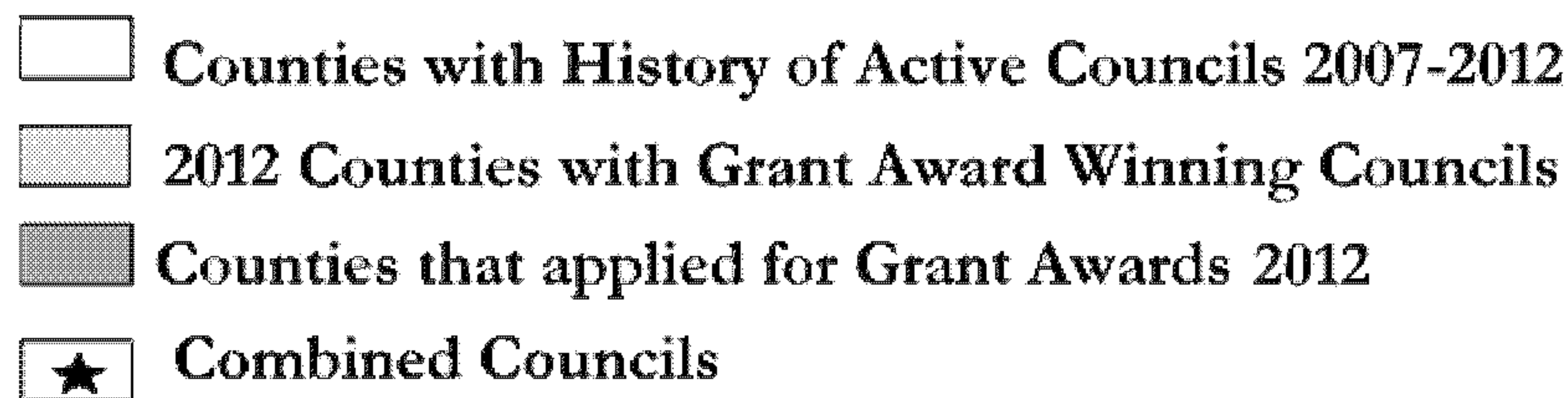
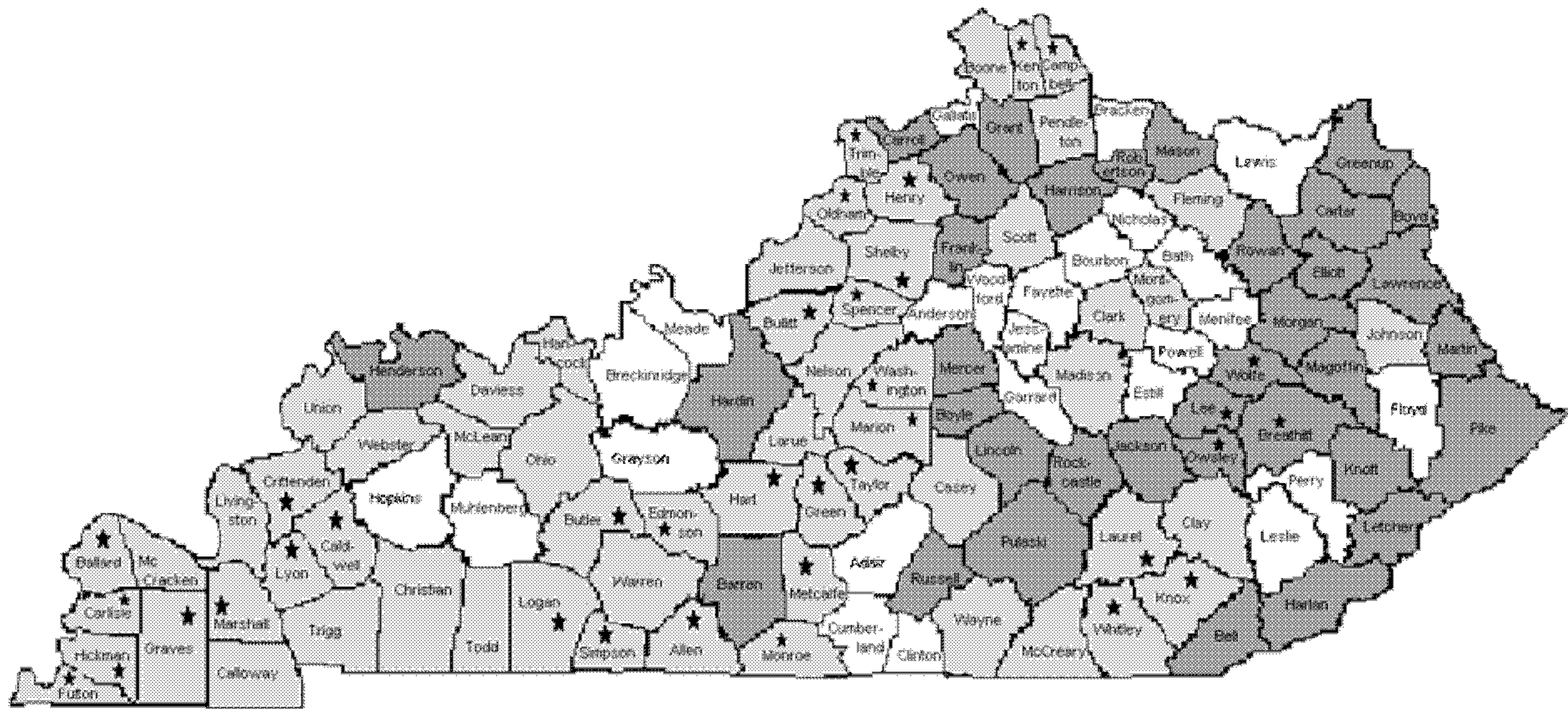
of the Early Childhood Advisory Council, formerly led the United Way of Kentucky, where she spearheaded philanthropic efforts to support Kentucky's earlier advances in developing its Early Learning and Development system. Part of the reason Ms. Tolan was appointed to direct the State's Lead Agency was to use her network and prior experience to catalyze private support for these public initiatives.

Plan to Revitalize the Community Early Childhood Coordinating Councils

Recognizing that they would have specific roles to play in carrying out this application, Kentucky has also solicited strong letters of intent from the Kentucky Association of School Boards, the Kentucky Association of School Superintendents, the Kentucky Association of School Administrators, and Kentucky Educational Television. Their letters point to the deep commitment of these organizations and respective constituents to doing their part to close the school readiness gap for Children with High Needs.

As described above, key organizational elements, support and commitment needed to successfully implement Kentucky's ambitious but achievable plan at the state level are in place. However, Kentucky also recognizes that in the end, all early learning and development for children is provided locally, not at the state level, and it is as, if not more important to have a structure in place to integrate and improve Early Learning and Development Programs in each community.

Toward this end, Kentucky has developed a credible plan to revitalize and enhance its longstanding system of Community Early Childhood Councils. Established in 2001 as part of KIDS NOW, currently there are 67 CECCs in Kentucky serving all 120 counties. As an important part of its overall plan to improve school readiness for Children with High Needs, Kentucky will expand its network of Community Early Childhood Councils so that they cover the entire state and ensure that these councils have the capacity to undertake core activities and learn from each other's demonstrated best practices to provide effective support and service integration to Children with High Needs and their families in every community across the Commonwealth.



Our plan is that every community will have a Community Early Childhood Council, and that each council will be a local implementation support hub for the early childhood learning development approaches reflected in this plan. Each council will have an appropriately broad-based membership that reflects the full scope of the State’s holistic approach to early learning and development. They will be public-private partnerships with membership committed to increasing school-readiness rates, particularly for high-need children.

Envisioned roles and contributions for the Community Early Childhood Councils in Kentucky’s plan include:

- Fostering grassroots awareness and community-driven support for early childhood development and school readiness, particularly for high-need children;
- Assessing and responding to data and ensuring that key community needs are met (e.g., through population-level analysis);
- Identifying unmet needs and potential solutions to remove barriers; providing coordination and orchestration support for coaching, training, technical assistance (including assessment

administration and support), professional development, program rating and monitoring, family outreach, and resource procurement support for programs and families.

Currently, not every community in Kentucky has a Community Early Childhood Council that is capable of making these contributions. To help ensure that they do, the Office of Early Childhood will create regional and statewide networks of Community Early Childhood Councils to ensure best-practice sharing and collaboration across the 66 councils. The Office of Early Childhood / Early Childhood Advisory Council will also facilitate capacity building and professional development programs to support the councils to ensure that each meets a minimum quality and capacity threshold.

The key milestones and timeline for implementing this plan to bolster Kentucky's network of local councils are as follows:

- By year end 2012:
 - Establish best practices and expected contributions for each Community Early Childhood Councils with accompanying self-assessment scorecard and development program
 - Reset state grant-making to Community Early Childhood Councils to encourage and support local development initiatives consistent with these best practices and expected contributions
 - Establish, expand and / or consolidate Community Early Childhood Councils so that every community in Kentucky is covered by their activities
- By year end 2013
 - Develop and deliver tailored capacity building and professional develop support to every Community Early Childhood Council, based on their current stage of development
 - Establish state-wide platform for sharing of best practices across Community Early Childhood Councils
- By year end 2014 and ongoing
 - Further refine documented best practices and expected contributions of Community Early Childhood Councils based on lessons learned to date in implementation of the plan

- Reflect lessons learned in ongoing capacity building and professional development support for Community Early Childhood Councils

Initial estimates of financial resources needed to support this plan:

- \$11 million in one-time costs supported by this grant to
 - Support expansion of coverage across all communities in Kentucky
 - Establish best practices, expected contributions, Community Early Childhood Council self-assessment and development tools
 - Develop and deliver initial capacity building and professional development programs
- \$1 million in ongoing annual costs to help Community Early Childhood Councils develop and enhance their contributions (note that funds supporting current grant program could be repurposed for this work on an ongoing basis).

Table (A)(3)-1: Governance-related roles and responsibilities	
Participating State Agency	Governance-related roles and responsibilities
Governor's Office of Early Childhood	<p>Serve as the Lead Agency for the RTT-ELC grant</p> <p>Define, prioritize, integrate, and orchestrate impact across the different components of Kentucky's early childhood system including the Participating Agencies within state government and stakeholders and programs across the state.</p> <p>Make decisions that cut across the participating cabinet agencies and departments with respect to overall strategy, implementation planning, changes to the existing plan, and ongoing budgeting for initiatives undertaken pursuant to the grant.</p> <p>Actively solicit the input and perspectives of the other Participating State agencies in making these decisions.</p> <p>Provide input to cabinets and departments on decisions that do not directly involve other participating agencies.</p>
Cabinet for Health and Family Services	Provide input to the Governor's Office of Early Childhood on any cross-cutting decisions and activities being planned for or undertaken by the Cabinet and its constituent units,

Table (A)(3)-1: Governance-related roles and responsibilities	
Participating State Agency	Governance-related roles and responsibilities
	<p>both directly and through the Cabinet Secretary’s participation as a member of the Early Childhood Advisory Council.</p> <p>Make decisions bearing on the implementation and adjustments of this plan within the Cabinet that do not directly involve other participating cabinet agencies, ensuring that decision is informed with the input of the Office of Early Childhood and other agencies as necessary to make the best possible decision.</p>
Kentucky Department of Education	<p>Provide input to the Governor’s Office of Early Childhood on any cross-cutting decisions and activities being planned for or undertaken by the Department and its constituent units, both directly and through the Commissioner of Education’s participation as a member of the Early Childhood Advisory Council.</p> <p>Make decisions bearing on the implementation and adjustments of this plan within the Department that do not directly involve other participating agencies, ensuring that decision is informed with the input of the Office of Early Childhood and other agencies as necessary to make the best possible decision.</p>
Education and Workforce Development Cabinet	<p>Provide input to the Governor’s Office of Early Childhood on any cross-cutting decisions and activities being planned for or undertaken by the Cabinet and its constituent units, both directly and through the Cabinet Secretary’s participation as a member of the Early Childhood Advisory Council.</p> <p>Make decisions bearing on the implementation and adjustments of this plan within the Cabinet that do not directly involve other participating cabinet agencies, ensuring that decision is informed with the input of the Office of Early Childhood and other agencies as necessary to make the best possible decision.</p>
Other Entities	
State advisory council on early childhood education and care	Provide guidance and direction to the Governor’s Office of Early Childhood.

Table (A)(3)-1: Governance-related roles and responsibilities	
Participating State Agency	Governance-related roles and responsibilities
	Serve as the reporting link for the Inter-agency Coordinating Council for Part C of IDEA.
State Interagency Coordinating Council for Part C of IDEA	Provide the Early Childhood Advisory Council with advice and assistance on the administration of Part C of IDEA pursuant to federal regulations.
Other <i>Specify:</i> Secretary of the Governor's Executive Cabinet	Make final decisions in any instance where there is not a consensus among the Participating State Agencies on whether and / or how to proceed.

Table (A)(3)-2: Early Learning Intermediary Organizations and local early learning councils (if applicable)	
List every Intermediary Organization and local early learning council (if applicable) in the State	Did this entity provide a letter of intent or support which is included in the Appendix (Y/N)?
Head Start Association =Kentucky Head Start Association	Yes
State Affiliate of the National Association for the Education of Young Children = Kentucky Association for Early Childhood Education	Yes
State Affiliate for the Council for Exceptional Children's Division of Early Childhood = KY-DEC	Yes
Kentucky's Early Childhood Community Councils (Listed by County and/or Counties served)	
4C for Children	Yes
Barren County CECC	Yes
Boone County CECC	Yes
Butler-Edmonson CECC	Yes
Casey County CECC	Yes
Daviess County CECC	Yes

Table (A)(3)-2: Early Learning Intermediary Organizations and local early learning councils (if applicable)	
List every Intermediary Organization and local early learning council (if applicable) in the State	Did this entity provide a letter of intent or support which is included in the Appendix (Y/N)?
Four River Counties CECC	Yes
Franklin County CECC	Yes
Hancock Co. Community Collaboration	Yes
Hart, Metcalfe and Monroe CECC	Yes
Jefferson County CECC	Yes
Kenton & Campbell Co CECC	Yes
Larue Co. CECC	Yes
Lawrence County CECC	Yes
Lincoln County CECC	Yes
Livingston Co. CECC	Yes
Madison Co CECC	Yes
Magoffin Co. CECC	Yes
Mason County CECC	Yes
McLean County CECC	Yes
McCreary Co. CECC	Yes
Morgan County CECC	Yes
Nelson Co. CECC	Yes
Ohio Co CECC	Yes
Pendleton Co CECC	Yes
Pulaski County Early Childhood Council	Yes
Rowan Co. CECC	Yes
Todd Co CECC	Yes

Table (A)(3)-2: Early Learning Intermediary Organizations and local early learning councils (if applicable)	
List every Intermediary Organization and local early learning council (if applicable) in the State	Did this entity provide a letter of intent or support which is included in the Appendix (Y/N)?
Trigg County CECC	Yes
Union Co. CECC	Yes
Warren County Early Childhood Council	Yes
<i>[Add additional rows as needed and enter text here to clarify or explain any of the data, if necessary.]</i>	

Table (A)(3)-2a Other Organizations which have submitted letters of intent and support found in the Appendix	
<i>(Chamber=local Chamber of Commerce; ECAC= organizations represented on the Early Childhood Advisory Council; HS= local Head Start programs; IHE= Institutes of Higher Education; PS=Public School; UW = local United Way)Public=Public Sector</i>	
Organization	Type
Letters of intent:	
Kentucky Association of School Administrators	Professional association
Kentucky Association of School Superintendents	Professional association
Kentucky Educational Television	Public television affiliate
Kentucky School Board Association	Professional association
Letters of support:	
Bowling Green Area Chamber of Commerce	Chamber
Carroll County Chamber of Commerce	Chamber
Danville-Boyle County Chamber of Commerce	Chamber
Greater Louisville Inc.	Chamber
Greater Owensboro Chamber of Commerce	Chamber
Henderson-Henderson County Chamber of Commerce	Chamber
Kentucky Chamber of Commerce	Chamber

Table (A)(3)-2a Other Organizations which have submitted letters of intent and support found in the Appendix	
<i>(Chamber=local Chamber of Commerce; ECAC= organizations represented on the Early Childhood Advisory Council; HS= local Head Start programs; IHE= Institutes of Higher Education; PS=Public School; UW = local United Way)Public=Public Sector</i>	
Organization	Type
Maysville-Mason Area Chamber of Commerce	Chamber
Northern Kentucky Chamber of Commerce	Chamber
Paris/Bourbon Co. Chamber of Commerce	Chamber
Corbin Preschool Center	ECAC
Department of Education	ECAC
Eastern Kentucky Child Care Coalition	ECAC
Archdiocese of Louisville	Faith-Based
Audubon Area Community Services	HS
Gateway Community Action	HS
Middle Kentucky Head Start	HS
Murray Head Start	HS
Brescia University Interdisciplinary	IHE
Campbellsville University Interdisciplinary	IHE
Eastern Kentucky University College of Education	IHE
Eastern Kentucky University College of Health Sciences	IHE
Elizabethtown Community & Technical College	IHE
Georgetown College	IHE
Henderson Community College	IHE
KSU - Interdisciplinary Early Childhood Education	IHE
Morehead State University	IHE
Murray State University	IHE

Table (A)(3)-2a Other Organizations which have submitted letters of intent and support found in the Appendix	
<i>(Chamber=local Chamber of Commerce; ECAC= organizations represented on the Early Childhood Advisory Council; HS= local Head Start programs; IHE= Institutes of Higher Education; PS=Public School; UW = local United Way)Public=Public Sector</i>	
Organization	Type
Northern Kentucky University's Early Childhood Education Program	IHE
University of Kentucky's IECE	IHE
University of Louisville	IHE
Louisville Metro Government	Mayor
Child Care Council of Kentucky	other
Kentucky Out-of-School Alliance	other
Big Grannies Daycare LLC	Private
Children, Inc.	Private
Family & Children's Place	Private
Fifth Third Bank	Private
Hamilton Ryker Bluegrass	Private
JPMorgan Chase Foundation Manager	Private
Kentucky American Academy of Pediatrics	Private
Kentucky American Water	Private
Kentucky Association of Early childhood Educators	Private
Kentucky Youth Advocates	Private
Lexmark	Private
LG&E and KU Energy	Private
Northern Kentucky Education Council	Private
Pattie A. Clay Regional Medical Center	Private
Prichard Committee	Private

Table (A)(3)-2a Other Organizations which have submitted letters of intent and support found in the Appendix	
<i>(Chamber=local Chamber of Commerce; ECAC= organizations represented on the Early Childhood Advisory Council; HS= local Head Start programs; IHE= Institutes of Higher Education; PS=Public School; UW = local United Way)Public=Public Sector</i>	
Organization	Type
Red Bird Mission	Private
Save the Children	Private
The Strive Partnership	Private
Toyota	Private
Casey Co. Board of Education	PS
Floyd County School	PS
Harlan Co. Public Schools	PS
Jefferson County Public Schools Head Start/Early Head Start	PS
Madison County Schools	PS
Owen County Schools	PS
Cabinet for Health and Family Services	State
Department for Community Based Services	State
Department for Public Health	State
Division of Early Childhood	State
Early Childhood Advisory Councils	State
First Lady Jane Beshear	State
Heart of Kentucky United Way	UW
Metro United Way	UW
United Way of Franklin County	UW
United Way of Greater Cincinnati	UW
United Way of Henderson Co.	UW

Table (A)(3)-2a Other Organizations which have submitted letters of intent and support found in the Appendix	
<i>(Chamber=local Chamber of Commerce; ECAC= organizations represented on the Early Childhood Advisory Council; HS= local Head Start programs; IHE= Institutes of Higher Education; PS=Public School; UW = local United Way)Public=Public Sector</i>	
Organization	Type
United Way of Kentucky	UW
United Way of Murray-Calloway Co.	UW
United Way of Northeast Kentucky	UW
United Way of Paducah-McCracken County	UW
United Way of Southeastern Kentucky	UW
United Way of Southern Kentucky	UW
United Way of the Bluegrass	UW
United Way of the Ohio Valley	UW

(A)(4) Developing a budget to implement and sustain the work of this grant. (15 points)

The extent to which the State Plan--

(a) Demonstrates how the State will use existing funds that support early learning and development from Federal, State, private, and local sources (*e.g.*, CCDF; Title I and II of ESEA; IDEA; Striving Readers Comprehensive Literacy Program; State preschool; Head Start Collaboration and State Advisory Council funding; Maternal, Infant, and Early Childhood Home Visiting Program; Title V MCH Block Grant; TANF; Medicaid; child welfare services under Title IV (B) and (E) of the Social Security Act; Statewide Longitudinal Data System; foundation; other private funding sources) for activities and services that help achieve the outcomes in the State Plan, including how the quality set-asides in CCDF will be used;

(b) Describes, in both the budget tables and budget narratives, how the State will effectively and efficiently use funding from this grant to achieve the outcomes in the State Plan, in a manner that--

(1) Is adequate to support the activities described in the State Plan;

(2) Includes costs that are reasonable and necessary in relation to the objectives, design, and significance of the activities described in the State Plan and the number of children to be served; and

(3) Details the amount of funds budgeted for Participating State Agencies, localities, Early Learning Intermediary Organizations, Participating Programs, or other partners, and the specific activities to be implemented with these funds consistent with the State Plan, and demonstrates that a significant amount of funding will be devoted to the local implementation of the State Plan; and

(c) Demonstrates that it can be sustained after the grant period ends to ensure that the number and percentage of Children with High Needs served by Early Learning and Development Programs in the State will be maintained or expanded.

The State’s response to (A)(4)(b) will be addressed in the Budget Section (section VIII of the application) and reviewers will evaluate the State’s Budget Section response when scoring (A)(4). In the text box below, the State shall write its full response to (A)(4)(a) and (A)(4)(c) and may also include any additional information it believes will be helpful to peer reviewers. If the State has included relevant attachments in the Appendix, these should be described in the narrative below and clearly cross-referenced to allow the reviewers to locate them easily.

Evidence for (A)(4)(a):

- The completed table listing the existing funds to be used to achieve the outcomes in the State Plan (see Table (A)(4)-1).
- Description of how these existing funds will be used for activities and services that help achieve the outcomes in the State Plan.

Evidence for (A)(4)(b):

- The State’s budget (completed in section VIII).
- The narratives that accompany and explain the budget, and describes how it connects to the State Plan (also completed in section VIII).

Narrative for (A)(4) begins here

Table (A)(4)-1 and the descriptions below address (A)(4)(a) and show the existing funding sources that will be used to achieve the outcomes in our plan. We have identified the ongoing costs that will be in place during and after the grant period. The total ongoing costs as a result of this plan will be:

Total ongoing costs as a result of this plan				
Year 1	Year 2	Year 3	Year 4	Total
\$16,573,800	\$27,223,751	\$28,218,518	\$28,417,735	\$100,433,805

Of these total ongoing costs, Kentucky will cover the following amounts:

Total ongoing costs funded by Kentucky and not requested as part of the grant				
Year 1	Year 2	Year 3	Year 4	Total
\$15,997,350	\$15,997,350	\$15,997,350	\$21,882,368	\$69,874,418

The existing funding streams to support these costs will be:

Table (A)(4) – 1 Existing other Federal, State, private, and local funds to be used to achieve the outcomes in the State Plan.					
Source of Funds	Fiscal Year 2012	Fiscal Year 2013	Fiscal Year 2014	Fiscal Year 2015	Total
<i>Tobacco Master Settlement Dollars¹</i>	\$5,407,250	\$5,407,250	\$5,407,250	\$5,407,250	\$21,629,000
<i>CCDF funds quality set-asides²</i>	\$9,275,100	\$9,275,100	\$9,275,100	\$9,275,100	\$37,100,400
<i>Kentucky Department of Education General Fund</i>	\$1,315,000	\$1,315,000	\$1,315,000	\$1,315,000	\$5,260,000
<i>Future funds currently undetermined³</i>				\$5,885,018	\$5,885,018

¹Tobacco Master Settlement dollars are awarded to the State according to Master Settlement guidelines, and fluctuate over time. While the State expects to continue to receive these funds going forward, the State may need to request funds from the General Assembly should they decline.

²CCDF contributions are federally funded and are expected to continue according to current levels if federal funding remains intact. While the State expects to continue to receive these funds going forward, the State may need to request funds from General Assembly should they decline.

³The Secretaries of the Participating Agencies and the Governor have made a commitment to fund this amount. However, because the necessity for funding is four years down the line, a funding source has not yet been identified.

The activities and services aligned to the funds in Table (A)(4) – 1 are shown in the bullets below:

- **Ongoing funds for CECCs: Year 1 and onwards – \$1,000,000/year**
 - # of current CECCs – 67
 - Average discretionary grant funding per CECC per year - \$14,925
 - Description: These dollars allow the CECCs to provide grants to the local Early Learning and Development Programs in their communities. These dollars will be critical to ensuring that CECCs are able to influence the Early Learning and Development providers in their communities throughout the grant period and after it has ended.
 - Funding sources: Ongoing discretionary funds will be funded in full through Tobacco Master Settlement dollars during the RTT-ELC grant period and beyond

- **Ongoing costs to build out the Office of Early Childhood - \$107,250/year**
 - # of employees needed
 - 1 New Director (funding from XXXX already allocated for this position)
 - \$75K/year
 - Benefits – 30%
 - Indirect – 10%
 - Description: The Office of Early Childhood realizes that additional long-term staff will be required to sustain the work of this grant and have allocated their funds to support this staff. These funds will be used to fund the new, integrated TQRIS.
 - Funding sources: New project management costs to help facilitate new responsibilities of the Office of Early Childhood will be funded in full through Tobacco Master Settlement dollars during the RTT-ELC grant period and beyond

- **Ongoing funds for administration of K-entry assessment – \$1,315,000 in Year 1 and onwards**
 - Expected cost of K-entry assessment based on estimates offered by assessment providers (this number may increase once the formal RFP process is announced, but the Kentucky Department of Education will still cover all administration costs) - \$1.3M
 - Contracted sustainment costs - \$15K
 - Description: These funds will be used to administer the K-entry assessment. Because the K-entry assessment is a large priority for the State, the Kentucky Department of Education has elected to fully fund the administration of the assessment to signal its support for this grant.
 - Funding sources: Ongoing costs for the K-entry assessment will be funded in full through the Kentucky Department of Education’s general fund during the RTT-ELC grant period and beyond

- **Ongoing funds for the TQRIS system - \$13,575,000 in Years 1-4**
 - Description: The funds to support Kentucky’s current TQRIS will be repurposed to support the new, integrated TQRIS. A more detailed breakout of the costs associated with the new TQRIS are shown in Section VIII under the Governor’s Office of Early Childhood budget.
 - Funding Sources: The source of ongoing funding for the TQRIS system will be Tobacco Master Settlement dollars, and the CCDF block grant

- **Additional funding for TQRIS - \$5,885,018 in Year 4**
 - Description: The Race to the Top grant is able to fund most of the additional funding required to move to the new TQRIS system, however, in Year 4, there is a shortfall of \$5,885,018. The Secretaries and Governor have agreed to work to fund this shortfall. However, because the date is still 4 years away, a specific funding source has not been identified. A more detailed breakout of the costs

associated with the new TQRIS are shown in Section VIII under the Governor's Office of Early Childhood budget.

- Funding Sources: TBD

In response to (A)(4)(c), Kentucky has made a commitment to support the work of this grant beyond the four year grant period. The ongoing costs not covered by existing state resources are as follows:

Total ongoing costs not covered by existing state resources				
Year 1	Year 2	Year 3	Year 4	Total
\$576,450	\$11,226,401	\$12,221,168	\$6,535,367	\$ 30,559,387

During Years 1-3, all of these costs will be covered by the grant. In Year 4, Kentucky will need to contribute an additional \$5.9M because grant dollars will have depleted to a level insufficient to cover these costs.

Expected ongoing costs not covered by existing state resources will be close to \$12M in the year following the grant. The Secretaries of the various departments and Governor have been informed of this and have agreed to work to fund this amount in the future.

Note: Kentucky's response to sub-criterion (A)(4)(b) is included in the Budget section at the end of this document as was specified in the application instructions.

B. High-Quality, Accountable Programs

(B)(1) Developing and adopting a common, statewide Tiered Quality Rating and Improvement System. (10 points)

The extent to which the State and its Participating State Agencies have developed and adopted, or have a High-Quality Plan to develop and adopt, a Tiered Quality Rating and Improvement System that--

(a) Is based on a statewide set of tiered Program Standards that include--

- (1) Early Learning and Development Standards;
- (2) A Comprehensive Assessment System;
- (3) Early Childhood Educator qualifications;
- (4) Family engagement strategies;
- (5) Health promotion practices; and
- (6) Effective data practices;

(b) Is clear and has standards that are measurable, meaningfully differentiate program quality levels, and reflect high expectations of program excellence commensurate with nationally recognized standards¹⁷ that lead to improved learning outcomes for children; and

(c) Is linked to the State licensing system for Early Learning and Development Programs.

In the text box below, the State shall write its full response to this selection criterion. The State shall include the evidence listed below and describe in its narrative how each piece of evidence demonstrates the State's success in meeting the criterion; the State may also include any additional information it believes will be helpful to peer reviewers. If the State has included relevant attachments in the Appendix, these should be described in the narrative below and clearly cross-referenced to allow the reviewers to locate them easily.

¹⁷ See such nationally recognized standards as:

U.S. Department of Health and Human Services. (2009). Head Start Program Performance Standards. Washington, DC: U.S. Department of Health and Human Services. PDF retrieved from: 45 CFR Chapter XIII - 1301-1311 http://eclkc.ohs.acf.hhs.gov/hslc/Head%20Start%20Program/Program%20Design%20and%20Management/Head%20Start%20Requirements/Head%20Start%20Requirements/45%20CFR%20Chapter%20XIII/45%20CFR%20Chap%20XIII_ENG.pdf

U.S. Department of Defense. DoD Instruction 6060.2, Child Development Programs (CDPs), January 19, 1993, certified as current August 25, 1998 (to be updated Fall 2011). Washington, DC: U.S. Department of Defense. Retrieved from: http://www.militaryhomefront.dod.mil/portal/page/mhf/MHF/MHF_DETAIL_1?section_id=20.60.500.100.0.0.0.0.0.¤t_id=20.60.500.100.500.60.60.0.0

American Academy of Pediatrics, American Public Health association, and National Resource Center for Health and Safety in Child Care and Early Education. (2011) Caring for Our Children: National Health and Safety Performance Standards: Guidelines for Early Care and education Programs. Elk Grove Village, IL; American Academy of Pediatrics.

In scoring the selection criterion, peer reviewers will determine, based on the evidence the State submits, whether each element of the selection criterion is implemented or planned; the quality of the implementation or plan (see the definition of a High-Quality Plan for the components reviewers will be judging); the extent to which the different types of Early Learning and Development Programs in the State are included and addressed; and the extent to which the unique needs of the State's special populations of Children with High Needs are considered and addressed. The State is responsible for providing clear and detailed information to assist the peer reviewers in making these determinations.

Evidence for (B)(1):

- The completed table that lists each set of existing Program Standards currently used in the State and the elements that are included in those Program Standards (Early Learning and Development Standards, Comprehensive Assessment Systems, Qualified Workforce, Family Engagement, Health Promotion, Effective Data Practices, and Other), (see Table (B)(1)-1).
- To the extent the State has developed and adopted a Tiered Quality Rating and Improvement System based on a common set of tiered Program Standards that meet the elements in criterion (B)(1)(a), submit--
 - A copy of the tiered Program Standards;
 - Documentation that the Program Standards address all areas outlined in the definition of Program Standards, demonstrate high expectations of program excellence commensurate with nationally recognized standards, and are linked to the States licensing system;
 - Documentation of how the tiers meaningfully differentiate levels of quality.

Narrative for (B)(1) begins here

Overview and goals for developing and adopting Kentucky's integrated tiered quality rating and improvement system (TQRIS)

Kentucky will develop an integrated, statewide TQRIS that is well-structured and clear, and has Program Standards that are measurable, meaningfully differentiate program quality levels, and reflect high expectations of program excellence commensurate with nationally recognized standards that lead to improved learning outcomes for children, and that is linked to the licensing system for Early Learning and Development Programs. This system is a critical element of our approach to improving programs, and therefore improving children's outcomes. We have more than ten years of experience and lessons learned by operating our current TQRIS, STARS for KIDS NOW, but recognize that this system is not yet at the level of inclusivity, integration, and high standards required to catalyze step changes in improvement. We are ready

for the next step, and are prepared to roll up our sleeves together – across cabinets, agencies, and offices – to create the integrated TQRIS that is the necessary system to improve all Early Learning and Development Programs, namely child care, Head Start, and state-funded preschool. Therefore, our goals with respect to developing and adopting a common, statewide TQRIS are as follows:

- To increase the school readiness rates of Children with High Needs by developing an integrated, aligned statewide TQRIS that is linked with the licensing system, and that is based on a set of tiered Program Standards that cover multiple domains of program quality
- To drive program improvement by holding Early Learning and Development Programs to high standards of quality and ensuring that tiers indicate measurable, meaningful differences in program quality

Kentucky's current TQRIS, STARS for KIDS NOW ("STARS"), was launched more than a decade ago to improve the quality of licensed child care programs, and is currently undergoing a rigorous evaluation. The STARS system is based on a statewide set of tiered Program Standards, and these standards are clear and measurable. However, the STARS system is not yet linked with the state licensing system, and may not yet meaningfully differentiate levels of program quality. We expect the current evaluation underway to tell us more about what is working, and what can be improved with respect to the STARS system. These findings will be available this year, and we will apply them to the design of the Program Standards and tiers of the integrated TQRIS.

We are committed to truly increasing program quality, particularly for Early Learning and Development Programs serving Children with High Needs. We will view our development of an integrated TQRIS not as an expansion of STARS for KIDS NOW, but as our necessary next step to create a quality improvement system that encompasses all Early Learning and Development programs and that truly catalyzes improvements in the outcomes of Children with High Needs. The integrated TQRIS will be linked with licensure so that licensed programs are automatically placed on the first tier (1 STAR). Program Standards will reflect the highest expectations – not the 'lowest common denominator' across current programs. This will be no

easy task, and will require breaking down existing silos between state-funded preschool, Head Start, and child care programs so that the vast majority of providers serving high-need children participate and embark upon a path to higher quality through the integrated TQRIS.

Implementation progress to date: Kentucky's current tiered quality rating and improvement system (TQRIS)

As described in (A), Kentucky has a history of successful, innovative initiatives in the field of early childhood development and education. The Commonwealth is ready to build on this rich history and on the progress made to date by unifying, integrating, and aligning initiatives statewide, under a common focus on ensuring all children are school ready when they enter kindergarten.

Implementation of sub-criteria (B)(1)(a): Kentucky's STARS for KIDS NOW TQRIS was launched as part of the KIDS NOW Initiative of 2000, and represents a collaborative effort to ensure that young children in Kentucky are in early care and education settings that are seeking ever-increasing quality. The STARS for KIDS NOW goals are: (1) Increase the quality of child care for all children; (2) Recognize and reward quality child care; (3) Provide consumer awareness/guidance for families; and (4) Increase capacity for high-need children (who receive subsidies) in higher quality programs.

STARS is administered by the Division of Child Care in the Kentucky Cabinet for Health and Family Services, in partnership with the University of Kentucky – Quality Enhancement Initiative. Early care and education settings that choose to participate in STARS may receive free technical assistance through the Quality Enhancement Initiative (see (B)(4) for more information). Upon receiving a star rating, programs are eligible for a cash STAR Achievement Award. Additional quality incentive dollars are available based on the size of the program, the number of high need children served (i.e., children receiving subsidies through the Child Care Assistance Program) and the level of STAR attainment.

The STARS tiers of program quality are on a scale of 1 through 4 STARS (with 1 STAR as the lowest-quality tier). STARS Program Standards and tiers are based on the Kentucky Early Childhood Standards and on research in quality indicators and recommendations from the federal

TA center (NCCIC). Programs are assessed in the following areas: staff/child ratios, group size, curriculum, parent involvement, training/education of staff, regulatory compliance, and personnel practices. (See pages 219-221 of the Appendix for requirements for each STARS tier). The tiers are also based on components of the Kentucky Quality Self-Assessment, in conjunction with the Early Childhood Environment Rating Scale (ECERS), Infant/Toddler Environment Rating Scale (ITERS), School-Age Care Environment Rating Scale (SACERS), and Family Day Care Environmental Rating Scale (FDCERS), to encompass a whole-child approach to school readiness, and reflect research that demonstrates what combination of criteria are essential for quality Early Learning and Development Programs. The recommendations for the content of each level were constructed by a representative group of consumers, childcare providers, non-profit group representatives, and others who work and live with young children.

Implementation of sub-criteria (B)(1)(b): The standards of the STARS tiers are clear and measurable, as evidenced by the tables included in the Appendix referenced above. The tiers also represent a high-quality bar; currently, 25% of programs meet the requirements of the top two STARS levels (of 4 tiers total). The tiers were designed using evidence of what matters to improve children's outcomes and therefore increase school readiness. For example, to achieve 4 STARS, programs must have staff/child ratios consistent with National Association for the Education of Young Children (NAEYC) recommendations. Furthermore, Kentucky strives to continuously improve the tiers to ensure that they reflect the latest research and evidence, and is near completion of an independent evaluation of the STARS system.

Implementation of sub-criteria (B)(1)(c): All STAR levels surpass the minimum licensing requirements that all programs must meet. STARS participation is voluntary, and was developed for licensed child care centers and certified family child care homes. There are two types of licensed settings that participate: Licensed Type I Child Care Facilities are those that regularly provide child care services for four or more children in a non-residential setting, or thirteen or more children in a residential setting. Licensed Type II Child Care Facilities are primary residences where child care is regularly provided for at least seven, but not more than twelve children (including children related to the provider).

Kentucky's plan to develop and adopt a robust, unified, integrated TORIS

While Kentucky has developed and implemented a TQRIS, the STARS system is not sufficient to dramatically increase program quality to the extent required to meet our goals for school readiness, particularly for high-need children, because Head Start and state-funded preschool programs do not participate, and very few child care providers are in the top tiers of quality. Therefore, our plan is not to simply expand the STARS system to include more programs, but rather, to re-conceptualize the approach to program rating and improvement, and develop an integrated system unified under a common set of high Program Standards aligned with what matters most to improve school readiness. As described more fully in the other (B) sections, the TQRIS will provide a support structure for Early Learning and Development Programs to increase in quality – integrating monitoring systems will ease the burden of multiple agencies regulating individual programs, and decreased redundancies will create an opportunity to repurpose funding for reimbursements, incentives, supports, and resources for programs.

Plan to address (B)(1)(a, b, and c): Kentucky will integrate, align, and unify existing rating and improvement systems under one common TQRIS for all Early Learning and Development Programs, with licensure as the first tier

Kentucky will build upon key lessons learned from development and implementation of the STARS system, and the results of the independent evaluation of STARS, to develop an aligned, integrated TQRIS inclusive of all licensed child care providers, Head Start centers, and state-funded preschool programs. The TQRIS will be based on an integrated set of high standards for all programs – with the most important (to driving outcomes) elements of the existing sets of standards (for state-funded preschool, Head Start, and STARS) prioritized. There will be five tiers to rate quality based upon a multi-faceted set of Program Standards including:

- (1) Early Learning and Development Standards: As described in (C)(1), the state will strengthen the Kentucky Early Childhood Standards to ensure they comprehensively cover all elements of school readiness. These revised standards will be integrated into the Program Standards of the TQRIS, particularly with respect to the curricular expectations of Early Learning and Development Programs.
- (2) A Comprehensive Assessment System: As described in (C)(2), the TQRIS Program Standards may include criteria related to usage of screening measures, formative assessments

of children's learning, and quality of environment and child-educator interactions (e.g., we will research the potential to use the Classroom Assessment Scoring System (CLASS) for tiers 4 or 5.) The current evaluation of the STARS system includes research questions regarding which measures and assessments are most instrumental to measure and improve children's outcomes.

(3) Early Childhood Educator qualifications: As described in (D), educator effectiveness is a critical driver of program improvement. As such, the TQRIS Program Standards will reflect the qualifications most important for high-quality early childhood development (e.g., for top tiers, lead teachers must have Bachelor's degrees, as this level of education is shown by research to be important for improving outcomes)

(4) Family engagement strategies: As described in (C)(4), Program Standards will reflect the belief that families are still the primary Early Childhood Educator, and include the requirement that all programs and providers share the early childhood parent guides with families. Additionally, family engagement trainings will be provided as part of the programming of the Center for Community Engagement (more information in (C)(4))

(5) Health promotion practices: Program Standards will reflect health-related and environmental standards critical to ensuring that all children are healthy and ready to learn.

(6) Effective data practices: For top tiers, we will expect Early Learning and Development Programs to find creative ways to use data-driven instruction and demonstrate how data is used in instruction and to individualize instruction (e.g., through lesson plans or activities designed to address Early Learning and Development Standards identified as problem areas through use of Comprehensive Assessment System described in (C)(2))

The integrated Program Standards will be informed by evidence and research, and the results of the current STARS evaluation under way. The evaluation is addressing these key questions, among others:

- What rating structure and process is most effective for STARS? (I.e., produces a valid rating that reflects the quality of programs, and promotes participation by programs across tier levels)
- How do providers perceive the current rating structure and process?

- Which parts of the current rating structure and process are challenging to providers?
- How else could the rating system be structured?
- What improvements could be made to the current STARS measurement strategy?
- What measures need to be updated? (Researchers are assessing CLASS, ECERS, ITERS, FCCRS, SACCERS, and other tools and measures used in other states)
- What additional aspects of quality could be included in the STARS standards?

While the new Program Standards will represent integration across existing programs, they will not represent the ‘lowest common denominator.’ Rather, they will represent the highest expectations within each of the existing sets of Program Standards. For example, Head Start and top-tier child care programs currently emphasize family engagement more than state-funded preschool; in the integrated set of Program Standards we will take these high expectations for family engagement from Head Start and the STARS system, and integrate them with the high curricular expectations from the state-funded preschool standards, so that all Early Learning and Development Programs in top tiers are expected to meet the highest standards for family engagement as well as academics/curriculum (along with the rest of the domains listed above.)

Kentucky will link the child care licensing system with the new, integrated TQRIS. To implement this new system, all currently licensed programs will automatically be in tier 1, and must stay in tier 1 to maintain licensure. This change will mean that many more Early Learning and Development Programs, most of which have had the option to participate in STARS but have chosen not to, will automatically move into the new integrated TQRIS. These licensed programs and providers may not currently participate in STARS because they either cannot afford to operate at the current STAR 1 level (which would be the second tier of the new system when licensure becomes tier 1) or they do not serve subsidy children and therefore do not see a significant financial incentive to participate. Change management and an influx of technical assistance will be necessary to ensure these Early Learning and Development Programs are integrated into the TQRIS system and are supported and incented to improve. More detail on this element of the TQRIS plan is provided in (B)(2) and (B)(4).

Key activities, milestones, roles and timeline to implement the plan addressing (B)(1)(a, b, and c)

- Key activity 1: Integrate and align Program Standards (STARS, Head Start, state-funded preschool, licensure) to develop one common set of Program Standards and tiers for the TQRIS, with licensure as tier 1 – Spring 2012
 - The ECAC will convene a small work group, with representatives from KDE, the Division of Child Care, and Head Start, as well as external experts (e.g., experts in infant and toddler development, second language acquisition, cultural competency, and other specialized areas reflecting the population of Children with High Needs in Kentucky), to assess existing sets of Program Standards and to develop a common set that indicates the high expectations required for school readiness. Kentucky has already developed a cross walk of Early Learning and Development Standards and program requirements for licensed child care, Head Start, and public preschool, which will inform the work ahead. Additionally, this work group will analyze any and all available data relevant to inform design of the system to truly meet the needs of Children with High Needs (e.g., child care / subsidy utilization among target populations, availability of different provider settings)
 - This work group will complete TQRIS program standard development during Spring 2012, and will present a recommendation to the ECAC on the Program Standards for each tier in the June/July 2012 ECAC meeting
 - The work group will address whether there are specific sets of Program Standards for different types of Early Learning and Development Programs, e.g., for programs serving infants and toddlers, family child care settings, etc. Input from program operators will also be collected and gathered to inform design of the system.
 - The ECAC will provide the oversight and guidance to institute the necessary policy changes to implement the redesigned Program Standards and tiers

- Key activity 2: Determine the operational, financial, and administrative approach to the integrated TQRIS – Summer/Fall 2012
 - The Office of Early Childhood will review current funding structures, personnel, and program support structures and develop an implementation plan to begin launching the integrated TQRIS statewide by January 2013
 - To determine the appropriate reimbursement and incentive amounts for each tier and program type, we will collect data to understand the financial needs and barriers of programs, as well as the needs families of high needs children for whom we wish to increase access to high-quality Early Learning and Development Programs.
 - As part of the review on the administrative and operational structure for the integrated TQRIS, the Office of Early Childhood will assess the operation and administration of current Early Learning and Development Programs and systems (state-funded preschool, STARS for KIDS NOW, Head Start, CCDF subsidy program, licensure, etc.).
 - By Fall 2012, the Office of Early Childhood, under the guidance of the ECAC, shall recommend the implementation plan to the Governor including expectations of and impacts to state-funded preschool, Head Start and child care program operations. The recommendation will include the following elements:
 - Key roles and responsibilities of all agencies involved, and which agency will administer the TQRIS, as determined by the review of the funding streams, administrative capacity and operations, and alignment with other programs. Because the TQRIS represents integration across existing programs, the Office of Early Childhood will continue to play an overarching oversight and monitoring role throughout implementation. The agency administering the TQRIS will manage the funding streams, TQRIS-related staff and personnel, and implementation of the TQRIS core operations detailed in (B) (e.g., rating of programs, supporting quality improvement through financial and non-financial incentives and supports, etc.) in accordance with the specifications for the TQRIS developed by the

cross-agency work group. To ensure that all roles are clearly articulated and the implementation of this new, unified system is seamless, agencies will craft and sign memoranda of understanding that lay out all roles and responsibilities with respect to TQRIS operations over time.

- The ways that funding streams will flow through the TQRIS (e.g., whether KDE funding for the Preschool Program Review process will be administrated through the TQRIS as part of the rating system, or will remain within KDE and will be spent in ways outlined in an agreement with the agency administering the TQRIS)
- The above recommendations will emerge from clearly articulated criteria informed by the design of the TQRIS as described in Activity 1. The recommended approach to operations, funding flows, and administration of the TQRIS will be designed to ensure successful implementation of this new, common statewide system. Criteria to determine which agency will administer the TQRIS will likely include:
 - Alignment and support for the vision and purpose of the TQRIS, including that the TQRIS will represent: an integrated, unified approach, with high standards of excellence and quality for all Early Learning and Development Programs and providers; a focus on improving school readiness, especially for Children with High Needs; a focus on improvement, versus monitoring (and a distinct separation from evaluative systems like licensing and monitoring)
 - High levels of support within the agency among its constituencies for the integrated TQRIS and what it represents
 - High levels of support across agencies for the agency that will administer the TQRIS
 - Sufficient infrastructure (including grant administration and financial systems) and capacity (including time, experience, skills, capabilities) to administer the system

- Commitment to continuous improvement, and candid reviews of what is working and what is not
- Key activity 3: Begin implementation of the integrated TQRIS – January 2013
 - Kentucky will adopt and launch the integrated TQRIS with the Office of Early Childhood overseeing the launch in a few, target geographies with concentrations of Children with High Needs (see (B)(2) plan for more detail on phasing in of integrated system)
- Key activity 4: Statewide adoption of the integrated TQRIS – by December 2013
 - The Office of Early Childhood will be responsible for overseeing full implementation of the TQRIS (all licensed child care, Head Start, and state-funded preschool programs will be included by December 2013)
 - *Note – more detail on rollout included in other B sections*

Financial resources required for this plan: *See budget detail in (A)(4).*

Table (B)(1)-1: Status of all Program Standards currently used in the State							
List each set of existing Program Standards currently used in the State; specify which programs in the State use the standards	Program Standards Elements¹⁸						
	<i>If the Program Standards address the element, place an "X" in that box</i>						
	Early Learning and Development Standards	Comprehensive Assessment Systems	Qualified workforce	Family engagement	Health promotion	Effective data practices	Other
Type 1 Child Care			X	X			

¹⁸ Please refer to the definition of Program Standards for more information on the elements.

Table (B)(1)-1: Status of all Program Standards currently used in the State							
List each set of existing Program Standards currently used in the State; specify which programs in the State use the standards	Program Standards Elements¹⁸						
	<i>If the Program Standards address the element, place an "X" in that box</i>						
	Early Learning and Development Standards	Comprehensive Assessment Systems	Qualified workforce	Family engagement	Health promotion	Effective data practices	Other
Regulation							
STARS for KIDS NOW (QRIS) Requirements			X	X			
State Funded preschool Regulations		X – although not fully comprehensive	X	X			
Head Start Regulations		X	X	X			
<i>[Add additional rows as needed and enter text here to clarify or explain any of the data, if necessary.]</i>							

(B)(2) Promoting participation in the State’s Tiered Quality Rating and Improvement System. (15 points)

The extent to which the State has maximized, or has a High-Quality Plan to maximize, program participation in the State’s Tiered Quality Rating and Improvement System by--

(a) Implementing effective policies and practices to reach the goal of having all publicly funded Early Learning and Development Programs participate in such a system, including programs in each of the following categories--

- (1) State-funded preschool programs;
- (2) Early Head Start and Head Start programs;
- (3) Early Learning and Development Programs funded under section 619 of part B of IDEA and part C of IDEA;

(4) Early Learning and Development Programs funded under Title I of the ESEA; and

(5) Early Learning and Development Programs receiving funds from the State's CCDF program;

(b) Implementing effective policies and practices designed to help more families afford high-quality child care and maintain the supply of high-quality child care in areas with high concentrations of Children with High Needs (*e.g.*, maintaining or increasing subsidy reimbursement rates, taking actions to ensure affordable co-payments, providing incentives to high-quality providers to participate in the subsidy program); and

(c) Setting ambitious yet achievable targets for the numbers and percentages of Early Learning and Development Programs that will participate in the Tiered Quality Rating and Improvement System by type of Early Learning and Development Program (as listed in (B)(2)(a)(1) through (5) above).

In the text box below, the State shall write its full response to this selection criterion. The State may also include any additional information it believes will be helpful to peer reviewers. If the State has included relevant attachments in the Appendix, these should be described in the narrative below and clearly cross-referenced to allow the reviewers to locate them easily.

In scoring the selection criterion, peer reviewers will determine, based on the evidence the State submits, whether each element of the selection criterion is implemented or planned; the quality of the implementation or plan (see the definition of a High-Quality Plan for the components reviewers will be judging); the extent to which the different types of Early Learning and Development Programs in the State are included and addressed; and the extent to which the unique needs of the State's special populations of Children with High Needs are considered and addressed. The State is responsible for providing clear and detailed information to assist the peer reviewers in making these determinations.

Additionally, the State must provide baseline data and set targets for the performance measure under (B)(2)(c).

Narrative for (B)(2) begins here

Overview and goals for promoting participation in Kentucky's integrated tiered quality rating and improvement system (TQRIS)

In order for Kentucky's integrated TQRIS to be the system of measurement and system of improvement required to achieve step-change increases in school readiness rates of Children with High Needs, we will implement policies and practices to maximize program participation in

the integrated TQRIS, and help families afford high-quality child care and maintain the supply of these high-quality options. Our goals for (B)(2) are:

- To increase school readiness rates of Children with High Needs by increasing participation in Kentucky's integrated TQRIS such that 100% of publicly funded Early Learning and Development Programs participate, and view this participation as beneficial, particularly in terms of their programs' quality and sustainability
- To have Early Learning and Development Programs that do not receive public funds choose to participate in Kentucky's integrated TQRIS because they too view participation as beneficial, particularly in terms of their programs' quality and sustainability
- To grow and maintain the supply of high-quality child care for Children with High Needs

Kentucky has had a TQRIS for licensed and certified child care programs and providers for over a decade called STARS for KIDS NOW (referred to as "STARS" here). STARS is managed by the Division of Child Care in the Kentucky Cabinet for Health and Family Services, and the focus to date has been increasing participation and quality of licensed child care providers, with an emphasis on those providers that serve high populations of children with high-needs (e.g., those children receiving subsidies through Kentucky's Child Care Development Fund program, the Child Care Assistance Program (CCAP)). Currently, STARS is voluntary for licensed child care providers and Head Start; state-funded preschool programs are not part of the STARS system.

As described in (B)(1), we view development of an integrated, common TQRIS across Early Learning and Development Programs across the state as our necessary next step to build on the progress to date through KIDS NOW. We will work to integrate across programs, and collaborate to develop a common, statewide TQRIS with multi-domain Program Standards. We will implement this TQRIS with policies and practices to bring all licensed child care, Head Start, and state-funded preschool programs into the TQRIS and to help more families with Children with High Needs afford high-quality child care.

Implementation progress to date: Program participation in Kentucky's TQRIS

Implementation of sub-criteria (B)(2)(a): The percentage of licensed child care programs participating in STARS has increased recently as the Division of Child Care has redesigned program implementation and conducted targeted outreach and education, leading to more parents seeking out STARS-rated programs. Currently, ~40% of licensed child care programs participate in STARS, and ~80% of those serve high-need children (i.e., serve children receiving a CCAP subsidy). State-funded preschool programs (which include funding from Title I and IDEA part b) have a separate monitoring system through the Kentucky Department of Education; rating is not part of this system. Similarly, Head Start programs and centers have a separate monitoring system through the National Head Start Office. However, 20% of Head Start centers also participate in STARS.

Implementation of sub-criteria (B)(2)(b): Through the STARS system, the Child Care Development Fund (CCDF) Plan and Child Care Assistance Program (CCAP), Kentucky has implemented effective policies and practices designed to help more families afford high-quality child care, and to maintain the supply of high-quality child care in areas with high concentrations of Children with High Needs. Specific strategies include the following:

- In the STARS system, child care programs are reimbursed in accordance with the percentage of participation of CCAP children, and the STARS Quality Incentive Award is targeted at providers who participate in CCAP. As such, programs serving Children with High Needs have additional incentives to participate in STARS and to improve so that they receive an additional check annually (for improving quality of the programming for Children with High Needs)
- As part of Kentucky's CCDF Plan, the state will seek to provide payment rates for the provision of child care services that are sufficient to ensure equal access to comparable child care services provided to children whose parents are not eligible to receive child care assistance under the CCDF or other governmental programs. (E.g., the cost of care is higher in urban and suburban areas, so child care reimbursement rates in Kentucky are higher in urban and suburban areas.)
- Parental choice is critical – child care services are paid according to the parent's schedule. The parent may select services from a licensed, certified or registered provider.

While Kentucky emphasizes parental choice, we also employ strategies to ensure that parents of Children with High Needs seek out high-quality care, so that the supply of high-quality programs is maintained. To educate parents about program quality, Kentucky's Child Care Resource and Referral agencies (CCR&Rs), Community Early Childhood Councils (CECCs), the Department for Community Based Services (DCBS), and CCAP Service Agents provide comprehensive consumer education materials to help parents make informed child care choices concerning child care providers. DCBS supports a statewide toll-free number for parents to contact local CCR&R resources for information concerning child care. The CCAP Service Agents administering the subsidy program promote consumer education to low income families, including distribution of consumer education materials, cross-training, and frequent co-location of CCR&R and CCAP staffs.

The DCBS-Division of Service Region staff, with the support and guidance of the DCBS Divisions of Family Support and Protection and Permanency, also provide TANF recipients or other potential recipients with information about the CCAP and quality child care. DCBS offers at least one office in each of Kentucky's counties, and CCAP Service Agents are permanently co-located within these office or have regularly scheduled hours within these offices. The co-location of DCBS direct service staff and CCAP Service Agents enable the public to apply for a broad array of work support benefits at a single location, such as Medicaid, TANF, CCAP, and the Supplemental Nutrition Assistance Program (SNAP).

Kentucky's plans to promote participation in the integrated TQRIS**Plan to address (B)(2)(a): Kentucky will implement the integrated TQRIS as the common, statewide rating and improvement system for Early Learning and Development Programs**

Kentucky is perfectly poised to improve upon and strengthen our approach to program rating and improvement. With a decade of experience in developing, evaluating, and refining the STARS system, coupled with the Kentucky Department of Education's high standards for state-funded preschool and Head Start's high expectations and whole-child focus, we are ready to break down existing silos and realign Early Learning and Development Programs and expectations to a common set of clear, high Program Standards that are focused on driving school readiness, especially for Children with High Needs.

State-funded preschool (includes Title I and IDEA part B) and Early Head Start and Head Start programs (sub-criteria (B)(2)(a)(1, 2, 3, 4): As described in (B)(1), our first step is to design the integrated TQRIS that is based on a common set of high Program Standards. Because the integrated TQRIS will reflect the high standards of each of the existing programs and their associated monitoring systems (i.e., state-funded preschool, Head Start, STARS, child care), the next step is to move state-funded preschool programs (some of these programs may also receive Title 1 funding, per sub-criteria (B)(2)(a)(4), and IDEA part b funding, per sub-criteria (B)(2)(a)(3)) that are currently monitored through the state-funded preschool system, into the integrated TQRIS. All Early Head Start and Head Start centers that currently do not participate in STARS will also move into the integrated TQRIS. This initial integration of state-funded preschool and all Head Start centers into the TQRIS will take place in phases, as raters evaluate batches of Early Learning and Development Programs over the course of a year (implementation detail included at the end of this plan). TQRIS rating will be in addition to the monitoring that already takes place through the state-funded preschool system (called Preschool Program Review, and described in (B)(3)) and through the Head Start monitoring system managed by the National Head Start Office. Because these monitoring processes already provide evaluation of Early Learning and Development Programs against a subset of standards, TQRIS raters will only evaluate the Program Standards not covered by these monitoring processes. This

will reduce redundancies and increase the efficiency and cost effectiveness of implementation of the integrated TQRIS.

Child care programs receiving CCDF program funds (sub-criteria (B)(2)(a)(5)): As included in (B)(1), the integrated TQRIS will be linked with the child care licensing system. Therefore, all licensed child care programs will automatically be placed on tier 1 and receive a rating of 1 STAR. This will increase the percentage of licensed child care programs participating in the TQRIS from ~40% (current percentage of licensed child care programs that participate in STARS) to 100%. Because all child care programs in the TQRIS are licensed, TQRIS raters will only evaluate Program Standards above and beyond those to obtain licensure, to reduce redundancies and increase the efficiency and cost effectiveness of implementation of the integrated TQRIS. Furthermore, the distinction between monitoring and rating is important – monitoring is about meeting a minimum quality level (e.g., licensure for child care programs, basic monitoring/evaluation for Head Start and state-funded preschool) but rating and the TQRIS will be about program improvement – the system will be centered on the “I” in TQRIS. See (B)(3) for more on the approach to monitoring and rating.

With the inclusion of state-funded preschool, Head Start, and licensed child care programs, the vast majority of Early Learning and Development Programs serving children with high-needs will be included in the integrated TQRIS. The only programs that would be optional to participate are those that serve fewer than four children and are therefore not licensed. Some of these regulated, non-licensed programs receive CCDF subsidies, and we will also conduct outreach and encourage these providers to participate in the TQRIS as described in Competitive Priority 2.

The current STARS evaluation will provide crucial information to inform how to increase participation. Key questions the evaluators are addressing include:

- What recommendations can be made to administrative processes that would enhance STARS participation?
- How do parents understand STARS? How are parents making child care decisions? What are the characteristics of parents using STARS-rated care?
- What are the characteristics of STARS programs compared to non-STARS programs? What are the characteristics of staff?

The results of this evaluation will inform the design of the integrated TQRIS, and will provide key information on what programs, providers, and parents are looking for.

First Steps programs funded through IDEA part C (sub-criteria (B)(2)(a)(3)): First Steps is a statewide early intervention system that provides services to children with developmental disabilities from birth to age 3 and their families. First Steps is Kentucky's response to the federal Infant-Toddler Program. First Steps offers comprehensive services through a variety of community agencies and service disciplines and is administered by the Department for Public Health in the Cabinet for Health and Family Services. The First Steps model is consultative, taking place in the setting the child is most familiar and comfortable (usually the home). Therefore, this program does not naturally lend itself to the same type of rating that center-based programs will receive through the integrated TQRIS. However, the First Steps model will align with the statewide Program Standards, and First Step staff will receive trainings and materials to support implementation of these Program Standards.

Key activities, milestones, roles and timeline to implement the plan addressing (B)(2)(a)

- Key activity 1: For each program type, map the basic monitoring requirements to the TQRIS Program Standards to determine the base level at which different types of Early Learning and Development Programs will enter the TQRIS – November 2012
 - The representatives from each program type (e.g., state-funded preschool, Head Start, licensed child care, First Steps, etc.) will assess the basic monitoring requirements for their programs to determine the entry level of quality – for licensed child care, this will be tier 1 by definition; for Head Start and state-funded preschool, the basic requirements are more comprehensive, and programs that only meet these requirements may automatically be at the second or third tiers of the systems.
- Key activity 2: Train raters on the TQRIS – Summer/Fall 2012
 - KDE, the Head Start office, the Quality Enhancement Initiative (STARS partner for rating/TA at the University of Kentucky) and the Division of Child Care will work with the Office of Early Childhood to develop the TQRIS rater transition training plan and approach for all existing raters (by June 2012)

- The Office of Early Childhood will create a plan to bring in new raters to support the transition to the new TQRIS (by Summer 2012)
- All raters will be trained on the TQRIS during Fall 2012 and will form a cadre of objective TQRIS raters; other partners (CECCs, superintendents, principals, FRYSCs, CCR&Rs) supporting implementation of the TQRIS will also be included in a subset of the trainings
- Key activity 3: Conduct outreach and communicate with key stakeholders about the TQRIS – Winter 2012/2013
 - CECCs will support community education about the TQRIS and lead parent, family, preschool educator, and school board education about the integrated TQRIS and how it will drive program improvement (beginning in late 2012, then on ongoing basis as part of TQRIS rollout)
 - CECCs will also reach out to regulated, non-licensed programs that serve fewer than 4 children, prioritizing those that receive CCDF funding, in Summer 2012 (see Competitive Priority 2 for more detail)
- Key activity 4: Rollout the integrated TQRIS – beginning in January 2013
 - The Office of Early Childhood will determine phasing for implementation of the TQRIS, prioritizing geographies and Early Learning and Development Programs with the largest numbers of Children with High Needs for the first phase of rollout. The first phase of rollout will take place from January – March 2013
 - Trained TQRIS raters will work in cohorts to initiate the rating process for the first phase of rollout in target geographies beginning in January 2013
 - Second phase of rollout will take place from April – June 2013
 - Third phase of rollout will take place from July – September 2013
 - Full rollout (all licensed child care, state-funded preschool, Head Start) will be complete, and all of these Early Learning and Development Programs will have their initial rating, by December 2013
 - *Note: all Early Learning and Development Programs will enter in at the level determined as the base quality level for that type of program unless they request to be rated in addition to that base level which was determined by the licensure/monitoring system for that program type*

Plan to address (B)(2)(b): Kentucky will implement effective policies and practices designed to help more families afford high-quality child care and maintain the supply of high-quality child care in areas with high concentrations of Children with High Needs

Kentucky is committed to maintain the supports already in place to help more families afford high-quality child care and maintain the supply of high-quality child care for working families. We have put forth careful effort to ensure that subsidy reimbursement rates through CCAP are sufficient to ensure that working families are able to access and afford high-quality child care. In addition to continuing to implement the policies and practices described in the “Implementation of sub-criteria (B)(2)(b)” section above, Kentucky will institute new strategies to help more families afford high-quality child care and maintain the supply of high-quality child care for Children with High Needs.

Consistent with our overall plan’s themes of integration, inclusion, and improvement, we will support the integration of Early Learning and Development Programs that serve high-need children. This type of integration and program blending can take many forms, and the state will not prescribe the model that programs should adopt, but rather, we will provide the tools, information, and resources, for Early Learning and Development Programs to innovate locally to best serve high-need children. For example, in Christian County, there is an integrated program wherein a state-funded preschool educator comes to a child care facility to teach preschool for 3 hours in the morning, and then the child care facility takes over and provides high-quality childcare for the remainder of the day. This model benefits Children with High Needs so they do not need to be transported for hours each day from one program to another, it benefits the child care program as it has 3 hours of staff time that it does not have to cover, it benefits the preschool program as the child care center provides the facilities and supplies, and it benefits all Early Childhood Educators involved as there is overlap between Early Learning and Development Programs that results in collaboration and learning opportunities. The state, through the process of developing the integrated TQRIS, will codify such program models and develop toolkits (which outline regulatory inconsistencies across programs and outline the most stringent requirements) to support this type of collaboration at the local level. With this type of integration, we can provide a wraparound approach for working families, and alleviate the

burdens they face in terms of navigating multiple systems and determining which program is best, and what they can afford. (See (B)(4) for further description of this approach)

Community partnerships are also critical to improve program quality, and support working families and Children with High Needs. For example, some local United Ways in Kentucky currently support the families of Children with High Needs access child care programs. This support and partnership can take multiple forms – local nonprofit or community organizations may directly support families with resources (e.g., information on Early Learning and Development Programs that meet their children’s needs) or they may directly support nonprofit child care programs that are improving in quality and that serve high concentrations of high need children. As part of the rollout of the integrated TQRIS, CECCs will do outreach at the local level to encourage these types of partnerships that will bring more private resources into the system to support program improvement.

Key activities, milestones, roles and timeline to implement the plan addressing (B)(2)(b)

- Key activity 1: Codify integrated models and provide toolkits to support local implementation and innovation – Summer 2013 and beyond
 - An ECAC subgroup will be formed to support the development of toolkits, likely through a contractor, that codify potential options for what integrated models are possible (with input from state-funded preschool, Head Start, and child care providers and state office staff) during Spring/Summer 2013
 - The toolkits will be rolled out, and the Office of Early Childhood will accept grant proposals from CECCs that wish to support coordination of pilots at the local level to develop integrated programming options
 - Pilots will be launched in Fall 2013, and monitored during the first year of implementation
 - Pilots will be assessed in Fall 2014, and the Office of Early Childhood will determine how to roll out what is working at the local level (best practice sharing and collaboration to support additional integrated Early Learning and Development Programs will take place during 2015 and beyond)
- Key activity 2: Encourage and support the development of public-private partnerships to help fund improvement

- The ECAC will identify current examples and models of community partnerships supporting program improvement and provide this information to CECCs so that they can be local advocates for more of this type of partnership

Financial resources required for this plan: *See budget detail in (A)(4).*

Addressing (B)(2)(c): *See performance measures table below*

Performance Measures for (B)(2)(c): Increasing the number and percentage of Early Learning and Development Programs participating in the statewide Tiered Quality Rating and Improvement System											
Type of Early Learning and Development Program in the State	Number of programs in the State	<i>Baseline and Annual Targets -- Number and percentage of Early Learning and Development Programs in the Tiered Quality Rating and Improvement System</i>									
		Baseline (Today)		Target-end of calendar year 2012		Target - end of calendar year 2013		Target-end of calendar year 2014		Target- end of calendar year 2015	
		#	%	#	%	#	%	#	%	#	%
State-funded preschool <i>Specify:</i>	174 districts (average of 3 centers per district)	0	0	0	0	522	100	522	100	522	100
Early Head Start and Head Start ¹⁹	444 Head Start Centers	116	20	116	20	444	100	444	100	444	100
Programs funded by IDEA, Part C	1 program (First Steps) with 15 local access points	0	0	0	0	1*	100	1*	100	1*	100

¹⁹ Including Migrant and Tribal Head Start located in the State.

Performance Measures for (B)(2)(c): Increasing the number and percentage of Early Learning and Development Programs participating in the statewide Tiered Quality Rating and Improvement System											
Type of Early Learning and Development Program in the State	Number of programs in the State	<i>Baseline and Annual Targets -- Number and percentage of Early Learning and Development Programs in the Tiered Quality Rating and Improvement System</i>									
		Baseline (Today)		Target-end of calendar year 2012		Target - end of calendar year 2013		Target-end of calendar year 2014		Target- end of calendar year 2015	
		#	%	#	%	#	%	#	%	#	%
Programs funded by IDEA, Part B, section 619	<i>Within state-funded preschool</i>	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Programs funded under Title I of ESEA	<i>Within state-funded preschool</i>	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Programs receiving from CCDF funds	Licensed, certified, or within STARS	782	37%	782	37%	2,103	100	2,103	100	2,103	100
<i>Notes:</i>	<p><i>As described in the narrative, TQRIS rollout and implementation will occur from January 2013 to December 2013.</i></p> <p><i>*First Steps is the only program funded by IDEA, Part C, and is one program with 15 local access points (and ~1600 individual providers who are contracted with the Department of Public Health.) While First Steps will not be rated in the TQRIS as other programs will, First Steps will be aligned with the TQRIS Program Standards, as well as the Early Learning and Development Standards. Providers and service coordinators will provide information to parents about choosing quality child care that meets the needs of their child with disabilities. Providers may also help inform families about child care programs that are open to our early intervention services being delivered at the center or who are open to our providers consulting with the child care workers to embed early intervention strategies into the daily routine. Ensuring that our providers understand what quality is so that families receive accurate information is an area that we support through the First Steps program.</i></p>										

(B)(3) Rating and monitoring Early Learning and Development Programs. (15 points)

The extent to which the State and its Participating State Agencies have developed and implemented, or have a High-Quality Plan to develop and implement, a system for rating and monitoring the quality of Early Learning and Development Programs participating in the Tiered Quality Rating and Improvement System by--

(a) Using a valid and reliable tool for monitoring such programs, having trained monitors whose ratings have an acceptable level of inter-rater reliability, and monitoring and rating the Early Learning and Development Programs with appropriate frequency; and

(b) Providing quality rating and licensing information to parents with children enrolled in Early Learning and Development Programs (e.g., displaying quality rating information at the program site) and making program quality rating data, information, and licensing history (including any health and safety violations) publicly available in formats that are easy to understand and use for decision making by families selecting Early Learning and Development Programs and families whose children are enrolled in such programs.

In the text box below, the State shall write its full response to this selection criterion. The State may also include any additional information it believes will be helpful to peer reviewers. If the State has included relevant attachments in the Appendix, these should be described in the narrative below and clearly cross-referenced to allow the reviewers to locate them easily.

In scoring the selection criterion, peer reviewers will determine, based on the evidence the State submits, whether each element of the selection criterion is implemented or planned; the quality of the implementation or plan (see the definition of a High-Quality Plan for the components reviewers will be judging); the extent to which the different types of Early Learning and Development Programs in the State are included and addressed; and the extent to which the unique needs of the State's special populations of Children with High Needs are considered and addressed. The State is responsible for providing clear and detailed information to assist the peer reviewers in making these determinations.

Narrative for (B)(3) begins here.

Overview and goals for program monitoring and rating in Kentucky's integrated tiered quality rating and improvement system (TQRIS)

Program monitoring and rating with accuracy and reliability, through the use of valid, research-based tools, has been an important aspect of Kentucky's current TQRIS, STARS for KIDS NOW, and will continue to be central to Kentucky's future TQRIS – the integrated, common, statewide TQRIS that spans Early Learning and Development Programs and truly drives program quality. We will continue to use valid and reliable tools for monitoring and rating purposes, and will provide the quality rating and monitoring information to parents enrolled in Early Learning and Development Programs and more broadly to the public. Our key goal for (B)(3) is:

- To increase school readiness rates, particularly for Children with High Needs, by ensuring the integrated TQRIS provides accurate program quality information and ratings through use of Measures of Environmental Quality and Measures of the Quality of Adult-Child Interactions
- To make program quality and rating information publicly accessible and understandable such that parents and families can use rating information to (1) make decisions about which programs to select, and (2) demand improvement in the programs they have selected are not rated as high-quality

As described in (B)(1) and (B)(2), Kentucky has multiple systems to monitor Early Learning and Development Programs and ensure they meet a minimum set of requirements – licensing/certification/regulation for child care, Preschool Program Review (P2R) for state-funded preschool, and federally-managed monitoring systems for Head Start and First Steps. These programs use valid, reliable Measures of Environmental Quality, including the Early Childhood Environment Rating Scale- revised, or ECERS. For licensed child care programs participating in STARS, similar tools are also used (and vary for different age groups of children and program types) to rate these programs. STARS rating information is currently available publicly through the STARS website, and in October 2011, the Division of Child Care will release a new online tool to more easily access program quality information without having to search the STARS site.

Kentucky's integrated TQRIS will utilize some of the same valid and reliable Measures of Environmental Quality and Measures of the Quality of Adult-Child Interactions already used to monitor and rate programs, building from our knowledge base and experience with the STARS system. Furthermore, we are focused on continuous improvement of the programs within the TQRIS, as well as the system itself, and will always keep abreast of the latest research and tools available to ensure that we are utilizing the most reliable, high-quality, valid options.

Implementation to date: Rating and monitoring Early Learning and Development Programs

Implementation of sub-criteria (B)(3)(a) for state-funded preschool: The Preschool Program Review (P2R) process includes a valid and reliable tool for monitoring programs, the Early Childhood Environmental Rating Scale (ECERS-R), trained monitors with high levels of inter-rater reliability, and monitoring and evaluation of programs in cohorts every 5 years. The Preschool Program Review process has two purposes: regulation compliance and ensuring high-quality classrooms. The process used to verify regulation compliance involves the completion of an online report, desk audit and/or onsite visit. During the year each district goes through the Preschool Program Review process, the preschool coordinator completes an online report documenting how the program meets the preschool program regulations. These reports include such artifacts as samples of daily lesson plans, parent communications, and daily schedules. KDE reviews this information via desk audit and some districts may receive an onsite visit.

The current process used to verify high quality state-funded preschool classrooms involves classroom observations using the Early Childhood Environmental Rating Scale (ECERS-R). This process includes multiple phases, beginning with staff attending ECERS-R training and district evaluators attending training to achieve inter-rater reliability. Some districts also conduct baseline observations. Then, districts evaluate all classrooms using the ECERS-R (using trained ECERS-R observers). Regional Training Centers conduct ECERS-R on 30% of classrooms (random sample) during the cohort year (at least one visit per site). KDE then provides districts with commendations, recommendations, and findings based on review of the evaluation results, and districts complete action plans to address these findings.

Additionally, KDE has established a process to identify high quality state-funded preschool classrooms, called “Classrooms of Excellence.” This voluntary process will help assure that the children of Kentucky enrolled in state-funded preschool have the highest quality possible in their early learning environments. Included in the process is the Quality Self-Study which enables programs to self-evaluate the classroom environment, the qualification of the teachers as well as other characteristics of high quality. The Classrooms of Excellence that achieve this distinction will serve as models of practice for other districts in the region through on-site consultation, mentoring and presentations at state, regional and national conferences, and are rewarded and celebrated publicly each year.

Parent and staff feedback is also part of preschool program evaluation. Preschool Program regulation 407 KAR 3:410 Section 9, Program Evaluation specifies that: (1) “At least annually, parents, staff and other professionals shall be involved in evaluating the local preschool program’s effectiveness in meeting the needs of participating children . . . (b) parental satisfaction with services provided . . .” Most districts collect this feedback through surveys, and create action plans to address areas where parents feel that their children’s needs are not being met.

The above outlines the current monitoring and improvement process for state-funded preschool, for which there currently is not a tiered rating system.

Implementation of sub-criteria (B)(3)(a) for Head Start programs/centers: Head Start programs are monitored through the National Head Start Office. This federal process uses valid and reliable tools (e.g., the Classroom Assessment Scoring System (CLASS) is currently being piloted in Kentucky); tiered rating is not currently part of this system.

Implementation of sub-criteria (B)(3)(a) for licensed child care programs: The STARS system uses multiple valid and reliable observational tools for monitoring programs (ECERS-R, ITERS-R, FDCRS, SACERS), trained monitors with high levels of inter-rater reliability, and at a frequency depending on a program’s tier. The current tools are ECERS-R, Infant/Toddler Environmental Rating Scales-revised (ITERS-R), Family Day Care Rating Scale (FDCRS), and the School-Age Care Environmental Rating Scale (SACERS). Because STARS includes both center-based and home-based programs, it is necessary to include a multitude of measures to cover all age ranges and types of programs in the system.

An assessment happens initially and then at every subsequent rating according to STAR level: Level 1-valid for 1 year; Level 2-valid for 2 years; Level 3-valid for 3 years; Level 4-valid for 4 years. Classrooms to observe are chosen by random selection. An environment assessment is completed during each rating visit for 33% of the total number of classrooms, including at least one classroom for each of the following age groups for which the center provides care: Infant, Toddler, Preschool, and School age. Rating visits are conducted by STAR Team Raters from the Department for Community Based Services, Division of Child Care. Anchors for the program are employed through contract with the University of Kentucky Human Development

Institute who directly supervise the STARS Quality Coordinators; STARS has 5 Anchors on staff. Inter-rater reliability is emphasized; observers must maintain an average of 85% and have reliability checked every 6th observation visit. Raters must maintain an average of 90% or higher every 10th visit.

As part of the STARS evaluation currently underway, external evaluators (Child Trends) are assessing the possible Measures of Environmental Quality and Measures of the Quality of Adult-Child Interactions, and developing recommendations on how to proceed to increase accuracy, decrease redundancies, and ensure focus on what matters most to drive children's outcomes and school readiness.

Implementation of sub-criteria (B)(3)(b): Quality rating information on licensed child care programs is available publicly on the STARS website. Parents and families can search hundreds of child care centers by region, and can sort by STAR level. In October 2011, the Cabinet for Health and Family Services is launching a new online tool (that cost \$1.5M to develop) and that will provide program quality information more broadly and easily accessible (versus having to search the STARS site). Additionally, CECCs and CCR&Rs provide information and conduct outreach to families in their communities to provide more detailed information on available programs and options.

Kentucky's plans for rating and monitoring Early Learning and Development Programs through the TQRIS

Plan to address (B)(3)(a): Kentucky's integrated TQRIS will monitor and rate Early Learning and Development Programs with valid and reliable tools, a high level of inter-rater reliability, and at an appropriate frequency to ensure accurate information

Kentucky's integrated TQRIS will utilize valid and reliable tools to monitor and rate Early Learning and Development Programs, building from our knowledge base and experience with robust monitoring of state-funded preschool, Head Start, and licensed child care programs in the STARS system. Additionally, as part of the current STARS evaluation underway, we will have a rich set of research from the evaluators that addresses these questions:

- What rating structure and process is most effective for STARS? (I.e., produces a valid rating that reflects the quality of Early Learning and Development Programs, and promotes participation by programs across tier levels)
- How do providers perceive the current rating structure and process?
- Which parts of the current rating structure and process are challenging to providers?
- How else could the rating system be structured?
- What improvements could be made to the current STARS measurement strategy?
- What measures need to be updated? (Researchers are assessing CLASS, ECERS, ITERS, FCCRS, SACERS, and other tools and measures used in other states)
- What additional aspects of quality could be included in the STARS standards?

The measures and tools selected must be research-based and proven to be valid, and will likely continue to include Measures of Environmental Quality like ECERS, as well as the potential addition of Measures of Quality of Adult-Child Interactions like CLASS where appropriate. Furthermore, the tools selected must have evidence to indicate that they measure indicators that are predictive of school readiness. Each program type participating in the TQRIS will be rated and monitored using the specified tools and associated process (e.g., home-based programs would use the relevant set of tools for each age group of children). As described in the key activities, Kentucky will undertake an extensive process to select the best measures and tools for its TQRIS. Furthermore, Kentucky will keep abreast of the latest research and tools developed, and will revisit the rating and monitoring tools over time to ensure that the most effective program evaluation is taking place. While there are multiple measures and tools that are geared toward center-based settings, there are fewer options for home settings and unstructured care. Therefore, Kentucky will work to seek out or develop options for all settings so that all Early Learning and Development Programs are able to receive rating and monitoring data – critical for placement on the TQRIS and to inform continuous improvement.

Currently, the Preschool Program Review and STARS system raters undergo extensive training to ensure reliable, accurate results. Learning from these processes, Kentucky will implement a TQRIS rater training program that builds a cadre of effective raters with high-levels of inter-rater reliability. We will work with experts on the measurement tools we select, and will create a unified system of raters by transitioning current raters across our systems and Early

Learning and Development Programs into one cadre of TQRIS raters that is well-trained on the tools. Raters will also be peer reviewed for understanding across whole child, multi-domain concepts to provide insight on the meaning and uses of monitoring tools. Additionally, Kentucky will assess the total number of raters, and ensure that the cadre is large enough to provide frequent programmatic reviews, leading to consistent, accurate program quality information on a continuous basis.

As described in previous (B) sections, TQRIS raters will be separate from program monitoring processes – these processes are viewed as punitive whereas the rating will be developmental and focused on improvement. TQRIS raters will not rate on the Program Standards already covered through licensure or basic monitoring of state-funded preschool and Head Start programs. This will reduce redundancies in the system.

Rating and monitoring Early Learning and Development Programs will give local communities, regions, and the state a baseline of the quality of programs that serve our children and the strengths and needs of Early Learning and Development Programs and local communities and their ability to provide children with the environment and learning and development opportunities that best promote school readiness.

Key activities, milestones, roles and timeline to implement the plan addressing (B)(3)(a)

- Key activity 1: Identify the rating tools for the integrated TQRIS
 - The cross-agency TQRIS work group referenced in (B)(1) and (B)(2) will assess the STARS evaluation results regarding existing rating and monitoring tools and processes, and identify the best practice elements already in place, to integrated into the TQRIS rating and monitoring process (by May 2012)
 - The work group will also do a review of other tools and processes in the field of early childhood program quality rating, and engage with experts to ensure that all potential options for the rating and monitoring tools and process are assessed (by May 2012)
 - Because the monitoring and rating tool and process provides helpful quality information to inform program ratings, it also provides helpful information to inform program improvement. As such, the work group will engage early

- childhood program representatives and CECC leaders to solicit feedback on a short-list of options for the rating tool (by May 2012)
- Based on this analysis and assessment of the possible options, and the feedback from program and CECC personnel, the work group will select a tool and develop the process to implement it for TQRIS rating and monitoring (by June 2012)
- Key activity 2: Develop the training processes for TQRIS program raters
 - Based on the rating tools and associated processes, the work group will develop a plan for training all raters on these tools/processes, including recommendations on any external experts/consultants to work with on training (by early June 2012)
 - *See key activities in (B)(2) for more detail on the rater training plan*

Plan to address (B)(3)(b): Providing quality rating information to parents

A key component of changing community values around quality early learning and development is to provide quality rating and licensing information to parents with children enrolled in Early Learning and Development Programs (e.g., displaying quality rating information at the program site) and making program quality rating data, information, and licensing history (including any health and safety violations) publicly available in ways that are easy to understand and use for decision making by families selecting programs and families whose children are enrolled in such programs. Parents and families must be given the information on what is high quality, and what to look for in an Early Learning and Development Program so they can make informed choices that will best promote a child's success in school and in life.

The database developed by the Cabinet for Health and Family Services (CHFS), the Kentucky Integrated Child Care System, KICCS 4.0, has been a huge development toward these ends. The new KICCS enhancements include the addition of real-time Licensed and Certified Provider data, a Public website for Regulated Provider data, Public site for applying to become a regulated provider and expanded features for providers on the Provider Portal (see page 326 of the Appendix for a screenshot from KICCS 4.0). As we build out the early childhood data system described in (E)(2), we will ensure that new information is integrated into this new system. The Community Early Childhood Councils and Child Care Resource & Referral Agencies will also

work at the local level to reach out to parents and ensure that they understand the program quality information as they make decisions to select Early Learning and Development Programs for their children.

Key activities, milestones, roles and timeline to implement the plan addressing (B)(3)(b)

- Key activity 1: Develop and launch the information dissemination plan
 - The work group will develop a draft plan and approach for making the program quality rating information available publicly during Summer/Fall 2012, building from the KICCS 4.0 work and implementation already underway
 - The work group will convene focus groups of parents, program providers, CECC members, and other key stakeholders to get input on the draft plan and approach, and to get feedback on sample formats to display the program quality information (e.g., what level of detail is shown, how easy it is to understand, online and print versions, etc.) during Summer/Fall 2012
 - The work group will finalize the plan and approach by the end of Summer 2012; outlining how the information from the integrated TQRIS and expanded breadth of Early Learning and Development Programs participating, will be integrated and built from the KICCS 4.0 system
 - As the phases of ratings are completed, program quality data will be entered into the online portal during 2013
 - During this time, the CECCs will also develop local information dissemination plans to ensure that parents in their communities access and understand the program quality data, either through the online portal or other means, depending on what will work best for each community (will develop and implement these approaches over the course of the 2012-2013 year as the TQRIS is phased in)

Financial resources required for this plan: *See budget detail in (A)(4).*

(B)(4) Promoting access to high-quality Early Learning and Development Programs for Children with High Needs. (20 points)

The extent to which the State and its Participating State Agencies have developed and implemented, or have a High-Quality Plan to develop and implement, a system for improving the quality of the Early Learning and Development Programs participating in the Tiered Quality Rating and Improvement System by--

(a) Developing and implementing policies and practices that provide support and incentives for Early Learning and Development Programs to continuously improve (*e.g.*, through training, technical assistance, financial rewards or incentives, higher subsidy reimbursement rates, compensation);

(b) Providing supports to help working families who have Children with High Needs access high-quality Early Learning and Development Programs that meet those needs (*e.g.*, providing full-day, full-year programs; transportation; meals; family support services); and

(c) Setting ambitious yet achievable targets for increasing--

(1) The number of Early Learning and Development Programs in the top tiers of the Tiered Quality Rating and Improvement System; and

(2) The number and percentage of Children with High Needs who are enrolled in Early Learning and Development Programs that are in the top tiers of the Tiered Quality Rating and Improvement System.

In the text box below, the State shall write its full response to this selection criterion. The State may also include any additional information it believes will be helpful to peer reviewers. If the State has included relevant attachments in the Appendix, these should be described in the narrative below and clearly cross-referenced to allow the reviewers to locate them easily.

In scoring the selection criterion, peer reviewers will determine, based on the evidence the State submits, whether each element of the selection criterion is implemented or planned; the quality of the implementation or plan (see the definition of a High-Quality Plan for the components reviewers will be judging); the extent to which the different types of Early Learning and Development Programs in the State are included and addressed; and the extent to which the unique needs of the State's special populations of Children with High Needs are considered and addressed. The State is responsible for providing clear and detailed information to assist the peer reviewers in making these determinations.

Additionally, the State must provide baseline data and set targets for the performance measures under (B)(4)(c)(1) and (B)(4)(c)(2).

Narrative for (B)(4) begins here

Overview and goals for ensuring Children with High Needs are accessing high-quality

Early Learning and Development Programs

Improving program quality, and therefore the outcomes of the children in these Early Learning and Development Programs, is at the core of our early childhood development plans. We will catalyze and enable the continuous improvement of Early Learning and Development Programs through policies and practices that support and incent continuous improvement, and will also provide supports to help working families who have Children with High Needs access high-quality programs. Our key goals for (B)(4) are:

- To increase school readiness rates for Children with High Needs by increasing the quality of the Early Learning and Development Programs serving Children with High Needs
- To increase school readiness rates for Children with High Needs by helping the families of those children access and attend high-quality Early Learning and Development Programs

Proving high-quality Early Learning and Development Programs for Children with High Needs has been a focus for Kentucky for decades. State-funded preschool and Head Start are, by definition, for Children with High Needs. All children in these programs are either low-income or have special needs. These programs, as described in the previous plans in (B), are held to rigorous, high Program Standards and are monitored, evaluated, and supported to continuously achieve those Program Standards. For licensed child care and Head Start centers that choose to participate, Kentucky has had the STARS quality rating system for over a decade. STARS for KIDS NOW represents a collaborative effort to ensure that young children in Kentucky are in early care and education settings that are seeking ever-increasing quality. The STARS goals are: (1) Increase the quality of child care for all children; (2) Recognize and reward quality child care; (3) Provide consumer awareness/guidance for families; and (4) Increase capacity for high-need children (who receive subsidies) in higher quality Early Learning and Development Programs.

Our current efforts and approaches are not sufficient to effect the significant program improvement required to meet our goals. Therefore, Kentucky will develop and implement a multifaceted program support and improvement infrastructure. One of the key recommendations in the RAND Education study entitled “Child-Care Quality Rating and Improvement Systems in Five Pioneer States” is as follows: “To effect change, a QRIS needs to provide a mix of staff development, financial incentives, and QI support.” We will also work to improve and expand

supports for working families who have Children with High Needs to access high-quality child care.

Implementation progress to date: Ensuring Children with High Needs are accessing high-quality programs

Implementation of sub-criteria (B)(4)(a) for state-funded preschool: State-funded preschool programs, as described in (B)(1, 2, 3), adhere to rigorous standards for quality. The Kentucky Department of Education (KDE) enables preschool programs to meet these high standards beginning with the P2R evaluation described in (B)(3). The information and feedback provided through this evaluation and monitoring process is the rich data that programs' improvement plans are built from. KDE and local districts provide multiple trainings and professional development opportunities each year. Early childhood professional development programming is described in more detail in (D) on the early childhood workforce. Additionally, the Early Childhood Regional Training Centers provide a range of services for the early childhood community including regional trainings/workshops, on-site consultations, lending library of materials, annual statewide and regional collaborative institutes.

Through the "Classrooms of Excellence" recognition program, state-funded preschool programs are incented and motivated to improve, and then share their practices with other programs regionally and statewide.

Implementation of sub-criteria (B)(4)(a) for Head Start programs/centers: Through the Kentucky Head Start Collaboration Office and the Kentucky Head Start Association, Head Start programs and centers receive multiple supports, namely trainings, professional development, and partnership opportunities. Additionally, those Head Start centers that participate in STARS receive technical assistance through that system (described below). The mission of the Kentucky Head Start State Collaboration Office is to increase the accessibility of quality services to low-income children ages 0-5 and their families by supporting the development of partnerships on a state and local level among Head Start programs and services and Kentucky agencies organizations, business and families. Through assisting in the process of strategic planning and goal setting, the office works with the Head Start community to improve collaboration with our many partner organizations, agencies and supporting foundations.

The Kentucky Head Start Association supports the Kentucky Head Start community's efforts to enrich the lives of children and families in the Commonwealth through advocacy, collaboration and training. For example, in June 2011, the Association partnered with many early childhood organizations to hold an Early Childhood Summer Institute, with sessions like “10 Principles of Professionalism in the Early Childhood Field,” “Beyond Blocks: Materials To Add To the Block Center To Promote Science and Literacy,” and “Brain Research and the Special Needs Learner.”

Implementation of sub-criteria (B)(4)(a) for licensed child care programs: Kentucky is unique in that it developed a tier structure at the beginning of the TQRIS that included family home care and provides a wealth of knowledge of best practices and how to address barriers to reaching children in unstructured settings and improving all types of settings. For licensed and certified programs, free technical assistance is provided by Kentucky's network of Child Care Resource and Referral Agencies around basic licensing standards. The STARS Quality Coordinators through a contract with the Quality Enhancement Initiative out of the University of Kentucky, along with local health departments, and Early Childhood Mental Health Consultants provide additional TA to help centers prepare for the STARS rating process. Through this partnership, there are 25 STARS Quality Counselors, and 10 professional development counselors, that work with STARS child care facilities to help the development and execution of improvement plans to move up tiers in the system.

Upon receiving a star rating, programs are eligible for a one-time cash STAR Achievement Award. Additional quality incentive dollars are available, on a quarterly basis, based on the size of the program, the number of subsidy children served, and the level of STAR attainment. Assistance with staff training and education is offered through the Early Childhood Development Scholarship Program. A career matrix is developed with a Professional Development Counselor to recruit and assist teachers enrolled in child development courses.

While any licensed child care program may participate in STARS (whether or not they serve Children with High Needs), those programs that serve children receiving subsidies through CCDF are incentivized to improve through greater financial incentives. See pages 328-331 of the Appendix for the tables outlining the award amounts for different types of programs (center-based and home-based) for each STARS level.

Implementation of sub-criteria (B)(4)(b): Kentucky has a history of targeting supports and funding to at risk families and Children with High Needs through the sustained funding commitment of the KIDS NOW programs, private funders for local community supports such as the Community Early Childhood Councils that serve all of our local communities, the LEAP program in Madison County, United Way Success by 6, and Children Inc. in Northern Kentucky. All of the local and state partners have a strong history of collaboration and coordinated efforts that include using the current STARS program to increase quality and provide families the information and support needed to help their children succeed, and to provide local programs the support needed to truly provide high quality early care and education to Children with High Needs.

Multiple supports to high need families are provided through the Child Care Resource and Referral Agencies and the CECCs. These local resource hubs conduct outreach to families and connect them with the supports and resources (transportation, meal programs through health services, medical care, etc.) they need so that children in working families can access programs and become school ready.

Kentucky's plans for ensuring Children with High Needs are accessing high-quality Early Learning and Development Programs

Plans to address (B)(4)(a): Developing and implementing policies and practices that provide supports and incentives for Early Learning and Development Programs to continuously improve, with a particular focus on those serving Children with High Needs

Kentucky's integrated TQRIS will provide program quality data that will inform targeted supports to improve Early Learning and Development Programs, particularly those serving Children with High Needs. Building from the current forms of support provided to programs to improve quality, the program support system going forward will include multiple elements, as described below:

- Financial supports – reimbursements, rewards, and incentives: All tiers above tier 1 of the TQRIS will receive reimbursements and financial support determined by the tier. This is the base level of funding Early Learning and Development Programs will receive. As outlined in the budget narrative, Early Learning and Development Programs in the top

tiers of the TQRIS will receive significantly more funding than those in lower tiers. Additionally, similar to the award system in STARS, cash awards and incentives will be provided to programs as they progress upward in tiers of the TQRIS. Programs that serve more Children with High Needs (e.g., children from low-income families and those receiving CCDF subsidies, children with special needs, etc.) will be eligible to receive more money per-child than programs that do not serve high proportions of Children with High Needs. For Head Start and state-funded preschool programs, which only serve high-need children by definition, and for which the basic requirements will place programs automatically at a mid-tier quality level, additional financial incentives will only be available for the top two tiers of the five tiered TQRIS.

- Special recognition and prizes: Based on the current Classrooms of Excellence program, there will be a competition to achieve the “Early Childhood Program of Excellence” award. Only Early Learning and Development Programs in the top tiers of the TQRIS will be eligible, and the reward will be granted based on children’s growth toward school readiness during one year in the program as measured by a comprehensive set of assessments (see C2 for more information on the suite of assessments programs will utilize), parent survey data, proportion of Children with High Needs served (for child care), and the program’s use of innovative or new techniques and practices that others can learn from. Winners will receive statewide recognition and celebration, a cash prize, and opportunities to speak and present at conferences to share their best practices with other programs and regions.
- Training, professional development, and scholarships: Educator and program staff talent and capacity are critical to drive program improvement; as such, improvement of the Early Childhood Educator workforce will be a focus of program improvement action plans (see (D) for more detailed Early Childhood Educator workforce development plans.) Programs that are serving high proportions of Children with High Needs will be eligible to apply for scholarship opportunities to support educational advancement and specialization for Early Childhood Educators. This will be possible through collaboration with the Kentucky Higher Education Advancement Association (KHEAA).
- Technical assistance and resource aggregation: In addition to the TA provided through the monitoring and regulatory processes of different Early Learning and Development

Programs, we will provide TA specific to the TQRIS (similar to the current support provided through the partnership with the University of Kentucky's Quality Enhancement Initiative). Also, as described in multiple plans in this application, the CECCs will provide the local infrastructure to support program improvement. This will include working with Early Learning and Development Programs to assess their rating data and developing action plans for improvement, identifying key resources gaps and developing community-based partnerships to ensure programs have what they need to continuously improve, provide communication and outreach to ensure all Early Learning and Development Programs know about the supports available to them for participating in the TQRIS.

Different types of Early Learning and Development Programs may have different needs, and may face different barriers to quality improvement. As we work to design the integrated TQRIS, we will engage representatives and stakeholders from across the early childhood community, including Early Learning and Development Programs and providers of all kinds (and licensed and non-licensed), parents, state office personnel, community leaders and CECC members, nonprofit organizations and community partners, and so on. This input will inform the support and improvement structure of the TQRIS, and ensure that all types of Early Learning and Development Programs get what they need to improve the outcomes of children with high need.

As described in (B)(2), the work group designing the TQRIS that will include representatives from all agencies and program types, will map existing licensing and regulating/monitoring standards to the TQRIS Program Standards to determine at which tier existing programs will enter the TQRIS. For example, because the current Head Start and state-funded preschool program standards include more comprehensive requirements than child care licensure, these programs will likely enter the system at tier 2 or tier 3 (depending on the mapping with the new TQRIS Program Standards). Similarly, the current STARS system Program Standards will be mapped with the new TQRIS Program Standards, and current STARS-rated programs will be placed on a tier accordingly. For example, current programs with 1 STAR will likely move to the second tier, since licensure will be equivalent with the first tier in the integrated system.

As mentioned in other sections, the current STARS evaluation underway will provide important information to inform the design of the integrated TQRIS. Key questions regarding the technical assistance and program support structure include:

- What recommendations can be made to enhance the STARS TA process?
- What TA and support is currently being provided? How is TA and support being coordinated? (Evaluators are assessing the timing, dosage, and intensity of each type of support offered, and connecting that with the resulting program improvement)
- What information can be reported on from the Quality Tracking System that would best support STARS policy decisions?
- How do child care providers perceive the CCR&Rs and services they provide?

With this information, which includes key feedback and surveys from providers, we will be able to formulate a menu of supports and TA that will be truly facilitate program improvement.

Key activities, milestones, roles and timeline to implement the plan addressing (B)(4)(a)

- Key activity 1: Identify specific sets of activities/supports within each category of program improvement support that will be provided
 - The TQRIS work group, which includes representatives from the ECAC TQRIS and Community Engagement subgroup, KDE, the Office of Early Childhood, the Division of Child Care, and Head Start, will take stock of the existing support structure, and conduct field research to collect evidence of best practices from elsewhere (Spring 2012)
 - The TQRIS work group will coordinate stakeholder engagement to get input on a draft menu of supports by TQRIS tier (Spring 2012)
 - The TQRIS work group will outline a detailed menu of supports, by TQRIS tier and overall, and will recommend which agencies will provide those supports (e.g., PD-related supports likely will be run by the PD division in the Office of Early Childhood, the competitive prize incentive may be run by KDE since they already have experience with the Classrooms of Excellence program) – Spring 2012
- Key activity 2: Determine resources required to undertake identified supporting activities

- The TQRIS work group will work with budget representatives to review current funding streams and structure to identify ways to target funding and supports to programs that serve Children with High Needs (early 2012)
- The TQRIS work group will work with budget representatives to set the reimbursement and award amounts (Spring 2012)
- The TQRIS work group will ensure that implementation of the menu of supports is feasible, and will develop a phasing in of any new supports to ensure sufficient lead time to line up resources and local business community and other supports (Spring 2012)
- Key activity 3: Implement TQRIS program improvement support structure
 - The Office of Early Childhood, in its oversight and governance role with the TQRIS, will manage rollout of the program improvement structure and menu of supports alongside rollout of the TQRIS (see phasing in (B)(2)) – beginning in Fall 2012, going through Summer 2013

Plans to address (B)(4)(b): Providing supports to help working families who have Children with High Needs access high-quality Early Learning and Development Programs that meet those needs

Kentucky will integrate and expand the resources that working families receive, so that families do not have to seek out multiple agencies and support centers to access help. The core local entities providing supports will continue to be the Family Resource & Youth Services Centers (FRYSCs), the Child Care Resource and Referral Agencies (CCR&Rs), with communication and outreach support from the CECCs. With the CECCs serving in a facilitation and coordinating role, with FRYSC and CCR&R representatives on each local council, these agencies can integrate their service provision at the local level to ensure families' needs are met. CECCs will also be critical to facilitate and conduct outreach into the community – working with the FRYSCs, CCR&Rs, HANDS (home visitation program), and health-related services and supports to identify the working families in need of additional supports.

Some CECCs are already playing this role. For example, one CECC representative described a CECC meeting where a local family with a child with multiple special needs was

brought up for discussion. Collectively, the council brainstormed options to support this child and get him the health services he needed, the transportation his parents needed to get him to an early childhood program, and they determined which program would be the best fit to meet his particular behavioral and educational needs. This type of local collaboration is critical to truly help working families access high-quality early childhood care and programming.

As described in (B)(2), Kentucky is very supportive of integration across Early Learning and Development Programs to better meet the needs of working families. This integration can take many forms, but the key goals of integrated programs will be: 1) to reduce redundancies and paperwork for working families in need of multiple types of programming (because they need care for most of the day), and 2) to ensure that the needs of working families are met and children are receiving the best care and education possible. To these ends, the toolkits described in (B)(2) will help programs understand what an integrated or blended model may look like. To provide an example different from the one described in (B)(2), the state-funded preschool classroom may be the facility where the program is held. The day could begin at 7am, when a child care provider is present to receive children and begin care. Then, preschool takes place from 8am to 11am (most preschool programs are three hours). Following preschool, the child care provider takes over for the remainder of the day, and the child care team leader or director spends time with the preschool teacher from 11am to noon to discuss how preschool went and if there are any issues or concerns to be sure to address during the remainder of the day. In this program, there is no need for additional transportation, and children are cared for in one setting, with the social cohort they are accustomed to, and therefore do not undergo unnecessary mental and social stress each day. These are the kinds of models that we seek to pilot and assess in Kentucky.

We believe that this type of collaboration among public preschool, community-based child care programs and Head Start is essential. Kentucky law currently provides for collaborative models, but these strategies have not been fully embraced throughout the state.

Collaborative efforts must support working families who need services beyond school hours, 52 weeks a year. A diverse early childhood program delivery system will be more cost effective by using existing community-based programs. The collaboration should balance both the economic realities of community-based child care programs and the need for

quality and availability within the community. In addition, many young children are transported each day from home to child care to a half-day preschool program at school and back. This is costly and less than ideal care for young children. With the recent change in 4-year-old income eligibility from 130 percent to 150 percent of poverty for the state preschool program, community-based child care providers are reporting the need to close classrooms because more children are taking advantage of the free preschool program at their local schools. School leaders want to increase availability of preschool, but they want to assure that expanded pre-k programs are of high quality.

Kentucky needs high quality child care for its youngest children (infants/toddlers) as well. Efforts to expand early care and education programs must assure that they strengthen both preschool and child care services. Therefore, as described in (B)(2), the state will provide financial incentives to ensure collaboration. The above recommendations were included in a collaborative effort spearheaded by the Prichard Committee in 2007. This effort, called “Strong Start Kentucky,” includes an initial set of communications to clarify these concepts around integration and collaboration amongst Early Learning and Development Programs. We will use the existing Strong Start Kentucky research and recommendations as the first step toward greater program collaboration and integration.

Furthermore, there are already best practices emerging in some places in Kentucky. The Madison County Early Childhood Alliance, also referenced in other sections of this application, is a leader in showcasing the power of collaboration across Early Learning and Development Programs. See pages 199-216 of the Appendix for materials and documentation from this program, led by Superintendent Tommy Floyd.

Key activities, milestones, roles and timeline to implement the plan addressing (B)(4)(b)

- Key activity 1: Create detailed plan for how communities will mobilize existing resources to support working families
 - The ECAC (Community Engagement subgroup in particular) will support CECCs to develop plans to address the needs of local communities (beginning in early 2012 with the highest-capacity CECCs, then with other CECCs as they build capacity over the course of 2012-2013)

- The Office of Early Childhood , with guidance from the ECAC, will convene CECC leaders to facilitate best-practice sharing across regions, with a particular focus on what is working to best meet the needs of working families (Summer 2013)
- Key activity 2: *see (B)(2) on developing blended or integrated models to pilot and assess*

Financial resources required for this plan: *See budget detail in (A)(4).*

Addressing (B)(4)(b): Performance measures –

Performance Measure for (B)(4)(c)(1): Increasing the number of Early Learning and Development Programs in the top tiers of the Tiered Quality Rating and Improvement System.					
	Baseline (Today)	Target- end of calendar year 2012	Target- end of calendar year 2013	Target- end of calendar year 2014	Target- end of calendar year 2015
Total number of programs covered by the Tiered Quality Rating and Improvement System	1003 (currently 1 STAR licensed programs are not i)	1003	3526	3526	3526
Number of programs in Tier 1 (1 STAR/ licensure)	1877 (currently licensed)	1877	939	910	883
Number of programs in Tier 2 (2 STARS)	163 (currently 1 STAR)	163	380	397	412
Number of programs in Tier 3 (3 STARS)	573 (currently 2 STARS)	573	1368	1338	1310
Number of programs in Tier 4	242 (currently	242	727	746	764

(4 STARS)	3 STARS)				
Number of programs in Tier 5 (5 STARS)	25 (currently 4 STARS)	25	113	135	157

Include a row for each tier in the State’s Tiered Quality Rating and Improvement System, customize the labeling of the tiers, and indicate the highest and lowest tier.

Baseline Data is actual and targets are based on a financial model which assumes 3% of programs move into higher tiers each year. Further details on financial model assumptions may be founded in the budget narratives

**STARS tiers are shown for the future TQRIS where STAR 1 will be the rating for only licensed programs. In our baseline data, we have shown 1,877 programs in STAR 1, these are not currently in the TQRIS as it stands now, but will be included in the future system*

5 STAR is the highest tier; 1 STAR is the lowest

Performance Measures for (B)(4)(c)(2): Increasing the number and percentage of Children with High Needs who are enrolled in Early Learning and Development Programs that are in the top tiers of the Tiered Quality Rating and Improvement System.											
Type of Early Learning and Development Program in the State	Number of Children with High Needs served by programs in the State	<i>Baseline and Annual Targets -- Number and percent of Children with High Needs Participating in Programs that are in the top tiers of the Tiered Quality Rating and Improvement System</i>									
		Baseline (Today)		Target-end of calendar year 2012		Target - end of calendar year 2013		Target-end of calendar year 2014		Target-end of calendar year 2015	
		#	%	#	%	#	%	#	%	#	%
State-funded preschool <i>Specify:</i>	23,342	0	0	0	0	11,671	50	11,951	51	12,225	52
Early Head Start and Head Start ²⁰	16,927	N/A	N/A	N/A	N/A	8464	50	8667	51	8865	52
Early Learning and Development Programs funded by IDEA, Part C	4,641	0	0	0	0	2321	50	2367	51	2413	53
Early Learning and Development Programs funded by IDEA, Part B, section 619	11,447	0	0	0	0	5724	50	5838	51	5952	53
Early Learning and Development Programs funded under Title I of ESEA	N/A	0	0	0	0	N/A	50	N/A	51	N/A	53

²⁰ Including Migrant and Tribal Head Start located in the State.

Performance Measures for (B)(4)(c)(2): Increasing the number and percentage of Children with High Needs who are enrolled in Early Learning and Development Programs that are in the top tiers of the Tiered Quality Rating and Improvement System.											
Type of Early Learning and Development Program in the State	Number of Children with High Needs served by programs in the State	<i>Baseline and Annual Targets -- Number and percent of Children with High Needs Participating in Programs that are in the top tiers of the Tiered Quality Rating and Improvement System</i>									
		Baseline (Today)		Target-end of calendar year 2012		Target - end of calendar year 2013		Target-end of calendar year 2014		Target-end of calendar year 2015	
		#	%	#	%	#	%	#	%	#	%
Early Learning and Development Programs receiving funds from the State's CCDF program	44,330	2,784	16	2,784	16	6,407	14	6,969	16	7,520	17
<p><i>As described in the narrative, TQRIS rollout and implementation will occur from January 2013 to December 2013. STARS 4 and STARS 5 are the top tiers for the state.</i></p> <p><i>The methodology used for baseline data, except for State funded preschool, is the actual program count gathered by the relative programs. Data is not collected on the current distribution of Head Start children by tier. State pre-K centers are estimated based on the assumption of 3 centers per each of the 174 districts. We estimated the initial quality distribution of Head Start and State pre-K to be 10% STAR 2, 40% STAR 3, 40% STAR 4, and 10% STAR 5 based on the current rating scale and Head Start and State pre-K performance to date. The quality distribution of new CCDF programs entering STARS was estimated to be 50% STAR 1, 8% STAR 2, 29% STAR 3, and 12% STAR 4, and 1% STAR 5 based on current proportions of CCDF programs in STARS and knowledge of quality levels among licensed providers. To approximate the movement of children to higher tiers, we evaluated current trends and estimated that 3% of all children would move upwards in tiers from one year to the next.</i></p> <p><i>These program totals double count children, and each program should be viewed separately, i.e., there are some children included in the Head Start program that are also in State pre-K and vice versa; this duplication is due to blended programs.</i></p> <p><i>*First Steps is the only program funded by IDEA, Part C, and is one program with 15 local access points (and ~1600 individual providers who are contracted with the Department of Public Health.) While First Steps will not be rated in the TQRIS as other programs will, First Steps will be aligned with the TQRIS Program Standards, as well as the Early Learning and Development Standards. Providers and service coordinators will provide information to parents about choosing quality child care that meets the needs of their child with disabilities. Providers may also help inform families about child care programs that are open to our early intervention services being delivered at the center or who are open to our providers consulting with the child care workers to embed early intervention strategies into the daily routine. Ensuring that our providers understand what quality is so that families receive accurate information is an area that we support through the First Steps program.</i></p> <p><i>**Programs funded by IDEA Part B are incorporated within State funded preschool and will not be rated separate from State funded preschool. The percentage of children in the top tiers would resemble that of State funded preschool.</i></p> <p><i>*** Programs funded by Title I of ESEA are incorporated within State funded preschool and will not be rated separate from State funded preschool. The percentage of children in the top tiers would resemble that of State funded preschool.</i></p>											

(B)(5) Validating the effectiveness of the State Tiered Quality Rating and Improvement System.
(15 points)

The extent to which the State has a High-Quality Plan to design and implement evaluations--working with an independent evaluator and, when warranted, as part of a cross-State evaluation consortium--of the relationship between the ratings generated by the State's Tiered Quality Rating and Improvement System and the learning outcomes of children served by the State's Early Learning and Development Programs by--

(a) Validating, using research-based measures, as described in the State Plan (which also describes the criteria that the State used or will use to determine those measures), whether the tiers in the State's Tiered Quality Rating and Improvement System accurately reflect differential levels of program quality; and

(b) Assessing, using appropriate research designs and measures of progress (as identified in the State Plan), the extent to which changes in quality ratings are related to progress in children's learning, development, and school readiness.

In the text box below, the State shall write its full response to this selection criterion. The State may also include any additional information it believes will be helpful to peer reviewers. If the State has included relevant attachments in the Appendix, these should be described in the narrative below and clearly cross-referenced to allow the reviewers to locate them easily.

In scoring the selection criterion, peer reviewers will determine, based on the evidence the State submits, whether each element of the selection criterion is implemented or planned; the quality of the implementation or plan (see the definition of a High-Quality Plan for the components reviewers will be judging); the extent to which the different types of Early Learning and Development Programs in the State are included and addressed; and the extent to which the unique needs of the State's special populations of Children with High Needs are considered and addressed. The State is responsible for providing clear and detailed information to assist the peer reviewers in making these determinations.

Narrative for (B)(5) begins here

Overview and goals for validating the effectiveness of the TQRIS

Kentucky is committed to evaluating and validating the integrated TQRIS to ensure that differential ratings and quality levels truly reflect differential results in terms of children's learning outcomes and school readiness. We are currently nearing completion of an external evaluation of the STARS system. This evaluation was conducted by Child Trends, an independent, nonpartisan research center dedicated to improving the lives of children and their families. As part of this work with Child Trends, we are evaluating:

1. The STARS rating structure and process (e.g., do tiers show differential levels of quality; are standards of each tier linked with children's outcomes)
2. Approaches to measuring quality (e.g., best tools to measure quality – for each age group)
3. Encouraging participation in STARS
4. Improving the technical assistance and support process
5. Child Care Resource & Referral evaluation

Key goals for the plans in (B)(5):

- To increase school readiness rates for Children with High Needs by using rigorous evaluation data to validate and improve the TQRIS over time

Addressing (B)(5)(a): Validating, using research-based measures, whether the tiers in the integrated TQRIS accurately reflect differential levels of program quality

Once the integrated TQRIS is designed, we will again contract with external evaluators to use research-based measures to value validate and assess over the time whether the tiers of the QRIS truly reflect differential quality levels. Similar to the evaluation design for the current STARS evaluation, Kentucky will select research-based measures, relying on the expertise of the external evaluators we will work with. We will also go beyond the current STARS evaluation approach and include child outcome data, as described below.

Addressing (B)(5)(b): Assessing, using appropriate research designs and measures of progress, the extent to which changes in quality ratings are related to progress in children's learning, development, and school readiness

In addition to evaluating the tiers of the TQRIS, the evaluation will assess the extent to which changes in quality ratings are tied to progress in children's readiness as measured through the universal kindergarten entry assessment described in (E)(1) and a Comprehensive Assessment System (see (C)(2)), and tracked in the data system described in (E)(2). Kentucky will monitor for the effectiveness of the state TQRIS through the Early Childhood Data Warehouse as it is linked to the Kentucky Department of Education's Infinite Campus Data and will be linked to the Early Childhood Database providing the opportunity to assess the validity of

the TQRIS as measure of quality and as a measure to provide information on the quality of Early Learning and Development Programs and the overall school readiness of children in Kentucky. We will do a yearly evaluation on the TQRIS to provide data and feedback on the effectiveness of the TQRIS as a measure of quality across all program types.

As part of the evaluation design, we will assess programs' impact on Children with High Needs, to better understand what works (and does not) to ensure these children's learning outcomes improve over time and they are kindergarten ready.

Key activities, milestones, roles and timeline to implement the plan addressing (B)(5)

- Key activity 1: Identify the external evaluator
 - The TQRIS responsible agency, informed by the work done to identify the current STARS evaluator (Child Trends), will conduct an RFP process to select an external evaluator (Summer 2013)
- Key activity 2: Develop the evaluation plan – key questions, design, measures, timeline
 - Working with the external evaluator, with the guidance of the ECAC, the TQRIS responsible agency will identify the key questions related to the TQRIS and design the evaluation (Summer/Fall 2013)
- Key activity 3: Launch evaluation and review results
 - The evaluators will begin the evaluation in Fall 2013
 - Initial results will be reviewed by the ECAC, Participating State agencies, and key stakeholders, and the TQRIS responsible agency will determine if interim adjustments should be made to the TQRIS to better meet Early Learning and Development Programs' and children's needs – Spring 2013
 - The one-year evaluation results will be available for discussion – Fall 2014

Financial resources required for this plan: *See budget detail in (A)(4).*

Focused Investment Areas -- Sections (C), (D), and (E)

The State must address in its application--

- (1) Two or more of the selection criteria in Focused Investment Area (C);*
- (2) One or more of the selection criteria in Focused Investment Area (D); and*
- (3) One or more of the selection criteria in Focused Investment Area (E).*

The total available points for each Focused Investment Area will be divided by the number of selection criteria that the applicant chooses to address in that area, so that each selection criterion is worth the same number of points.

C. Promoting Early Learning and Development Outcomes for Children

Note: The total available points for (C)(1) through (C)(4) = 60. The 60 available points will be divided by the number of selection criteria that the applicant chooses to address so that each selection criterion is worth the same number of points. For example, if the applicant chooses to address all four selection criteria in the Focused Investment Area, each criterion will be worth up to 15 points.

The applicant must address two or more selection criteria within Focused Investment Area (C).

(C)(1) Developing and using statewide, high-quality Early Learning and Development Standards.

The extent to which the State has a High-Quality Plan to put in place high-quality Early Learning and Development Standards that are used statewide by Early Learning and Development Programs and that--

(a) Includes evidence that the Early Learning and Development Standards are developmentally, culturally, and linguistically appropriate across each age group of infants, toddlers, and preschoolers, and that they cover all Essential Domains of School Readiness;

(b) Includes evidence that the Early Learning and Development Standards are aligned with the State's K-3 academic standards in, at a minimum, early literacy and mathematics;

(c) Includes evidence that the Early Learning and Development Standards are incorporated in Program Standards, curricula and activities, Comprehensive Assessment Systems, the State's Workforce Knowledge and Competency Framework, and professional development activities; and

(d) The State has supports in place to promote understanding of and commitment to the Early Learning and Development Standards across Early Learning and Development Programs.

If the State chooses to respond to this selection criterion, the State shall write its full response in the text box below. The State shall include the evidence listed below and describe in its narrative how each piece of evidence demonstrates the State's success in meeting the criterion; the State may also include any additional information it believes will be helpful to peer reviewers. If the State has included relevant attachments in the Appendix, these should be described in the narrative below and clearly cross-referenced to allow the reviewers to locate them easily.

In scoring the selection criterion, peer reviewers will determine, based on the evidence the State submits, whether each element of the selection criterion is implemented or planned; the quality of the implementation or plan (see the definition of a High-Quality Plan for the components reviewers will be judging); the extent to which the different types of Early Learning and Development Programs in the State are included and addressed; and the extent to which the unique needs of the State's special populations of Children with High Needs are considered and addressed. The State is responsible for providing clear and detailed information to assist the peer reviewers in making these determinations.

Evidence for (C)(1)(a) and (b):

- To the extent the State has implemented Early Learning and Development Standards that meet any of the elements in criteria (C)(1)(a) and (b), submit--
 - Proof of use by the types of Early Learning and Development Programs in the State;
 - The State's Early Learning and Development Standards for:
 - Infants and toddlers
 - Preschoolers
 - Documentation that the standards are developmentally, linguistically and culturally appropriate for all children, including children with disabilities and developmental delays and English Learners;
 - Documentation that the standards address all Essential Domains of School Readiness and that they are of high-quality;
 - Documentation of the alignment between the State's Early Learning and Development Standards and the State's K-3 standards; and

Narrative for (C)(1) begins here

Overview and goals for integrating Kentucky's Early Learning and Development Standards

Kentucky is committed to full implementation of Early Learning and Development Standards that define expectations for knowledge, skills, and behaviors for children birth to kindergarten entry across all Essential Domains of School Readiness. These standards will be appropriate across demographics, such as age, language, culture, and disability status and integrated with other elements of the state early childhood system. Doing so is an important step towards ensuring that all children across provider types, including Children with High Needs, are held to the same rigorous expectations and thus better prepared to be successful upon entering

kindergarten. Therefore, our goals with respect to developing and adopting comprehensive, statewide Early Learning and Development Standards are as follows:

- Review and refine *Kentucky's Early Childhood Standards* to ensure they are:
 - Informed by Kentucky's School Readiness definition, as developed by the Governor's Early Childhood Task Force
 - Aligned with the new *Head Start Child Development and Early Learning Framework*
 - Aligned with the *Next Generation Science Standards* scheduled for completion in Fall 2012
- Integrate Early Learning and Development Standards across all major elements of Kentucky's early childhood system, including the TQRIS (through Program Standards), the Comprehensive Assessment System, the Workforce Knowledge and Competency Framework, and professional development for Early Childhood Educators
- Promote the understanding of Kentucky's Early Learning and Development Standards across all types of Early Learning and Development Programs to achieve full implementation

Kentucky has made substantial progress towards these goals, having established *Kentucky's Early Childhood Standards* (KYECS) in 2003 for children birth through age four, developed *Kentucky's Quality Self Study* (QSS) in 2005 for all early childhood providers, and delivered standards training through the KIDS NOW initiative for the last ten years. The Early Learning and Development Standards have also been aligned to *Kentucky's Core Academic Standards* (KCAS) for Mathematics and English/Language Arts. Going forward, Kentucky will review and revise the KYECS to ensure quality and relevancy, fully integrate the standards with all elements of the early childhood system (e.g., the new, integrated TQRIS), align with the *Head Start Child Development and Early Learning Framework*, prepare to align the science standards for three- and four-year-old children to the new *Next Generation Science Standards*, and intensify professional development efforts to ensure wider knowledge, acceptance and implementation of Kentucky's Early Learning and Development Standards.

Implementation progress to date: Kentucky's Early Learning and Development Standards

In 2003, a statewide work group of representative stakeholders in the early childhood field developed the *Kentucky Early Childhood Standards* (KYECS), a set of Early Learning and Development Standards to assist Early Childhood Educators, parents, early care, intervention, and education professionals, administrators, and others in understanding what children are able to know and do from birth through four years of age. The KYECS consist of standards, benchmarks, and developmental continuum and example behaviors and were most recently revised in 2009 to reflect advances in the early childhood field.

Implementation of sub-criterion (C)(1)(a): The KYECS are developmentally, culturally and linguistically appropriate for infants, toddlers and preschoolers. When initially developed in 2003, the Early Learning and Development Standards were reviewed by seven state early childhood professionals, each reviewing a section based on their expertise. The standards received further, national review by Dr. Mary Lou Hyson. As a result, the standards reflected the best practice and research at the time, as well as requirements and expectations of state-funded preschool, child care and Head Start programs.

The birth-to-three standards cover the following domains: creative expression, cognition, communication, motor development, and social-emotional development. The three- and four-year-old standards are divided into kindergarten through third grade program content areas to help early childhood professionals and parents understand the skills and knowledge expected of four-year-olds as they transition into kindergarten: arts and humanities, English/language arts, health education, mathematics, science, physical education, and social studies. The KYECS include a table showing the linkages between the Standards for birth-to-three year old children, the Early Learning and Development Standards for three- and four-year-old children, and the Program of Studies for kindergarten. The table shows how the skills and knowledge demonstrated at an early age (e.g., social/emotional, communication, motor development, etc.) provide the foundation for more complex skills at a later age.

The Kentucky Department of Education (KDE) convened a work group in 2009 to review and revise the Early Learning and Development Standards. The work group, comprised of multiple stakeholders, made significant contributions to the standards by including an “Approaches to Learning” section, one of the Essential Domains of School Readiness. Research

indicates that Approaches to Learning is one of the most important dimensions of the school readiness domains (Kagan, Moore & Bredekamp, 1995). The work group identified examples of approaches to learning across the developmental domains in the following categories: Initiative and Curiosity, Engagement and Persistence, and Reasoning and Problem Solving. By accomplishing these revisions, Kentucky established comprehensive Early Learning and Development Standards that fully cover the Essential Domains of School Readiness.

Implementation of sub-criterion (C)(1)(b): In the spring of 2011, the revised KYECS were aligned to *Kentucky's Core Academic Standards* (KCAS) for Mathematics and English Language Arts to help ensure children have smooth transition experiences as they move into kindergarten. KDE convened a work group of teachers representing kindergarten, preschool, child care and Head Start, as well as administrators and state agency staff, to create a document that aligns the KYECS with the expectations that KDE adopted for students in kindergarten. The alignment document is designed to support teachers as they plan curriculum and instruction for transitioning students (in the Appendix, see pages 340-362 for the current Kentucky Early Childhood Standards, and pages 363-365 for the Field Guide to Early Learning Standards for Teachers.) The alignment document was introduced to early learning professionals during 2011 spring and summer conferences, and KDE starts in-depth standards training through the Early Learning Leadership Networks in Fall 2011.

Implementation of sub-criterion (c): The KYECS have been integrated into a number of other elements of Kentucky's early childhood system as described below:

- Curricula and activities: The state-funded preschool program's Classrooms of Excellence process requires integration of the standards into everyday lesson planning, curriculum, instruction and assessment decision-making in order to be selected for the designation.
- Comprehensive Assessment Systems and Longitudinal Data Systems: When Kentucky's *Continuous Assessment Guide* was developed in 2004, it was designed to complement the KYECS. This document was created to assist all Early Childhood Educators with understanding the appropriate uses of assessment for screening, diagnostic and formative assessment purposes (see (C)(2) for detailed description). At the provider level, *Kentucky's Quality Self Study* was developed in 2005 to complement the standards and the assessment guide by providing guidance to early learning and development leaders

and teachers concerning the conditions and resources necessary for quality services. The comprehensive nature of standards integration in Kentucky can also be seen in the Kentucky Early Childhood Data System. The system was designed and created in 2003 to determine progress towards meeting the Early Learning and Development Standards and benchmarks. First Steps (IDEA, part C program), state-funded preschool, Head Start, HANDS (home visitation program) and child care programs all participate in KEDS to varying degrees.

- Workforce Knowledge and Competency Framework and professional development activities: This refers to the set of expectations describing what Early Childhood Educators (including those working with children with disabilities and English language learners) should know and be able to do. *The Kentucky Early Childhood Professional Development Framework* was created by an early childhood workgroup in 2002 to create a set of expectations for Kentucky, by identifying the key components necessary for the education, training and credentialing of early care, intervention and education professionals. It was endorsed by the Kentucky Early Childhood Development Authority and revised in 2011 to include common definitions and characteristics for coaching, consulting and mentoring. Another support for early childhood professionals is the *Early Childhood Field Guide*, which was created in 2010 as an easy-to-read practical supplement to the KYECS. The guide is intended to support professionals in a variety of settings, such as home, early intervention, and center-based care. Also, the area of preschool teacher certification further demonstrates the widespread integration of the Early Learning and Development Standards. Beginning in 2004-2005, the requirement of filling state-funded preschool teaching vacancies with Interdisciplinary Early Childhood Education certification went into effect. As a step toward certification, teachers must design lesson plans that link their lessons to the Early Learning and Development Standards.
- Family engagement: To support parent and family engagement, the *Kentucky Early Childhood Standards Parent Guides* were developed to include useful examples of activities that promote development and growth in all domains. Both versions of the guides (birth-to-three, three- and four-year-old) were translated into Spanish. During the

early stages of implementation, intensive training was required of programs to receive copies of the guides. The policy was intended to ensure Early Learning and Development Programs worked intentionally with families in support of their children's development. Training is no longer required, but a one-page parent guide tip sheet is posted on the web to assist providers with best practices. (See page 366 of the Appendix for the Field Guide to Early Learning Standards for parents.)

Implementation of sub-criterion (C)(1)(d): During the period of KIDS NOW's initial implementation, intensive and collaborative efforts were made to reach high numbers of Early Childhood Educators with training on the Early Learning and Development Standards. Numerous standards training workshops and conference sessions were held (e.g., Infant/Toddler Institutes, Regional Training Center Summer Institutes, Head Start meetings, etc.).

Today, there are multiple supports in place that promote awareness and implementation of the KYECS in early childhood settings. Credentialed Early Childhood Trainers can provide KYECS training to Early Childhood Educators. Additionally, the Child Care Resource and Referral agencies, the Head Start Training and Technical Assistance Network, and the Early Childhood Regional Training Centers all provide year-round technical assistance and professional development to Kentucky's Early Childhood Educators.

One support specifically designed for KYECS implementation was developed in the summer of 2011. The Early Learning Leadership Networks are intended to deepen district capacity to implement the Early Learning and Development Standards and support school readiness. There are two strands, one for administrative-leaders, one for teacher-leaders, and both may be represented by the state-funded preschool program, Head Start and child care. Beginning the fall of 2011, the Early Learning Leadership Networks represent a new and innovative approach to professional development, ensuring that every district's preschool program has knowledgeable and cohesive leadership teams to guide the professional learning and practice of all administrators, teachers, and staff. The goal is that every student experience developmentally appropriate, highly effective teaching, learning and assessment practices in every classroom setting. Support for the implementation of the common Kindergarten Entry Assessment is another critical role for Early Learning Leadership Networks.

Kentucky's plan for integrating Early Learning and Development Standards

Kentucky's plan builds on the extensive progress to date in order to accomplish the goals mentioned above. Key opportunities for continued investment include review and revision of the Early Learning and Development Standards, full integration of the standards with all elements of the early childhood system (e.g., the new, integrated TQRIS), preparation to align the preschool (three- and four-year-old) standards for science with the new Common Core standards for science (when released and developed for Kentucky), and intensification of professional development efforts to ensure effective implementation of the standards.

Plan to address (C)(1)(a): Kentucky will ensure Early Learning and Development Standards are appropriate and cover all Essential Domains of School Readiness

Kentucky will revisit its Early Learning and Development Standards to ensure they include Kentucky's new School Readiness definition, as developed by the Governor's Early Childhood Task Force. Kentucky will also ensure the standards are aligned with the new *Head Start Child Development and Early Learning Framework*. The Continuous Assessment Guide will be updated with the latest changes to the assessment crosswalks, as well as reflect the most current versions of approved assessments. The parent guides will be updated to identify specific activities that are most closely associated with approaches to learning. Changes and revisions will be based on expert opinion informed by research, and work will be coordinated through the Governor's Office for Early Childhood.

Plan to address (C)(1)(b): Kentucky will ensure that Early Learning and Development Standards are aligned with K-12 standards

Kentucky will formally adopt the document aligning the Early Learning and Development Standards with Kentucky's Core Academic Standards. KDE will begin groundwork for alignment of the early childhood science standards and benchmarks with the national *Next Generation Science Standards* for kindergarten through twelfth grade. As a state selected to be a Lead State Partner, Kentucky will have great input on shaping and creating implementation plans for the science standards. KDE's state level standards team includes representatives from state-funded preschool programs. Kentucky's alignment of the three- and four-year-old science standards is critical to successful implementation of the *Next Generation*

Science Standards, and has important implications for the successful implementation of the new TQRIS.

Plan to address (C)(1)(c and d): Kentucky will integrate Early Learning and Development Standards across the State's early learning system and promote understanding of the standards across all programs

Kentucky will integrate the revised Early Learning and Development Standards across the TQRIS Program Standards, curricula and instruction in different early childhood settings, the Kentucky Early Childhood Data System, the Early Childhood Professional Development Framework, and professional development activities. The Kentucky Department of Education will promote understanding of the Early Learning and Development Standards across the different types of programs through the Early Learning Leadership Networks by including the Child Care Resource and Referral providers and Head Start Training and Technical Assistance providers on the regional training teams. Upon full implementation, the KYECS will be incorporated across the many elements of Kentucky's early learning system.

Key activities, milestones, roles and timeline to implement the plan addressing (C)(1)(a, b, c, and d)

Kentucky will undertake the following key activities to fully achieve the implementation described above:

- Key Activity 1: Review and revise *Kentucky's Early Childhood Standards* (Kentucky's Early Learning and Development Standards) for children birth through age four
 - Work with the Early Childhood Advisory Council to include Kentucky's new School Readiness definition in the revised standards and align the standards with the new *Head Start Child Development and Early Learning Framework*
 - Roles: This activity will require participation by agency staff (KDE, the Cabinet for Health and Family Services, the Governor's Office of Early Childhood), Early Childhood Advisory Council members, local providers across all early childhood programs. Some members of the initial development team should be retained for continuity and institutional memory.

- Milestones: This activity will start January 2012 and will be completed the summer of 2012.
- Revise and update documents that support the Early Learning and Development Standards, such as *Kentucky's Continuous Assessment Guide* and *Early Childhood Parent Guides*
 - Roles: This activity will require participation by agency staff (KDE, the Cabinet for Health and Family Services, the Governor's Office of Early Childhood), Early Childhood Advisory Council members, local providers across all early childhood programs. Some members of the initial development team should be retained for continuity and institutional memory.
 - Milestones: This activity will start January 2012 and will be completed the Summer of 2012.
- Key Activity 2: Prepare to align the revised Early Learning and Development Standards with new *Next Generation Science Standards*
 - Ensure the alignment work is informed by state-funded preschool program involvement on the state level science standards team
 - Roles: This activity will require participation by KDE school readiness branch staff
 - Milestones: This activity will start Fall 2011 and will be completed by December 2012.
 - Convene early childhood experts to review the early childhood science standards for preschool and the *Next Generation Science Standards*
 - Roles: This activity will require participation by state and local early childhood professionals, Early Childhood Advisory Council members and KDE staff. A member of the K-12 group (non-early childhood) should be included.
 - Milestones: This activity will start in Spring 2012 and will be completed by January 2013.

- Key Activity 3: Incorporate the revised Early Learning and Development Standards into the revised TQRIS Program Standards, the comprehensive Assessment System, and the Kindergarten Entry Assessment (per (E)(1))
 - Work with quality subgroup and assessment subgroup of the Early Childhood Advisory Council, and the Kentucky Early Childhood Data System team to develop activities, processes and procedures to incorporate the revised Early Learning and Development Standards into the TQRIS Program Standards, the Comprehensive Assessment System, and the Kindergarten Entry Assessment
 - Roles: This activity will require staff participation from KDE, the Cabinet for Health and Family Services, the Governor's Office of Early Childhood, Early Childhood Advisory Council members, and local early childhood programs.
 - Milestones: This activity will start January 2012 will be completed by December 2012.
- Key Activity 4: Work with the professional development subgroup of the Early Childhood Advisory Council to incorporate the revised Early Learning and Development Standards into the revised Work Force Knowledge and Competency Framework, as well as all Professional Development activities designed for Early Learning and Development programs
 - Work with PD subgroup to integrate the new Early Learning and Development Standards into the revised Core Competency and Core Content of the revised Workforce Knowledge and Competency Framework
 - Roles: This activity should include members of the Early Learning and Development Standards revision team and members of the framework team
 - Milestones: This activity will start January 2012 will be completed the spring of 2012.
 - Increase the quality and intensity of revised Early Learning and Development Standards professional development activities

- Roles: This activity should include professional development providers (e.g., Regional Training Centers, Child Care Resource and Referral agencies, Head Start Training and Technical Assistance)
- Milestones: This activity will start January 2012 will be completed by summer of 2012.

Financial resources required for this plan: *See budget detail in (A)(4).*

(C)(2) Supporting effective uses of Comprehensive Assessment Systems.

The extent to which the State has a High-Quality Plan to support the effective implementation of developmentally appropriate Comprehensive Assessment Systems by--

(a) Working with Early Learning and Development Programs to select assessment instruments and approaches that are appropriate for the target populations and purposes;

(b) Working with Early Learning and Development Programs to strengthen Early Childhood Educators' understanding of the purposes and uses of each type of assessment included in the Comprehensive Assessment Systems;

(c) Articulating an approach for aligning and integrating assessments and sharing assessment results, as appropriate, in order to avoid duplication of assessments and to coordinate services for Children with High Needs who are served by multiple Early Learning and Development Programs; and

(d) Training Early Childhood Educators to appropriately administer assessments and interpret and use assessment data in order to inform and improve instruction, programs, and services.

If the State chooses to respond to this selection criterion, the State shall write its full response in the text box below. The State may also include any additional information it believes will be helpful to peer reviewers. If the State has included relevant attachments in the Appendix, these should be described in the narrative below and clearly cross-referenced to allow the reviewers to locate them easily.

In scoring the selection criterion, peer reviewers will determine, based on the evidence the State submits, whether each element of the selection criterion is implemented or planned; the quality of the implementation or plan (see the definition of a High-Quality Plan for the components reviewers will be judging); the extent to which the different types of Early Learning and Development Programs in the State are included and addressed; and the extent to which the unique needs of the State's special populations of Children with High Needs are considered and addressed. The State is responsible for providing clear and detailed information to assist the peer reviewers in making these determinations.

Narrative for (C)(2) begins here**Overview and goals for supporting effective uses of Kentucky's Comprehensive System**

A Comprehensive Assessment System is a coordinated system of multiple assessments that provides information on the learning and development of children as well as the context and environment of Early Learning and Development Programs. Stakeholders can use the information gathered from this system to take actions that result in increased kindergarten readiness rates for children. For example, information can be used to help providers improve their programs and providers can use assessment data to identify students that need additional support. To increase school readiness for all children, Kentucky has established the following goals regarding a Comprehensive Assessment System:

- Revise *Kentucky's Continuous Assessment Guide* to reflect revisions to the Early Learning and Development Standards, updates to the assessment crosswalks, and new information about the common Kindergarten Entry Assessment (per (E)(1))
- Ensure the Comprehensive Assessment System is woven into the Program Standards of the new TQRIS in a manner consistent with the revised Continuous Assessment Guide. Select assessments from the revised Continuous Assessment Guide to strengthen professional understanding across Early Learning and Development Programs of the purposes and uses of each type of assessment, with particular emphasis on the common Kindergarten Entry Assessment
- Align and integrate assessments to decrease duplication of assessments and coordinate services for Children with High Needs who are served by multiple Early Learning and Development Programs
- Revise training for Early Childhood Educators on the appropriate administration of assessments, as well as interpretation and use of assessment data to inform and continuously improve Early Learning and Development Programs

Kentucky has made substantial progress towards these goals, having established *Kentucky's Continuous Assessment Guide*, a network of professional development providers for state-funded preschool, Head Start and child care, a detailed crosswalk of all

classroom/instructional (formative) early childhood assessments, and a process to train providers to administer, report and use data appropriately. Going forward, Kentucky will work with agencies and providers to refine the *Continuous Assessment Guide*, including the alignment and integration of assessments for the benefit of Children with High Needs, and revise training and the professional development delivery system to ensure the continuous improvement of Early Learning and Development Programs.

Implementation progress to date: Kentucky's current Comprehensive Assessment System

In 2003 Kentucky launched the *Building a Strong Foundation for School Success* series to realize a vision that all young children should be healthy and safe, possess the foundation that will enable school and personal success, and live in strong families that are supported and strengthened within their communities. The series included Early Learning and Development Standards, parent guides for the standards, a continuous assessment guide, and a quality self-study document. In 2010, a field guide to the Early Learning and Development Standards was added for child care providers.

Implementation of sub-criteria (C)(2)(a and b): A critical aspect of the *Building a Strong Foundation for School Success* initiative was the development and implementation of *Kentucky's Early Childhood Continuous Assessment Guide*. This document provides background information on the appropriate use and need for continuous assessment. Kentucky's assessment system, as defined by the Continuous Assessment Guide, promotes formal and informal assessment practices, integration with instruction, and the improvement of teaching and learning.

The Continuous Assessment Guide identifies four purposes for assessment: (1) to promote child learning and development; (2) to identify children for health and special services; (3) to monitor trends and evaluate programs and services; and (4) to use developmental progress to hold individual children, teachers and schools accountable.

In addition, the guide is divided into three categories: (1) screening; (2) diagnostic; and (3) classroom/instructional assessments. Kentucky uses classroom/instructional assessment data from the third category of assessments to understand a child's progress relative to the standards and benchmarks, as well as to meet state and federal reporting requirements. Teachers and early care providers use the data for performance monitoring to understand children's growth and

development and with this knowledge make continuous instructional improvements (“Assessing Young Children in Inclusive Settings,” Grisham-Brown, J. and Pretti-Frontczak, K., Paul H Brookes Publishing, 2011).

In Kentucky, state-funded preschool programs are required to assess three- and four-year-old Children with High Needs (in particular, children with disabilities and from low-income families) with classroom/instructional assessments. Most state-funded preschool programs use three to four different assessments, the results of which are captured by the Kentucky Early Childhood Data System in the fall, winter and spring. In a process consistent with implementation of the new *Head Start Child Development and Early Learning Framework*, Head Start programs report assessment data through the Child Outcome Planning and Administration software. Many child care providers capture assessment data, and many communities of early care and education providers share data in data systems. See (E)(2) for plans to implement an early childhood data system, including a database and warehouse structure. In the new system, higher rated programs may be required to assess and report results (see section (B)). First Steps (IDEA Part C), the statewide early intervention system, reports data through the Technology-assisted Observation and Teaming Support system and the Kentucky Early Childhood Data System.

Concerning the support of professional understanding across these programs in the appropriate administration and use of assessments, training has been based on the Workforce Development and Competency Framework, and provided through existing training systems, e.g., Community Early Childhood Councils, state-funded Early Childhood Regional Training Centers, Head Start Training and Technical Assistance network, and the Child Care Resource and Referral providers. First Steps currently does not have an independent professional development network. Our high-quality plan enhances coordination of and standardization of training and data collection.

Implementation of sub-criterion (C)(2)(c): Kentucky is unique among states in its commitment to crosswalking the recommended classroom/instructional assessments with the Early Learning and Development Standards. Programs may choose from twelve different assessments, and the crosswalk makes comparing results with one another possible. The crosswalk alignment involves selecting assessment items from each of the approved assessment

instruments that measure the intent of each benchmark, through careful consideration of the developmental continuum and examples that define each benchmark. The alignment is updated each time an instrument is revised.

This process allows Kentucky to compare multiple, recommended classroom/instructional assessments across multiple Early Learning and Development programs in meaningful ways. The Kentucky Early Childhood Data System is updated each time crosswalks of revised assessments are updated; however, the Continuous Assessment Guide no longer reflects the most current crosswalks.

Implementation of sub-criterion (C)(2)(d): The capacity of early childhood providers to administer, interpret and use assessments appropriately is supported by Kentucky Early Childhood Data System staff. Tools include annual face-to-face and web-based training opportunities, online tutorials and user guides, frequently-asked-question documents that are kept current, support documents and one-to-one assistance options. These resources are further organized by program type (e.g., preschool users, First Steps users, child care users, etc). While support is available to providers in the selection of assessments, programs have local control to select from the recommended list of classroom/instructional instruments.

However, despite these extensive tools and systems of support, Kentucky continues to struggle with effective implementation of assessment administration across all programs.

Kentucky's plan to support effective uses of Kentucky's Comprehensive System

Kentucky's plan builds on our progress to date in order to accomplish the goals mentioned above. Key opportunities for continued investment include refinement of the *Continuous Assessment Guide* to feature best practices associated with the common Kindergarten Entry Assessment, alignment and integration of assessments for the benefit of Children with High Needs, and revision of the training and professional development delivery system to ensure the continuous improvement of Early Learning and Development services.

Plan to address sub-criteria (C)(2)(a and b): Kentucky will work with providers to select and understand assessment instruments

Kentucky will work with Early Learning and Development Programs to revise *Kentucky's Continuous Assessment Guide* to reflect revisions to the Early Learning and Development Standards, updates to the assessment crosswalks, and new information about the common Kindergarten Entry Assessment (per (E)(1)). This will include the re-evaluation of currently recommended assessments in all three assessment categories (e.g., screening, diagnostic and classroom/instruction) and will narrow the list of classroom/instructional assessments based on assessments actually used across early childhood programs. The most important update to the Continuous Assessment Guide will be a section about the common Kindergarten Entry Assessment to reflect assessment practices consistent with the National Research Council early childhood report recommendations.

In addition, Kentucky will work with Early Learning and Development Programs to select assessments from the revised Continuous Assessment Guide to strengthen professional understanding across early childhood programs regarding the purposes and uses of each type of assessment, with particular emphasis on the common Kindergarten Entry Assessment. We will deepen capacity for the selection and use of appropriate assessments through the existing network of professional development providers, including early childhood credentialed trainers (per (D)(1)). We will also focus support for effective implementation of the Kindergarten Entry Assessment through the Workforce Knowledge and Competency Framework and Early Learning Leadership Networks (per (C)(1)). All training will build on current research in professional development learning theory, focusing on the knowledge, skills, supports and resources necessary for providers to generate and use valid and reliable data.

Furthermore, the Community Early Childhood Councils will support Early Learning and Development programs with the assessment selection process through local awareness efforts, including organization of meetings and trainings. Community Early Childhood Councils will not provide training or duplicate the work of existing trainer networks; rather, they will serve as local conduits of information and support to ensure accountability and statewide consistency of implementation.

Plan to address (C)(2)(c): Kentucky will align and integrate assessments

Kentucky will develop an approach for aligning and integrating assessments and sharing appropriate results, in order to avoid duplication of assessments and improve coordination of services for Children with High Needs who are served by multiple Early Learning and Development Programs. Kentucky will streamline the crosswalk process through the elimination of several classroom/instructional assessments from the Continuous Assessment Guide list of recommendations, increasing efficiency and reducing costs. Kentucky will retain the value of providing programs with several assessment choices, a best practice recognized by the Council of Chief State School Officers, while simplifying the approach to assessment integration and alignment.

In addition, the most current versions of crosswalks will be included in the revised Continuous Assessment Guide and a process for updating the Continuous Assessment Guide on a regular basis will be developed to reflect ongoing changes.

Plan to address (C)(2)(d): Kentucky will train educators to appropriately administer assessments and interpret and use assessment data in order to inform and improve instruction, programs, and services.

Kentucky will revise training for Early Childhood Educators in the appropriate administration of assessments, as well as interpretation and use of assessment data to inform and continuously improve Early Learning and Development services. In addition, we will encourage the quality rating system to incorporate assessment professional development requirements of child care providers at lower tiers of the TQRIS to complete continuous assessment guide training.

Key activities, milestones, roles and timeline to implement the plans addressing (C)(2)(a, b, c, and d)

- Key Activity 1: Work with Early Learning and Development Programs to revise Kentucky's Continuous Assessment Guide to reflect revisions to the Early Learning and Development Standards, updates to the assessment crosswalks, and new information about the common Kindergarten Entry Assessment (per (E)(1))

- Review the revised Early Learning and Development Standards, current crosswalks, and research related to common Kindergarten Entry. Ensure the list of classroom/instructional assessments is narrowed.
 - Roles: This activity will include staff from KDE, the Cabinet for Health and Family Services, the Governor's Office of Early Childhood Development, the Early Childhood Advisory Council, local early childhood program and school district teachers and leaders
 - Milestones: This activity will start January 2012 and will be completed by the end of summer 2012.
- Key Activity 2: Work with the quality subgroup of Early Childhood Advisory Council to ensure the Comprehensive Assessment System is woven into the Program Standards of the new TQRIS in a manner consistent with the revised Continuous Assessment Guide
 - Participate in the Quality subgroup to develop strategies for programs to reach higher tiers within the TQRIS through effective and appropriate implementation of assessment practices
 - Roles: This activity should include the Governor's Office of Early Childhood Development, staff from KDE and the Cabinet for Health and Family Services, Early Childhood Advisory Council members, as well as local providers
 - Milestones: This activity will start in February and will be completed by the end of summer 2012.
- Key Activity 3: Work with the Professional Development subgroup of the Early Childhood Advisory Council to select assessments from the revised Continuous Assessment Guide and assure that the revised core competencies include the revised Continuous Assessment Guide so that it is broadly distributed to early childhood educators
 - Work with the assessment subgroup of the ECAC to select assessments from the Continuous Assessment Guide

- Work with professional development and assessment subgroups to assure that the revised Continuous Assessment Guide is embedded in the content for the Community Early Learning Leadership Networks to support Early Learning and Development programs with the assessment selection process through local awareness efforts, including organization of meetings and trainings.
 - Roles: This will include the Center for Professional Development staff, as well as any additional trainers identified by the process
 - Milestones: This activity will start March 2012 and will be completed by end of summer 2012
- Key Activity 4: Remove classroom/instructional assessments from Continuous Assessment Guide that are not used to streamline the crosswalk process for the Kentucky Early Childhood Data System, in order to avoid duplication of assessments and coordinate services for Children with High Needs who are served by and across multiple early childhood programs
 - The current crosswalk team will meet to streamline the crosswalk process based on elimination of several classroom/instructional assessments contained in the Continuous Assessment Guide
 - Roles: This activity should include members of the current crosswalk team.
 - Milestones: This activity will start May 2012 and will be completed by the end of summer 2012.

Financial resources required for this plan: *See budget detail in (A)(4).*

Kentucky has chosen not to address (C)(3)

(C)(4) Engaging and supporting families.

The extent to which the State has a High-Quality Plan to provide culturally and linguistically appropriate information and support to families of Children with High Needs in order to promote school readiness for their children by--

(a) Establishing a progression of culturally and linguistically appropriate standards for family engagement across the levels of its Program Standards, including activities that enhance the capacity of families to support their children's education and development;

(b) Increasing the number and percentage of Early Childhood Educators trained and supported on an on-going basis to implement the family engagement strategies included in the Program Standards; and

(c) Promoting family support and engagement statewide, including by leveraging other existing resources such as through home visiting programs, other family-serving agencies, and through outreach to family, friend, and neighbor caregivers.

If the State chooses to respond to this selection criterion, the State shall write its full response in the text box below. The State shall include the evidence listed below and describe in its narrative how each piece of evidence demonstrates the State's success in meeting the criterion; the State may also include any additional information it believes will be helpful to peer reviewers. If the State has included relevant attachments in the Appendix, these should be described in the narrative below and clearly cross-referenced to allow the reviewers to locate them easily.

In scoring the selection criterion, peer reviewers will determine, based on the evidence the State submits, whether each element of the selection criterion is implemented or planned; the quality of the implementation or plan (see the definition of a High-Quality Plan for the components reviewers will be judging); the extent to which the different types of Early Learning and Development Programs in the State are included and addressed; and the extent to which the unique needs of the State's special populations of Children with High Needs are considered and addressed. The State is responsible for providing clear and detailed information to assist the peer reviewers in making these determinations.

Evidence for (C)(4)(a):

- To the extent the State has established a progression of family engagement standards across the levels of Program Standards that meet the elements in criterion (C)(4)(a), submit--
 - The progression of culturally and linguistically appropriate family engagement standards used in the Program Standards that includes strategies successfully used to engage families in supporting their children's development and learning. A State's family engagement standards must address, but need not be limited to: parent access to the program, ongoing two-way communication with families, parent education in child development, outreach to fathers and other family members, training and support for families as children move to preschool and kindergarten, social networks of support, intergenerational activities, linkages

- with community supports and adult and family literacy programs, parent involvement in decision making, and parent leadership development;
- Documentation that this progression of standards includes activities that enhance the capacity of families to support their children's education and development.

Evidence for (C)(4)(b):

- To the extent the State has existing and projected numbers and percentages of Early Childhood Educators who receive training and support on the family engagement strategies included in the Program Standards, the State shall submit documentation of these data. If the State does not have these data, the State shall outline its plan for deriving them.

Evidence for (C)(4)(c):

- Documentation of the State's existing resources that are or will be used to promote family support and engagement statewide, including through home visiting programs and other family-serving agencies and the identification of new resources that will be used to promote family support and engagement statewide.

Narrative for (C)(4) begins here

Overview and goals for refining and expanding family engagement initiatives

Family engagement provides the framework for forging and maintaining relationships between Early Learning and Development Programs and parents so they can exchange important information and other resources that have a direct impact on their child's school readiness. Many of Kentucky's Children with High Needs grow up in rural, impoverished communities where education often takes a back seat to survival. In our State, 26% of all children under the age of 18 live in poverty and this figure reaches 50% in the Appalachian region of the state. By one estimate a child is born into poverty in Kentucky every 44 minutes (Community Action Kentucky, <<http://www.communityactionky.org/>>). By developing stronger family engagement strategies, we will help families understand the importance of developing a culture of learning – this is critical to enable more Children with High Needs to break the cycle of poverty.

Our goal is to provide appropriate information and support for families of Children with High Needs by establishing a progression of culturally and linguistically appropriate best practices for family engagement across all programs. We will increase the number and percentage of Early Childhood Educators trained and supported in implementation of high quality family engagement strategies through the Center for Professional Development and promoting family

support and engagement statewide by leveraging existing resources through community based organizations that reach the greatest number of families with Children with High Needs.

Kentucky has many vehicles in place to reach families with Children with High Needs, including the Community Early Childhood Councils, Family Resource Youth Service Centers, Community Action Councils, home visitation programs (HANDS), First Steps, faith-based organizations and other community-based programs serving families with Children with High Needs. Through the establishment of a Center for Community and Family Engagement we will collaborate with existing public and private entities and coordinate activities designed to meet the goals of family engagement.

Implementation progress to date: Kentucky's family engagement initiatives

Each time Kentucky has moved its early childhood agenda forward, we have implemented culturally appropriate support for families with Children with High Needs. In 1990, we instituted Family Resource Youth Service Centers along with the creation of high quality state-funded preschools. We placed the Family Resource Youth Service Centers in every school that served 20% or more Children with High Needs. In 2000, we launched our statewide home visitation program (HANDS), our first-ever quality rating system (STARS) for early child care providers, Early Learning and Development Standards, a Workforce Knowledge and Competency Framework, and the Community Early Childhood Councils. We fully understand that supporting families with Children with High Needs is essential not only for the children and families but for Kentucky's economic growth. We have demonstrated the ability to implement statewide, effective supports and we are ready to move to the next level.

The following section describes how Kentucky has addressed each sub-criterion to date.

Implementation of sub-criteria (C)(4)(a): Kentucky has implemented quality improvement Program Standards that include family partnerships and family strengthening above and beyond licensing requirements for the Tiered Quality Rating System. (See pages 219-221 of the Appendix for STARS for KIDS NOW Program Standards).

Implementation of sub-criteria (C)(4)(b): The Workforce Knowledge and Competency Framework expectations for the early childhood workforce include teaching and learning topics related to family and community relationships. (See pages 222-314 of the Appendix for Kentucky's Early Childhood Professional Development Framework).

Implementation of sub-criteria (C)(4)(c): Non-profit organizations across the Commonwealth, such as the United Way, have implemented family engagement programs that are tailored to address the cultural and linguistic needs of specific local communities. One such program is Ages & Stages, which provides parents within the Louisville metro area with Ages & Stages questionnaires that help them keep track of their children's development from the age of 1 month to 5 years. Another is the bornlearning™ Academy developed through a collaborative effort between the United Way of Greater Cincinnati, Kenton County Schools and Early Childhood Faculty Members at Northern Kentucky University. The bornlearning™ Academy is a school-based workshop series that teaches busy, overwhelmed parents and caregivers how to turn everyday moments into learning opportunities and allows a meaningful conversation with parents about essential building blocks of education to support future academic successes and to create a strong connection between home and school. These two successful models, which are instrumental in closing the achievement gap of high needs children entering kindergarten, will be among the many successful programs replicated in other communities across Kentucky.

The Health Access Nurturing Development Services (HANDS) Home Visiting Program is a voluntary home visitation program for at-risk first time parents to promote the healthy growth and development of the child. The program serves 10,000 families each year.

The Family Resource Youth Service Centers provide an important link to families. They are locally based and through their direct connection to the community can target the highest needs children before they enter kindergarten. One of the major goals of the Family Resource Youth Service Centers is to promote the identification, coordination, and/or development of resources for full-time preschool child care for children 2 and 3 years of age that provides learning opportunities during the early years of development for successful transition into school.

The Family Resource Youth Service Centers establish collaborative partnerships within the community with area licensed and/or certified child care homes & centers, Community Early Childhood Councils, Child Care Resource and Referral Agencies, Community Education Directors, Early Head Start and Head Start, Even Start, high school parenting education classes, parents, state-funded preschool programs, Community Action Councils, and state-level licensing and regulations offices.

Child Care Resource and Referral Agencies across the state provide training to child care providers, early childhood professionals, parents, advocates and many more. These regional

centers also serve as child care "referral" services for parents needing child care. Many provide child care materials, presentations, data, and services to employers and community groups to foster family and community engagement in early childhood education.

Kentucky's plan for refining and expanding family engagement initiatives

Kentucky will expand upon the progress to date by establishing a Center for Community and Family Engagement in the Office of Early Childhood to coordinate the various family engagement partners across the state. The Center for Community and Family Engagement will work with the Community Early Childhood Councils, Family Resource Youth Service Centers, Community Action Councils, home visitation programs, First Steps, faith-based organizations and other community-based programs serving families with Children with High Needs to create peer-to-peer parent networks, increase capacity for the Community Early Childhood Councils, develop family engagement standards and support changes in the requirements for the TQRIS system. The Center for Community and Family Engagement will also work with the Quality and Professional Development subgroups of the Early Childhood Advisory Council to assure inclusion of family engagement standards in the new Workforce Knowledge and Competency Framework and TQRIS.

Approximately 85% of three- and four-year old Children with High Needs are served in the Head Start and state-funded preschool programs. The other 15% choose to go to child care, kith and kin care, or stay with parents. Many of the child care centers serving Children with High Needs are not high quality. Poverty and lack of education within the families of these children presents barriers to effectively implementing high quality family engagement strategies. Our education policy recognizes the need to engage families, but reaching 'hard-to-reach' parents is an additional challenge. We believe the best way to reach all families is to work through established community partners to assure consistency in messages and information provided to parents, regardless of setting. This will be coordinated through the Center for Community and Family Engagement and the expansion of the role of the Community Early Childhood Councils. (See also section (A)(3)(c)).

In the child care arena, the progression from the lowest tier to the highest of the TQRIS has not necessarily led to families being more effective in helping their children be ready for school success. The current TQRIS standards have provided a baseline from which to build a

high quality system but have not been implemented across the system with fidelity. The revised TQRIS Program Standards will include strengthened family engagement standards which will necessitate increasing the number of early childhood educators who are trained and supported on an on-going basis to put into practice family engagement strategies included in the Program Standards (see sections (B)(1 and 2) for more information on the integrated TQRIS.)

Key activities, milestones, roles and timeline to implement the plan addressing (C)(4)(a, b, and c)

- Key Activity 1: Create a Center of Community and Family Engagement in the Office of Early Childhood as a means of bringing together communities around community and family engagement.
 - The Center, working with the Community Engagement subgroup of the Early Childhood Advisory Council and the Participating State Agencies would develop and implement a comprehensive communications plan to promote early childhood programs in Kentucky with a unified, consistent message. (Spring 2012)
- Key Activity 2: The Center for Community and Family Engagement, working with the Community Collaboration and Community Engagement subgroups of the Early Childhood Advisory Council and the Community Early Childhood Councils will engage local community partners in developing, communicating and disseminating best practices in family engagement and ensuring consistency of message to families.
 - The Early Childhood Advisory Council subgroups and local community partners will review the existing research on successful models of best practices for family engagement and develop strategies which can be shared among all stakeholders (Spring - Summer 2012)
- Key Activity 3: Encourage the Professional Development subgroup of the Early Childhood Advisory Council to include high quality family engagement strategies in the revision of the Workforce Knowledge and Competency Framework and the TQRIS.
 - The Professional Development subgroup of the Early Childhood Advisory Council will review and revise Kentucky's Core Content and Competencies as described in the Workforce Knowledge and Competency Framework to include family engagement standards. (First quarter 2012)

Financial resources required for this plan: *See budget detail in (A)(4).*

D. A Great Early Childhood Education Workforce

Note: The total available points for (D)(1) and (D)(2) = 40. The 40 available points will be divided by the number of selection criteria that the applicant chooses to address so that each selection criterion is worth the same number of points. For example, if the applicant chooses to address both selection criteria in Focused Investment Area (D), each criterion will be worth up to 20 points.

The applicant must address one or more selection criteria within Focused Investment Area (D).

(D)(1) Developing a Workforce Knowledge and Competency Framework and a progression of credentials.

The extent to which the State has a High-Quality Plan to--

(a) Develop a common, statewide Workforce Knowledge and Competency Framework designed to promote children's learning and development and improve child outcomes;

(b) Develop a common, statewide progression of credentials and degrees aligned with the Workforce Knowledge and Competency Framework; and

(c) Engage postsecondary institutions and other professional development providers in aligning professional development opportunities with the State's Workforce Knowledge and Competency Framework.

If the State chooses to respond to this selection criterion, the State shall write its full response in the text box below. The State shall include the evidence listed below and describe in its narrative how each piece of evidence demonstrates the State's success in meeting the criterion; the State may also include any additional information it believes will be helpful to peer reviewers. If the State has included relevant attachments in the Appendix, these should be described in the narrative below and clearly cross-referenced to allow the reviewers to locate them easily.

In scoring the selection criterion, peer reviewers will determine, based on the evidence the State submits, whether each element of the selection criterion is implemented or planned; the quality of the implementation or plan (see the definition of a High-Quality Plan for the components reviewers will be judging); the extent to which the different types of Early Learning and Development Programs in the State are included and addressed; and the extent to which the unique needs of the State's special populations of Children with High Needs are considered and addressed. The State is responsible for providing clear and detailed information to assist the peer reviewers in making these determinations.

Evidence for (D)(1):

- To the extent the State has developed a common, statewide Workforce Knowledge and Competency Framework that meets the elements in criterion (D)(1), submit:
 - The Workforce Knowledge and Competencies;
 - Documentation that the State's Workforce Knowledge and Competency Framework addresses the elements outlined in the definition of Workforce Knowledge and Competency Framework in Definitions (section III) and is

designed to promote children's learning and development and improve outcomes.

Narrative for (D)(1) begins here

Overview and goals for developing a Workforce Knowledge and Competency Framework and a progression of credentials

Kentucky has long recognized the importance of developing a high quality early childhood workforce, creating our original Workforce Knowledge and Competency Framework and a progression of credentials in 2001. We know that early childhood outcomes, particularly for Children with High Needs, are closely tied to the training and educational attainment of early childhood educators. Going forward, our goal is as follows:

- Ensure full implementation of the Workforce Knowledge and Competency Framework in order to build an early childhood workforce with the knowledge and skills needed to ensure each Kentucky child is school-ready upon kindergarten entry

Since 2002, Kentucky's Workforce Knowledge and Competency Framework, called the "*Early Childhood Professional Development Framework*," and extensive early childhood credentialing system have been effectively implemented and meet nearly all the requirements under (D)(1)(a) and (D)(1)(b). Please refer to the current framework in page 222 of the Appendix.

To meet the requirements of (D)(1), we will review Kentucky's Workforce Knowledge and Competency Framework, and the Professional Development subgroup of the Early Childhood Advisory Council, the Center for Professional Development in the Governor's Office of Early Childhood, will undertake an extensive effort to effectively implement the competencies and content reflected in the framework and borne out in the Early Childhood Educator career lattice.

Implementation progress to date: Developing a Workforce Knowledge and Competency Framework and a progression of credentials

As described in section (A), Kentucky has an established Workforce Knowledge and Competency Framework and a progression of credentials.

KY has a well-designed statewide professional development framework that includes:

- In reference to a sub-criterion (D)(1)(a), Workforce Knowledge Competency Framework (referred to as Kentucky Early Childhood Professional Development Framework)
- In reference to a sub-criterion (D)(1)(b), a progression of credentials.
- In reference to a sub-criterion (D)(2)(b), policies and incentives that promote professional improvement and career advancement along an articulated career pathway that is aligned with the Workforce Knowledge Competency Framework
- In reference to a sub-criterion (D)(2)(c), data systems that track and store individual training records for early care and education professionals (ECE-TRIS) and early intervention providers
- The graphic below illustrates the components of the Kentucky Professional Development Framework:

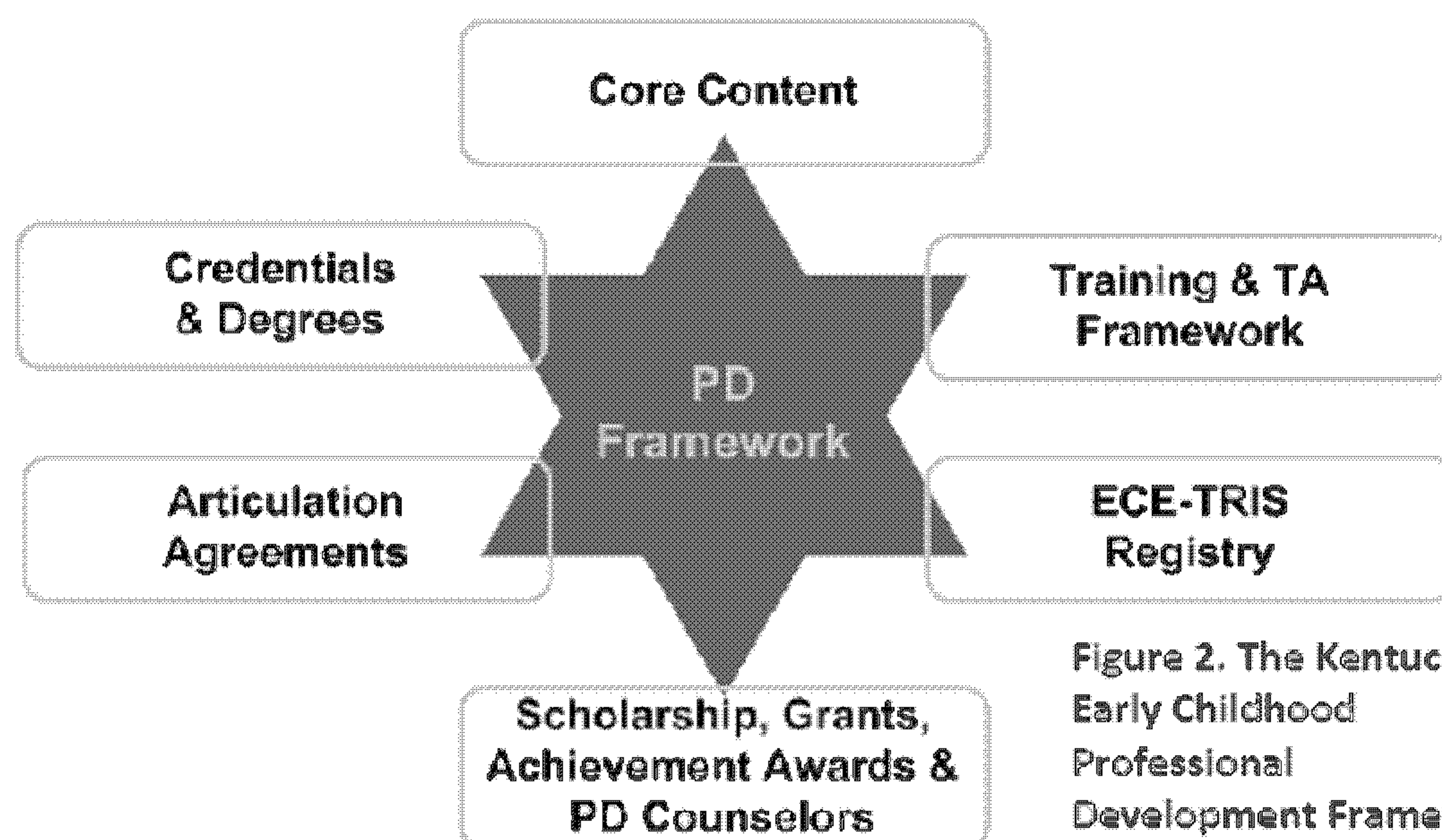


Figure 2. The Kentucky Early Childhood Professional Development Framework

Implementation of sub-criteria (D)(1)(a): Workforce Knowledge and Competency Framework

In 2001, five professional development subgroups developed recommendations for an early childhood professional development framework that included articulation, core content, credentials, scholarship and training. These recommendations were approved by the Early Childhood Development Authority that same year.

Kentucky's Workforce Knowledge and Competency Framework is designed to develop an Early Childhood Educator Workforce with the knowledge and skills necessary to *improve young children's health, improve social and emotional cognitive outcomes, enhance school readiness, and help close the wide school readiness gap that exists between children with high needs and their peers at the time they enter kindergarten.*

Kentucky's Workforce Knowledge and Competency Framework provides specific recommendations on how education, training and credentials can be structured to support high-quality practices across the early care, intervention and education systems. The Framework was recently revised to include information on technical assistance, coaching, and mentoring (see page 222 of the Appendix).

Implementation of sub-criteria (D)(1)(b): Common Statewide Progression of Credentials

Professional development, both college and non-college, is delivered through a variety of partners including institutions of higher education, regional training centers, child care resource and referral agencies, Kentucky Educational Television and others in coordination with the Governor's Office of Early Childhood.

In Kentucky, a quality Early Childhood Educator workforce begins early with high school child development courses taught in Family and Consumer Science programs. Students who complete the course requirements obtain a Certificate of Eligibility for a Commonwealth Child Care Credential. Specifically, this certificate of eligibility means that the student has met the knowledge and competency requirements for a Commonwealth Child Care Credential.

Effective April 1, 2011, the Council for Professional Recognition announced that high school students who were juniors or seniors in a high school vocational program in early education were now eligible for the Child Development Associate. The students are required to meet all the requirements but do not have to be 18 years old and a high school graduate. This

announcement changed the paradigm in Kentucky. It means a fast track to career and credentials for high school students and it increases the number of qualified workers available to early childhood programs. It also means increased buy-in from stakeholders for several reasons:

- Increased STARS participation (3 STAR Centers are required to have 50% of employees with Child Development Associate or Commonwealth Child Care Credentials designation)
- High schools are required to graduate students who are career ready. The Child Development Associate or Commonwealth Child Care Credentials meet this requirement.
- Head Start, child care and state-funded preschool programs are able to hire young knowledgeable staff to replace Associate, Bachelor and Interdisciplinary Early Childhood Education certified staff who climb the career lattice.

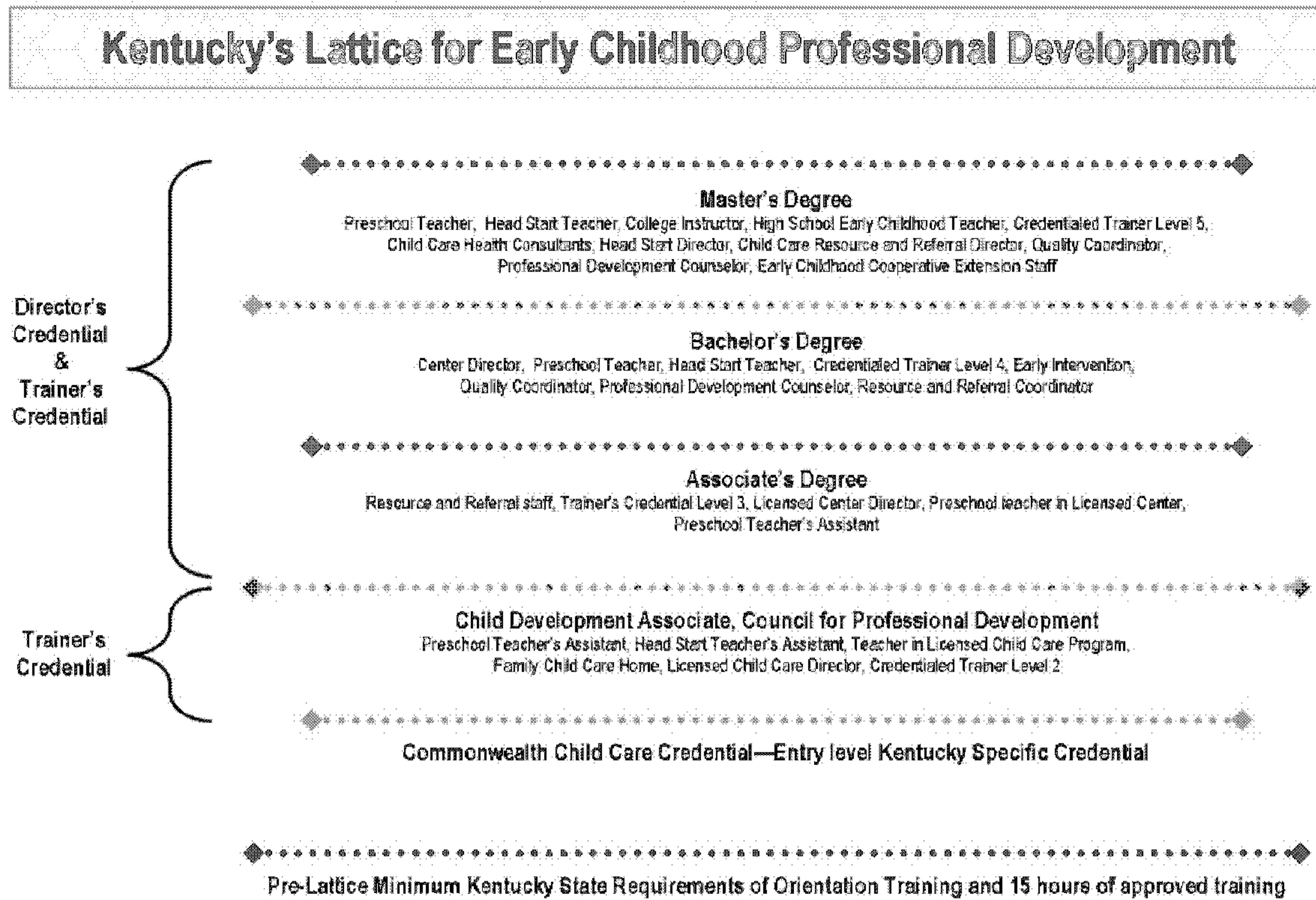
Kentucky's Workforce Knowledge and Competency Framework provides multiple opportunities to acquire increasing levels of professional credentials. Each credential represents a discrete entry/exit point, and each credential represents a building block to the next level of credentialing and competency. In addition to the national Child Development Associate credentials, the following four specific early childhood credentials/certificates are available in Kentucky.

- **Commonwealth Child Care Credential:** This credential reflects additional training to practitioners wishing to exceed the minimum training hours required by Child Care Licensing Regulations. Awarded by the Division of Child Care, the Commonwealth Child Care Credential requires 60 hours of instruction based on a common set of core competencies in Kentucky's Workforce Knowledge and Competency Framework and aligns with the first 60 hours of the Child Development Associate credential. The Commonwealth Child Care Credential can articulate to a 3-credit-hour college course.
- **Director's Credential:** This credential provides education and development in the skill areas needed to manage an early childhood program. Requirements include 12 college credit hours in early childhood education and related administrative subjects. The Director's Credential is awarded by the Division of Child Care upon successful

completion of the requirements and upon recommendation by an approved higher-education institution.

- **Trainer’s Credential:** This credential includes the competencies and standards for those who provide training to early childhood practitioners, from basic level one to a level 5 “Master Trainer” credential. The level of education, training, and experience of the trainer is correlated with the content levels at which training may be offered. Requirements include education and experience requirements as well as completion of “Fundamentals of Effective Training” (15 hours) and “The Introduction to Resources in Kentucky for Early Care and Education Trainers” (2 hours).
- **Interdisciplinary Early Childhood Education Certificate:** This certificate is the our teacher licensure program that allows early care and education professionals to teach children from birth through self-contained kindergarten (regular and special education) in public school and early intervention settings. The Interdisciplinary Early Childhood Education certificate provides educators with knowledge about cognitive, physical, social and emotional development. Programs that lead to the Interdisciplinary Early Childhood Education certificate are offered through Kentucky colleges and universities and are available at the Associate, Bachelor and graduate levels. Certification requires at least a Bachelor degree and oversight is provided by the Kentucky Education Professional Standards Board.

The Kentucky Early Childhood Educator Career Lattice



Implementation of sub-criteria (D)(1)(c): Alignment of Institutions and Providers

Kentucky's Institutions of Higher Education are grouped into regional universities (public and private), and local community colleges in the Kentucky Community and Technical College System. Our college programs have been approved by the Kentucky Educational and Professional Standards Board.

At this time there are 29 approved programs aligned to Kentucky's Workforce Knowledge and Competency Framework, including most community colleges, public and private colleges and all state universities.

At most Kentucky Community and Technical College System colleges, the Child Development Associate certificate translates into 9 hours of college credit. The Commonwealth and Child Development Associate credentials have both been articulated by course of study

(Note: “articulation” refers to how course credits earned, e.g., through completion of the Commonwealth and Child Development Associate credentials, and can then be applied when transferred to a college or university.) Because the historical roots of the community college programs were in vocational and technical schools, the schools award an Associates of Applied Science in Interdisciplinary Early Childhood Education. Articulation is a challenge, especially for students that have been taking courses over many years. In transitioning to the four year college, students often struggle to meet the math requirements. Newer scholars are being advised of their options to address the articulation issues early. Because these programs are aligned with Kentucky’s Workforce Knowledge and Competency Framework, we have worked to create articulation agreements, allowing students to more easily obtain the skill and credits necessary to become college-degreed early childhood educators. The Director’s Credential at all schools is approved through college course work that was evaluated by content by a group representing knowledgeable professionals in the field.

Kentucky’s plans for the Workforce Knowledge and Competency Framework and progression of credentials

Plans to address (D)(1)(a), (D)(1)(b), and (D)(1)(c): Refining, revising, and fully implementing the Workforce Knowledge and Competency Framework and progression of credentials

While Kentucky has taken a significant step forward by putting this Workforce Knowledge and Competency Framework into place, additional action is needed to ensure full implementation of the framework in order to realize the desired outcome: an early childhood workforce with the knowledge and skills needed to ensure each Kentucky child, especially Children with High Needs, enters school ready to engage in and benefit from early learning experiences that best promote the child’s success. Next steps to ensure full implementation/utilization of Kentucky’s Workforce Knowledge and Competency Framework include:

- 1) Revise/refine the Workforce Knowledge and Competency Framework and assure alignment with the new, integrated TQRIS described in (B).

- 2) Ensure effective use of and implementation of all components within the Workforce Knowledge and Competency Framework, such as establishing levels of training and recommended progressions through the Core Content.
- 3) Further improve articulation by establishing a tool that will help early childhood educators understand how their previous academic and training achievements at one level will articulate at another level or institution.
- 4) Create a unified delivery system for early childhood professional development training and technical assistance that includes public and private sector training and development partners. Training opportunities will be coordinated, high-quality and relevant and easily accessed by all public and private sector professionals. Credentialed trainers will leverage new knowledge and technology to improve child and family outcomes and enhance school readiness, closing the achievement gap for Children of High Needs.

Key activities, milestones, roles and timeline to implement the plans addressing (D)(1)(a), (D)(1)(b), and (D)(1)(c)

- Key Activity 1: Review and improve Core Competencies and the Core Content. A review of Kentucky's Core Competencies and Professional Development Core Content will align the effort around recent research that highlights the relevancy of children's approaches to learning, English language learners and school readiness. Specifically, Kentucky's Early Learning and Development Standards and Comprehensive Assessment System are prominent in Kentucky's Workforce Knowledge and Competency Framework and will be reinforced and strengthened in the Core Competencies. These enhanced standards will drive our improved child outcomes.
 - Milestones:
 - Kentucky's Early Childhood Advisory Council Professional Development subgroup will be convened in the first quarter of 2012.
 - Beginning in the summer of 2012, Kentucky's professional development stakeholders will come together to begin the review of the competencies and content and develop a plan for improvement for the Core

Competencies and Core Content as described in the Early Childhood Development Professional Development Framework.

- Develop a plan for improvement and implement, third quarter of 2012
 - The ECAC Professional Development subgroup will convene periodically going forward to assure that significant research continues to inform practices.
- Roles:
 - Kentucky's Early Childhood Advisory Council Professional Development subgroup, the Center for Professional Development, the Child Care Resource and Referral Network, the Early Childhood Regional Training Centers, the Kentucky Head Start Training and Technical Assistance Network as well as other professional development stakeholders will review and revise Kentucky's Core Content and Competencies as described in the Workforce Knowledge and Competency Framework and assure alignment with the new TQRIS
 - The Center for Professional Development, housed in the Governor's Office of Early Childhood will provide the oversight of this effort.
 - Key Activity 2: Improve Trainer's Credential and add a Technical Assistance/Coaching Credential with the following sub-activities. This will involve reviewing and improving the tiered system of training credentials to increase consistency and quality, increasing trainer competency in the use of technology in training and delivery to increase access to training and promote child development outcomes adding a technical assistance/coaching credential.
 - Milestones:
 - Kentucky's Early Childhood Advisory Council Professional Development subgroup will be convened in the first quarter of 2012
 - Revised Kentucky Trainer's Credential established in the second quarter of 2012
 - Technical Assistance/Coaching Credential established in the third quarter of 2012
 - Credential approved by the Kentucky Education Professional Standards Board

- Initial trainings on the revised and new credential will be provided to educators in the fourth quarter of 2012
- Postsecondary institutions will align their course content with the new credential in 2013
- Roles:
 - Future plans, additions, and timelines will be organized through the Professional Development subgroup of the Early Childhood Advisory Council. The efforts of Kentucky's early childhood professional development community will be coordinated to maximize our common, statewide progression of credentials and degrees
 - Work will include Kentucky Virtual Schools to deliver content virtually

Financial resources required for this plan: *See budget detail in (A)(4).*

(D)(2) Supporting Early Childhood Educators in improving their knowledge, skills, and abilities.

The extent to which the State has a High-Quality Plan to improve the effectiveness and retention of Early Childhood Educators who work with Children with High Needs, with the goal of improving child outcomes by--

(a) Providing and expanding access to effective professional development opportunities that are aligned with the State's Workforce Knowledge and Competency Framework;

(b) Implementing policies and incentives (*e.g.*, scholarships, compensation and wage supplements, tiered reimbursement rates, other financial incentives, management opportunities) that promote professional improvement and career advancement along an articulated career pathway that is aligned with the Workforce Knowledge and Competency Framework, and that are designed to increase retention;

(c) Publicly reporting aggregated data on Early Childhood Educator development, advancement, and retention; and

(d) Setting ambitious yet achievable targets for--

(1) Increasing the number of postsecondary institutions and professional development providers with programs that are aligned to the Workforce Knowledge and Competency Framework and the number of Early Childhood Educators who receive credentials from postsecondary institutions and professional development providers that are aligned to the Workforce Knowledge and Competency Framework; and

(2) Increasing the number and percentage of Early Childhood Educators who are progressing to higher levels of credentials that align with the Workforce Knowledge and Competency Framework.

If the State chooses to respond to this selection criterion, the State shall write its full response in the text box below. The State may also include any additional information it believes will be helpful to peer reviewers. If the State has included relevant attachments in the Appendix, these should be described in the narrative below and clearly cross-referenced to allow the reviewers to locate them easily.

In scoring the selection criterion, peer reviewers will determine, based on the evidence the State submits, whether each element of the selection criterion is implemented or planned; the quality of the implementation or plan (see the definition of a High-Quality Plan for the components reviewers will be judging); the extent to which the different types of Early Learning and Development Programs in the State are included and addressed; and the extent to which the unique needs of the State's special populations of Children with High Needs are considered and addressed. The State is responsible for providing clear and detailed information to assist the peer reviewers in making these determinations.

Additionally, the State must provide baseline data and set targets for the performance measure under (D)(2)(c)(1) and (D)(2)(c)(2).

Narrative for (D)(2) begins here

Overview and goals for supporting Early Childhood Educators in improving their knowledge, skills, and abilities

In Kentucky, there are many high-quality professional development opportunities for Early Childhood Educators. However, the system lacks coordination between private and public sector professional development and technical assistance providers. Our goals include the following:

- Expanding access by making opportunities well-coordinated, high-quality, relevant and easily accessible by all public and private sector professionals.
- Expanding access by leveraging new technologies, and by building local learning communities that will participate in year-long Community Early Learning Leadership Networks

- Requiring participation by all trainers and institutions in our professional development data system (the Early Care and Education Training Records Information System) to aggregate information on training, credentials, retention and advancement. This will become part of the licensing requirement
- Incorporating professional development data from Early Care and Education Training Records Information System in the longitudinal data system.

Implementation progress to date: Supporting Early Childhood Educators in improving their knowledge, skills, and abilities

Implementation of sub-criteria (D)(2)(a): Expanding Access

As a predominantly rural state with pockets of substantial urban areas, Kentucky is challenged to insure universal and equitable access to high-quality professional development. Potential scholars are assisted by a network of Professional Development (PD) Counselors, located in community colleges throughout the state. The role of the PD Counselor is to support the scholar in the successful completion of a planned program of study and to assist the scholar in the planning and implementation of a Professional Growth Plan. This plan includes a combination of non-degree and degree programs. Non-degree programs are an essential first step for many scholars who have not participated in postsecondary education. It helps to build their self-confidence and increases their willingness to consider a degree program in the future.

Kentucky's Workforce Knowledge and Competency Framework includes a process which integrates the systems for credentialing and training of early childhood professionals through a network of non-degree and degree programs. It includes five levels of competency, each of which articulate into the next level. At lower levels of competency, the completion of a particular credential, program or certificate equivocates, or transfers, as college credit. Thus students can transfer their training hours between secondary schools, community and technical colleges, training programs, and four-year institutions. The academic credits are transferrable to an Interdisciplinary Early Childhood Education program and count toward degree credit hours.

Implementation of sub-criteria (D)(2)(b): Incentives

KIDS NOW Early Childhood Development Scholarships (\$1 million in 2012) are available and fully utilized for early care and education professionals in child care and public preschool (currently many aides and associate teachers have waivers for the Interdisciplinary Early Childhood Education Certification). Recruitment of potential scholars, assistance with enrollment and award procedures, and dissemination of training and education information is facilitated by a Professional Development Counselor. The PD Counselor facilitates the application processes for the Related Expenses and Milestone Achievement Awards. The KY Higher Education Assistance Authority (KHEAA) administers Early Childhood Development Scholarships to obtain college credits. The Division of Child Care administers the Early Childhood Development Scholarships to obtain the Commonwealth Child Care Credential and Child Development Associates Credentials outside higher education institutions. Both scholarship programs are funded by the Governor's Office of Early Childhood.

The majority of KIDS NOW Scholars are enrolled in community colleges, though this is changing, and many early non-degree-program scholars are now attending 4 year institutions. Scholarships are for up to \$1,800 per year. Since most of our scholars are eligible for other financial aid they now complete the Free Application for Federal Student Aid which may qualify them for other assistance (e.g., Pell grants (federal funding based on need), College Access Program state funding based on need, and Kentucky Educational Excellence Scholarship).

Implementation of sub-criteria (D)(2)(c): Data systems

There are two major training registries systems used by early care, intervention and education professionals in Kentucky: the Early Care and Education Training Records Information system and TrainingFinder Real-time Affiliate Integrated Network. The Early Care and Education Training Records Information system is maintained by Eastern Kentucky University. The information from this system is made available to the Cabinet for Health and Family Services upon request and can be accessed by early care and education professionals. The TrainingFinder Real-time Affiliate Integrated Network is managed through the Department of Public Health and is designed to serve the majority of the U.S. public health workforce.

Implementation of sub-criteria (D)(2)(d): *See performance measures below*

Kentucky's plans for supporting Early Childhood Educators in improving their knowledge, skills, and abilities

Key activities, milestones, roles and timeline to implement the plans addressing (D)(2)(a), (D)(2)(b), (D)(2)(c) and (D)(2)(d)

- Key Activity 1: Create a Center for Professional Development in the Governor's Office of Early Childhood to coordinate the spectrum of opportunities that align with the state's Workforce Knowledge and Competency Framework. High-quality training opportunities will be offered through a variety of partners who will make their training available to public preschool, Head Start, and private child care
 - Milestones:
 - Create the Center for Professional Development in the Governor's Office of Early Childhood in the spring of 2012.
 - Execute memorandums of agreement with the Child Care Resource and Referral Network, Early Childhood Regional Training Centers and Kentucky Head Start Training and Technical Assistance Network, completed in mid-2012.
 - Roles:
 - Kentucky's Early Childhood Advisory Council Professional Development subgroup will engage in the facilitation, coordination, and increased access to online resources through the Center for Professional Development and provide continuous assessment of the effectiveness of the newly structured system.
 - The MOAs will define the roles of the Child Care Resource and Referral Network, Early Childhood Regional Training Centers and Kentucky Head Start Training and Technical Assistance Network.
 - The Center for Professional Development will coordinate and facilitate collaboration between Child Care Resource and Referral Network, Early Childhood Regional Training Centers and Kentucky Head Start Training and Technical Assistance Network efforts.

- **Key Activity 2:** The Center for Professional Development will offer a series of year-long coordinated institutes in targeted communities with Children with High Needs to include kindergarten, public preschool, Head Start, CCR&R's higher education, child care and others. Known as Community Early Learning Leadership Networks (CELLN), these institutes would enhance cross-sector communication, inner-agency collaboration, common definitions, and a shared understanding of what constitute high-quality early care and education based on the Early Childhood Standards.
 - Milestones:
 - Formation of the Center for Professional Development in 2012
 - The Institutes would be phased in, with at least one rural and one urban beginning in 2013 with offerings to other regions in 2014.
 - Roles:
 - Professional Development subgroup of the Early Childhood Advisory Council would advise the creations of the Center for Professional Development and the Institutes
 - The Institutes would phase in competitively based on the engagement and commitment to the concept and the quality and strengths of the Community Early Childhood Centers.
- **Key Activity 3:** Create a unified Professional Development Database, requiring all Kentucky Early Childhood Educator professional development providers (trainers and training organizations) to participate in (or utilize) Early Care and Education Training Records Information System, including Child Care Resource & Referral Agencies, Regional Training Centers, Head Start, and private trainers. Trainers would be required to submit two additional pieces of information to the Early Care and Education Training Records Information System:
 - Workplace outcomes that identify what participants should be able to do when they return to the workplace (this is different from learning objectives that identify what participants should learn in the training).
 - Training plans that incorporate the principles of the Fundamentals of Effective Teaching and use of the Preview, Activate Prior Knowledge, Content, Exercise Summary (or similar) model.

Aggregated information that can be used by PD providers to identify training gaps/needs and by public policy-makers will be publically reported. We will expand awareness/understanding of Early Care and Education Training Records Information System among early childhood professionals and ensure they know how to access their training records using the system

- Milestones:

- Convene the Professional Development subgroup (including the Division of Child Care) in the first quarter of 2012 to review system capability and needs
- Meet with PD providers to identify current sources of data, first quarter 2012
- Meet with Eastern Kentucky University to identify needed system changes, second quarter 2012.
- Division of Child Care and Eastern Kentucky University to implement system changes and provide training to all trainers, University participants, Child Care Resource & Referral Agencies and others, fourth quarter 2012.

- Roles:

- Eastern Kentucky University and the Division of Child Care will assist in identifying needed changes in format and capacity to accommodate a greater variety of systems entering data and requiring reports.
- The Professional Development subgroup of the Early Childhood Advisory Council will identify current sources of data and facilitate agreements to share information across systems.
- The Office of Early Childhood Center for Professional Development will coordinate with all providers and monitor for compliance.
- PD Counselors will increase awareness of the user interface in Early Care and Education Training Records Information System allowing individuals to access information about their own PD pathway.

Financial resources required for this plan: *See budget detail in (A)(4).*

Performance Measures for (D)(2)(d)(1): Increasing the number of Early Childhood Educators receiving credentials from postsecondary institutions and professional development providers with programs that are aligned to the Workforce Knowledge and Competency Framework					
	Baseline (Today)	Target - end of calendar year 2012	Target - end of calendar year 2013	Target - end of calendar year 2014	Target – end of calendar year 2015
Total number of “aligned” institutions and providers	29	29	29	29	29
Total number of Early Childhood Educators credentialed by an “aligned” institution or provider					
TOTAL	305	320	336	353	370
<i>Actual number of graduates Summer 2009 – Spring 2010; source Kentucky Council on Postsecondary Education</i>					
<i>Current aligned institutions provide good geographic diversity and access to programs from any part of the state.</i>					

Performance Measures for (D)(2)(d)(2): Increasing number and percentage of Early Childhood Educators who are progressing to higher levels of credentials that align with the Workforce Knowledge and Competency Framework.										
Progression of credentials (Aligned to Workforce Knowledge and Competency Framework)	<i>Baseline and Annual Targets -- Number and percentage of Early Childhood Educators who have moved up the progression of credentials, aligned to the Workforce Knowledge and Competency Framework, in the prior year</i>									
	Baseline (Today)		Target- end of calendar year 2012		Target- end of calendar year 2013		Target- end of calendar year 2014		Target- end of calendar year 2015	
	#	%	#	%	#	%	#	%	#	%
High School, Certificate of Eligibility for the Commonwealth Child Care Credential	562	N/A	650	N/A	725	N/A	780	N/A	815	N/A
Credential Type 1 <i>Commonwealth Child Care Credential</i>	961	3.2	1051	3.5	1215	4.05	1336	4.45	1476	4.92
Credential Type 2 <i>CDA</i>	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A

Performance Measures for (D)(2)(d)(2): Increasing number and percentage of Early Childhood Educators who are progressing to higher levels of credentials that align with the Workforce Knowledge and Competency Framework.										
Progression of credentials (Aligned to Workforce Knowledge and Competency Framework)	<i>Baseline and Annual Targets -- Number and percentage of Early Childhood Educators who have moved up the progression of credentials, aligned to the Workforce Knowledge and Competency Framework, in the prior year</i>									
	Baseline (Today)		Target- end of calendar year 2012		Target- end of calendar year 2013		Target- end of calendar year 2014		Target- end of calendar year 2015	
	#	%	#	%	#	%	#	%	#	%
Credential Type 3 <i>Director's Credential</i>	1182	3.9	1384	4.6	1619	5.4	1894	6.31	2216	7.39
Credential Type 4 <i>*Trainer's Credential</i>	831	2.7	853	2.84	879	2.9	903	3.01	928	3.1
<p><i>*Trainer's Credential growth for several years increased and has remained stable at approximately 2% increase as the market for trainers has equalized. In the last school year, there were 562 Early Childhood Service Completers. All of these students met the required course work to obtain the Certificate of Eligibility for the Commonwealth Child Care Credential. Projections of an additional 100 students in the current year.</i></p> <p><i>The Council for Professional Recognition in Washington, D.C. awards the CDA. We do not collect this data.</i></p>										

E. Measuring Outcomes and Progress

Note: The total available points for (E)(1) and (E)(2) = 40. The 40 available points will be divided by the number of selection criteria that the applicant chooses to address so that each selection criterion is worth the same number of points. For example, if the applicant chooses to address both selection criteria in Focused Investment Area (E), each criterion will be worth up to 20 points.

The applicant must address one or more selection criteria within Focused Investment Area (E).

(E)(1) Understanding the status of children's learning and development at kindergarten entry.

The extent to which the State has a High-Quality Plan to implement, independently or as part of a cross-State consortium, a common, statewide Kindergarten Entry Assessment that informs instruction and services in the early elementary grades and that--

(a) Is aligned with the State's Early Learning and Development Standards and covers all Essential Domains of School Readiness;

(b) Is valid, reliable, and appropriate for the target population and for the purpose for which it will be used, including for English learners and children with disabilities;

(c) Is administered beginning no later than the start of school year 2014-2015 to children entering a public school kindergarten; States may propose a phased implementation plan that forms the basis for broader statewide implementation;

(d) Is reported to the Statewide Longitudinal Data System, and to the early learning data system, if it is separate from the Statewide Longitudinal Data System, as permitted under and consistent with the requirements of Federal, State, and local privacy laws; and

(e) Is funded, in significant part, with Federal or State resources other than those available under this grant, (e.g., with funds available under section 6111 or 6112 of the ESEA).

If the State chooses to respond to this selection criterion, the State shall write its full response in the text box below. The State may also include any additional information it believes will be helpful to peer reviewers. If the State has included relevant attachments in the Appendix, these should be described in the narrative below and clearly cross-referenced to allow the reviewers to locate them easily.

In scoring the selection criterion, peer reviewers will determine, based on the evidence the State submits, whether each element of the selection criterion is implemented or planned; the quality of the implementation or plan (see the definition of a High-Quality Plan for the components reviewers will be judging); the extent to which the different types of Early Learning and Development Programs in the State are included and addressed; and the extent to which the unique needs of the State's special populations of Children with High Needs are considered and addressed. The State is responsible for providing clear and detailed information to assist the peer reviewers in making these determinations.

Narrative for (E)(1) begins here**Overview and goals for implementing Kentucky's universal Kindergarten Entry****Assessment**

As described in Section A and C, Kentucky has a plan for a common, statewide Kindergarten Entry Assessment that will measure the effectiveness of the statewide Early Learning and Development system (per A1, A2, and C2). Our plan calls for a system of measurement to inform instruction, improve practices, target services and guide policies related to school readiness. The plan is connected to our overall goal of improving the percentage of college and career ready (CCR) students from 34 to 67 percent by 2015. It is widely accepted that college and career readiness begins in the earliest years of a child's development, not just in middle and high school. Research supports the positive association between high quality Early Learning and Development experiences and high school graduation rates.²¹ Our vision to improve college and career readiness by improving Kentucky's Early Learning and Development system is as bold as it is essential to the civic, social and economic well-being of the Commonwealth.

There is substantive agreement and commitment among stakeholders, including the Early Childhood Advisory Council, the local Superintendents Advisory Board and the Kentucky Board of Education, about Kentucky's kindergarten entry assessment plan. This includes development of a state regulation which requires a common entry assessment. As reviewed by the Kentucky Board of Education on October 5, 2011, the draft regulation is aligned with the definition articulated in this application. The Kentucky kindergarten entry assessment:

- Will be administered to children during the first 30 days of their admission into kindergarten;
- Covers all Essential Domains of School Readiness;
- Will be used in conformance with the recommendations of the National Research Council reports on Early Childhood; and

²¹ "The Costs and Benefits of an Excellent Education for All of America's Children", Levin, H., Belfield, C., Muennig, P., Rouse, C., Teachers College, Columbia University, 2007.

- Is valid and reliable for its intended purposes and for the target populations and aligned to the Early Learning and Development Standards. We will use the results of the assessment to inform efforts to close the school readiness gap at kindergarten entry and to inform instruction in the primary 1 grades. We will not use the assessment to prevent children's entry into kindergarten.

In addition, we have established goals for the plan regarding the aforementioned assessment:

- Identify in early 2012, through a competitive bidding process, one common, statewide Kindergarten Entry Assessment that is appropriate for the target population (including children with special needs and English language learners), incorporates all Essential Domains of Readiness, and is fully aligned with Kentucky's Early Childhood Standards.
- Provide professional development for early childhood educators, and resources for schools and districts to support implementation of an appropriate statewide, common kindergarten readiness assessment and quality data collection by the fall of 2012.
- Build capacity within the student information system (Infinite Campus) and the P-20 data platform for readiness assessment data collection and analysis.

We have made substantial progress towards these goals. In September of 2011 the Kentucky Department of Education issued a Request for Information to solicit information about kindergarten entry assessments from potential vendors. The next step is to issue a Request for Proposals which will define the requirements for our common kindergarten entry assessment. To provide a foundation for this work, the Department of Education established Early Learning Leadership Networks (ELLNs) in the fall 2011 to develop leadership capacity for kindergarten assessment implementation, and will integrate data from existing data systems into a statewide Early Childhood Data System (ECDS) (per (E)(2) below) beginning this year. Our next step is to follow the regulatory process to approve and implement the common Kindergarten Entry Assessment state regulation, provide support to districts for implementation of the assessment, and collect data for analysis once the assessment is fully implemented.

Implementation progress to date: Kentucky's universal Kindergarten Entry Assessment

In 2010, the Governor's Early Childhood Task Force recommended that the Kentucky Department of Education and the Early Childhood Advisory Council work together to identify and implement a common assessment to measure children's readiness for success in kindergarten. In addition, the Task Force recommended the adoption and distribution of a statewide kindergarten readiness definition which incorporates five developmental competencies necessary for success: approach to learning; health and physical well-being; language and communication development; social and emotional development; and cognitive and general knowledge. Finally, the collection of assessment data integrated with Kentucky's P-20 Data System is included in the strategic plan and budget for the Early Childhood Advisory Council through the Head Start Re-Authorization Act.

The creation of a common definition of readiness, the recommendation to implement statewide assessment, and inclusion of data collection into the strategic plan were influenced by work done in the northern region of the state led by Success by 6, a United Way initiative. This initiative had 18 urban and rural school districts across a four county area coming together to decide on a common definition of readiness; a common tool to measure readiness based on the definition; and a means by which to aggregate the data into a common early childhood database to measure success over time, as well as to target resources to the areas of most need.

Based on input from Task Force recommendations and successful implementation of school readiness assessment strategies in several counties, we are moving forward with a plan to implement a common statewide Kindergarten Entry Assessment to inform instruction, better target resources and expand efforts to close achievement gaps at kindergarten entry.

The following section describes how the implementation to date as it relates to each sub-criterion.

Implementation of sub-criterion (E)(1)(a): As directed through the Early Childhood Task Force recommendations adopted by Governor Beshear, the Kentucky Department of Education developed a draft regulation to direct school districts to use a common, multi-domain kindergarten readiness assessment and to follow best practices in using the assessment with their in-coming kindergarteners. The proposed regulation ensures alignment between the common kindergarten readiness assessment and the school readiness definition which incorporates the Essential Domains of School Readiness and Kentucky's Early Childhood Standards. It will refer

to statute/regulation that establishes age as the only requirement for kindergarten entry to ensure kindergarteners are admitted on schedule and the assessment is used to identify a possible need for additional services. It was presented to the Kentucky Board of Education on October 5, 2011 and will receive a second review in November before its expected passage in early 2012.

Implementation of sub-criterion (E)(1)(b): The Kentucky Department of Education surveyed districts about current practice with Kindergarten Entry Assessments in October 2009 with 107 districts responding. At that time, 93.5% of districts responding did not have a definition of school readiness adopted into school board policy. The survey also revealed that 59.8% were assessing all kindergarten students for readiness with a variety of commercial and locally designed instruments. In June 2010, another survey determined that a majority of assessments are administered by kindergarten teachers and other personnel, and a majority of districts conduct readiness assessment in late spring before kindergarten entry. KDE also researched the school readiness initiatives of other states, including their Kindergarten Entry Assessment processes, to help formulate plans and strategies.

Implementation of sub-criterion (E)(1)(c): The Kentucky Board of Education recognizes kindergarten readiness as a key foundation to achieve our college- and career-ready goals. Implementation of our new assessment and accountability system has begun, and this includes expectation of a statewide, common Kindergarten Entry Assessment as well as a required review of all primary programs across Kentucky to ensure sustained program effects in the early elementary grades. During 2011, K-3 program review work groups have met face-to-face and online to develop the K-3 program review process. When completed, the process will support implementation of professional development, assessments (both formative and summative), curriculum, instruction and leadership necessary for sustained and accelerated student achievement from kindergarten through third grade. In addition, regarding ongoing assessment from kindergarten through third grade, a KDE workgroup developed a checklist in 2010 to help districts select appropriate assessments for evaluating progress from kindergarten through third grade.

Implementation of sub-criterion (E)(1)(d): In 2010 and 2011, the Kentucky Department of Education, as well as the Cabinet for Education and Workforce Development, met with the University of Kentucky researchers to discuss collection and sharing of assessment data for longitudinal purposes.

Implementation of sub-criterion (E)(1)(e): The Kentucky Department of Education has budgeted \$1.3 million to support implementation of the common Kindergarten Readiness Assessment (per A4).

Kentucky's plan to implement a universal Kindergarten Entry Assessment

The State Plan for Kentucky builds on the progress to date in order to accomplish the goals mentioned above. The following section describes how the Kentucky State Plan will address each sub-criterion.

Plan to address (E)(1)(a and b): Kentucky will select an assessment that aligns with our Early Learning and Development Standards, covers all Essential Domains of School Readiness, and is appropriate for all ages and demographics

Building on the recommendations of the Governor's Early Childhood Development and Education Task Force, the Kentucky Department of Education will collaborate with the assessment subcommittee of the Early Childhood Advisory Council to identify an assessment that meets the criteria for appropriateness and is aligned with existing standards. The chosen assessment, selected through the state procurement process, will meet the proposed state regulation that requires the use of a common kindergarten entry assessment by all schools and districts.

In addition, the Kentucky Department of Education and the Early Childhood Advisory Committee subcommittee on assessment will consider criteria that are grounded in the research-based concepts of rigor, relevance and reasonableness. Rigor refers to the psychometric properties of validity and reliability demonstrated by the instrument. Relevance refers to the utility of its indices to multiple end-users or stakeholders. An excellent framework for understanding relevance of assessment and evaluation data is the Utilization-Focused Evaluation of Michael Quinn Patton (2008). Importantly, assessment should inform practice, not only at the population and program levels, but also at the level of the individual child. Finally, reasonableness reflects the time and task demands of assessor and child, with particular awareness of its stress for participating children.

The Kentucky Department of Education will plan and provide the professional development of school-level administrators and staff to support the implementation of the Kindergarten Entry Assessment in the fall of 2012. Included in this professional development will be best practices in administering the assessment and strategies for using the data derived from the assessment to inform instruction. In addition, school individuals will receive training on standard data collection practices to ensure high-quality data collection through Infinite Campus and subsequent integration with our P-20 system.

The Kentucky Department of Education, in cooperation with the Early Childhood Advisory Council, will provide for the broad distribution of the adopted Kindergarten Readiness Definition to ensure full engagement and education of all stakeholders.

We anticipate the selection of an existing commercial assessment that meets all conditions of the grant application, as well as the proposed state regulation, through a competitive procurement process. Using input from the Early Childhood Advisory Council subcommittee, the Department of Education will post a request for proposals (RFP) to select the final statewide Kindergarten Entry Assessment before the end of the current school year.

Plan to address (E)(1)(c): Kentucky will implement the Kindergarten Entry Assessment by the beginning of 2012

We are in the process of implementing a new assessment and accountability model for P-12 education. The inclusion of a statewide, common Kindergarten Entry Assessment provides a foundational measurement of student preparation for success and provides a gauge by which to measure continued success through the early elementary program in preparation for later transition points. The inclusion of a statewide common assessment of children entering kindergarten fits seamlessly into Kentucky's new assessment and accountability model allowing for rapid implementation alongside other reforms. As part of Kentucky's leading efforts to ensure college and career readiness for all students upon graduation, and to ensure that elementary students are on track to hit these goals, the Kentucky Department of Education and Kentucky Board of Education plan to assess all kindergarteners beginning in the fall of 2012.

Plan to address (E)(1)(d): Kentucky will track the information from the assessment in a longitudinal data system

Kentucky's student information system, Infinite Campus, will be the point of input for kindergarten entry data at the school level. This will allow for a longitudinal look at a students' progress by school level professionals to ensure continued growth and the provision of supplemental services when necessary to ensure the success of at-risk students. Infinite Campus will be integrated into Kentucky's P-20 Longitudinal Data System to provide for cross-sector analyses of education and workforce progress.

Plan to address (E)(1)(e): Kentucky will use federal and state resources in addition to the grant to fund the implementation of the Kindergarten Entry Assessment

Funding will be identified by KDE to meet the costs of Kindergarten Entry Assessment selection, training and professional development, local administration, collection and use of the data. There are approximately 54,000 kindergarteners in Kentucky and the costs for an assessment range from \$1.3 to \$3.0 million.

Key activities, milestones, roles and timeline to implement the plan addressing (E)(1)(a, b, c, d, and e)

- Key Activity 1: Select, through a competitive bidding process, a common Kindergarten Entry Assessment that meets the requirements of the grant and the proposed state regulation
 - Convene the Early Childhood Advisory Council assessment subcommittee to review and provide feedback on a Request For Proposal draft
 - Roles: This activity will require input from members of assessment subcommittee as well as Department of Education program and budget staff.
 - Timeline: the assessment subcommittee will meet regularly beginning in November 2011 through February 2011.
 - Finalize state regulations requiring the use of a common Kindergarten Entry Assessment
 - Roles: Kentucky Board of Education members and Department of Education program and leadership staff.

- Timeline: Second Board of Education reading will be held in December 2011. The draft will be submitted to the Legislative Research Commission (LRC) to begin and complete the regulatory review process by Spring 2012.
- Key Activity 2: Provide professional development to school districts and other participants in the Early Learning and Development system concerning implementation of the common statewide Kindergarten Entry Assessment
 - Continue statewide implementation of the Early Learning Leadership Networks in support of district implementation
 - Roles: State and regional training teams including Department of Education Regional Training Centers (RTCs) and higher education; local teams that may include kindergarten, preschool, Head Start and child care teacher-leaders and administrative-leaders.
 - Timeline: Complete three years of Early Learning Leadership Network implementation in spring of 2016.
 - Convene the Early Childhood Advisory Council professional development subcommittee to develop plan in support of Kindergarten Entry Assessment system implementation
 - Roles: Advisory Council executive director and professional development sub-committee.
 - Timeline: Complete plan by February 2012 with implementation beginning spring of 2012.
- Key Activity 3: Complete K-3 program review process development
 - Continue process and rubric development conducted by four subgroups
 - Roles: Department of Education program staff, school district teachers and administrators.
 - Timeline: Complete and implement by fall 2012.
- Key Activity 4: Include common assessment data in P-20 longitudinal data system
 - Work with Department of Education Data Policy Committee to integrate data element requirements into Infinite Campus

- Roles: Data Policy Committee members, Department of Education program staff.
- Timeline: Submit for approval upon promulgation of the Kindergarten Entry Assessment regulation by spring 2012.
- Identify process for uploading data into P-20 data system
 - Roles: P-20 data leadership, Department of Education program and Infinite Campus staff, Kentucky Early Childhood Data System staff.
 - Timeline: Complete and implement by spring of 2012.
- Develop report mechanisms to pull data from across systems that include report customization to inform policy decisions (short- and long-term)
 - Roles: P-20 data leadership, Department of Education program and Infinite Campus staff, Kentucky Early Childhood Data System staff.
 - Timeline: Complete and implement by spring of 2012.

Financial resources required for this plan: *See budget detail in (A)(4).*

(E)(2) Building or enhancing an early learning data system to improve instruction, practices, services, and policies.

The extent to which the State has a High-Quality Plan to enhance the State's existing Statewide Longitudinal Data System or to build or enhance a separate, coordinated, early learning data system that aligns and is interoperable with the Statewide Longitudinal Data System, and that either data system--

- (a) Has all of the Essential Data Elements;
- (b) Enables uniform data collection and easy entry of the Essential Data Elements by Participating State Agencies and Participating Programs;
- (c) Facilitates the exchange of data among Participating State Agencies by using standard data structures, data formats, and data definitions such as Common Education Data Standards to ensure interoperability among the various levels and types of data;
- (d) Generates information that is timely, relevant, accessible, and easy for Early Learning and Development Programs and Early Childhood Educators to use for continuous improvement and decision making; and
- (e) Meets the Data System Oversight Requirements and complies with the requirements of Federal, State, and local privacy laws.

If the State chooses to respond to this selection criterion, the State shall write its full response in the text box below. The State may also include any additional information it believes will be helpful to peer reviewers. If the State has included relevant attachments in the Appendix, these should be described in the narrative below and clearly cross-referenced to allow the reviewers to locate them easily.

In scoring the selection criterion, peer reviewers will determine, based on the evidence the State submits, whether each element of the selection criterion is implemented or planned; the quality of the implementation or plan (see the definition of a High-Quality Plan for the components reviewers will be judging); the extent to which the different types of Early Learning and Development Programs in the State are included and addressed; and the extent to which the unique needs of the State's special populations of Children with High Needs are considered and addressed. The State is responsible for providing clear and detailed information to assist the peer reviewers in making these determinations.

Narrative for (E)(2) begins here

Overview and goals for building / enhancing Kentucky's early learning data system to improve instruction, practices, services, and policies

The importance of a statewide longitudinal data system cannot be overstated. The ability to measure progress, target support, and answer basic policy questions is dependent on appropriate collection and use of data. Closing achievement gaps and preparing all children for success in school and in life starts with knowing where children are, what needs children have, and what interventions best meet those needs.

The P20 Data Collaborative has made great strides in linking K-12 data to postsecondary with agencies partnering together. The Collaborative provides a model on how early childhood programs and services can be linked together and to K-12 and postsecondary, giving policy makers an informed picture of a child's progress as well as the program and early care and education workforce data.

Currently, Kentucky cannot measure how well our children are doing at kindergarten entry, but as mentioned in C, successful first steps have been made in the progress towards implementing a Kindergarten Entry Assessment. We cannot tell which children have access to high-quality early care and education programs, or if the quality of programs are improving, or what are the characteristics of effective programs. We do not know what policies and support lead to a skilled and stable early care and education workforce. Appropriate use of early childhood data can inform policy and drive systemic change, giving early care and education

policy makers and providers the tools needed to best meet the needs of Kentucky's children, especially those in greatest need of intervention and support. No state can link data across all early care and education programs at the child, program site, and workforce levels and we are working to see what data we need and what policy questions we want to answer with our data system.

Kentucky has established the following goals regarding the early childhood inputs to the Statewide Longitudinal Data System:

- Kentucky will utilize the 10 Fundamentals of Coordinated State Early Care and Education Data Systems developed by the Early Childhood Data Collaborative to develop and use our early childhood data warehouse within the Kentucky P20 Data Collaborative structure.
- The 10 Fundamentals of Coordinated State Early Care and Education Data Systems include:
 1. Unique statewide child identifier
 2. Child-level demographic and program participation information
 3. Child-level data on development
 4. Ability to link child-level data with K-12 and other key data systems
 5. Unique program site identifier with the ability to link children with the early care and education workforce
 6. Program site data on structure, quality, and work environment
 7. Unique early care and education identifier with ability to link with program sites and children
 8. Individual early care and education workforce demographics, including education and professional development information
 9. State governance body to manage data collection and use
 10. Transparent privacy protection and security practices and policies

Kentucky has made progress towards these goals, having established an early childhood data committee of the Early Childhood Advisory Council to govern data use. The governance structure, memorandums of agreements between agencies, and infrastructure for the early

childhood data warehouse have been developed and put in place, giving a significant presence and strong start to the work ahead.

Going forward, Kentucky will identify policy questions that would best inform how to improve child outcomes and increase school readiness, especially for Children with High Needs. We will then decide on data points and information to include in the system based on how it would inform policy and practice.

Implementation progress to date

The following section describes how Kentucky has addressed each sub-criterion to date.

Implementation of sub-criterion (E)(2)(a): Kentucky already tracks substantial amount of data in early childhood education, social, and health programs, including:

- Formative assessment, development and demographic information for students enrolled in state preschool and Head Start programs.
- Professional development, educational attainment, workforce, and demographic information for professionals.
- Environmental (e.g., structure, quality) and staff information for state pre-K and Head Start programs, as well as child care providers participating in the current TQRIS.

Implementation of sub-criterion (E)(2)(b): Kentucky has also made progress in the next phase of data system implementation, which is to integrate data from each system using unique child, Early Child Educator, and program site identifiers. This effort exists within a larger initiative to build a statewide longitudinal database under the P-20 Data Collaborative, thereby allowing early childhood data to be linked with data from K-12, post-secondary institutions, teacher licensure, and other sources. ECAC is working with the state's P-20 Data Collaborative to develop an Early Childhood Reporting Warehouse which will allow data from multiple early childhood providers and services to be collected and matched together. The system has already integrated data from K-12, postsecondary, teacher preparation and licensure, and adult education. A warehouse is being built within this structure to include currently available student and

program level early childhood data. This work was funded in part through the State Advisory Council Health and Human Services grant as a key focus of Kentucky's Strategic Plan for Early Childhood.

Implementation of sub-criterion (E)(2)(c): The data warehouse is being developed within the P20 infrastructure so it can leverage their sophisticated matching algorithms, reporting tools, and existing software licenses with the intention of linking it with other P20 data to be able to provide some feedback information about kindergarten performance and outcomes at a program level.

Implementation of sub-criterion (E)(2)(d): Though this can provide some very important information to help us drive early childhood policy, the data are collected after-the-fact and it is simply too old or outdated to serve the children in the programs today. In addition, data about many children are not available in the existing systems and cannot be brought into that system at all. Therefore there is a need to develop a "live" system for collecting more child-level data from the variety of early childhood service providers which can be used for current, live management purposes as well as serving as another source which can provide data to the reporting warehouse within P20 to link it with other critical data to inform providers, policy makers, and others about the impact the various programs have on kindergarten readiness and the long-term effects on student success in general.

Implementation of sub-criterion (E)(2)(e): The executive order establishing the P20 Data Collaborative (EO 2010-382) specifically mandates compliance with the requirements of all federal, state, and local privacy laws including HIPPA, FERPA, and IDEA. The P20 system de-identifies data and has a governing board to ensure secure and appropriate use of data.

Kentucky's plan to build out our early learning data system

In order to improve to quality of education overall, we have developed a multi-part strategy that will allow service providers to have access to important information about the children they work with as well as providing comparable information both about children as well as providers for program improvement and policy development. This strategy will also allow for critical information about a child's needs, background, and learning outcomes to follow that

child from program to program and ultimately into kindergarten much like the way a high school transcript follows a student who moves to a different school or eventually goes to college. These data will also feed into the P20 system to allow them to be linked with other student-level data to provide a more robust, accurate picture of early childhood services for the state to use for policy making.

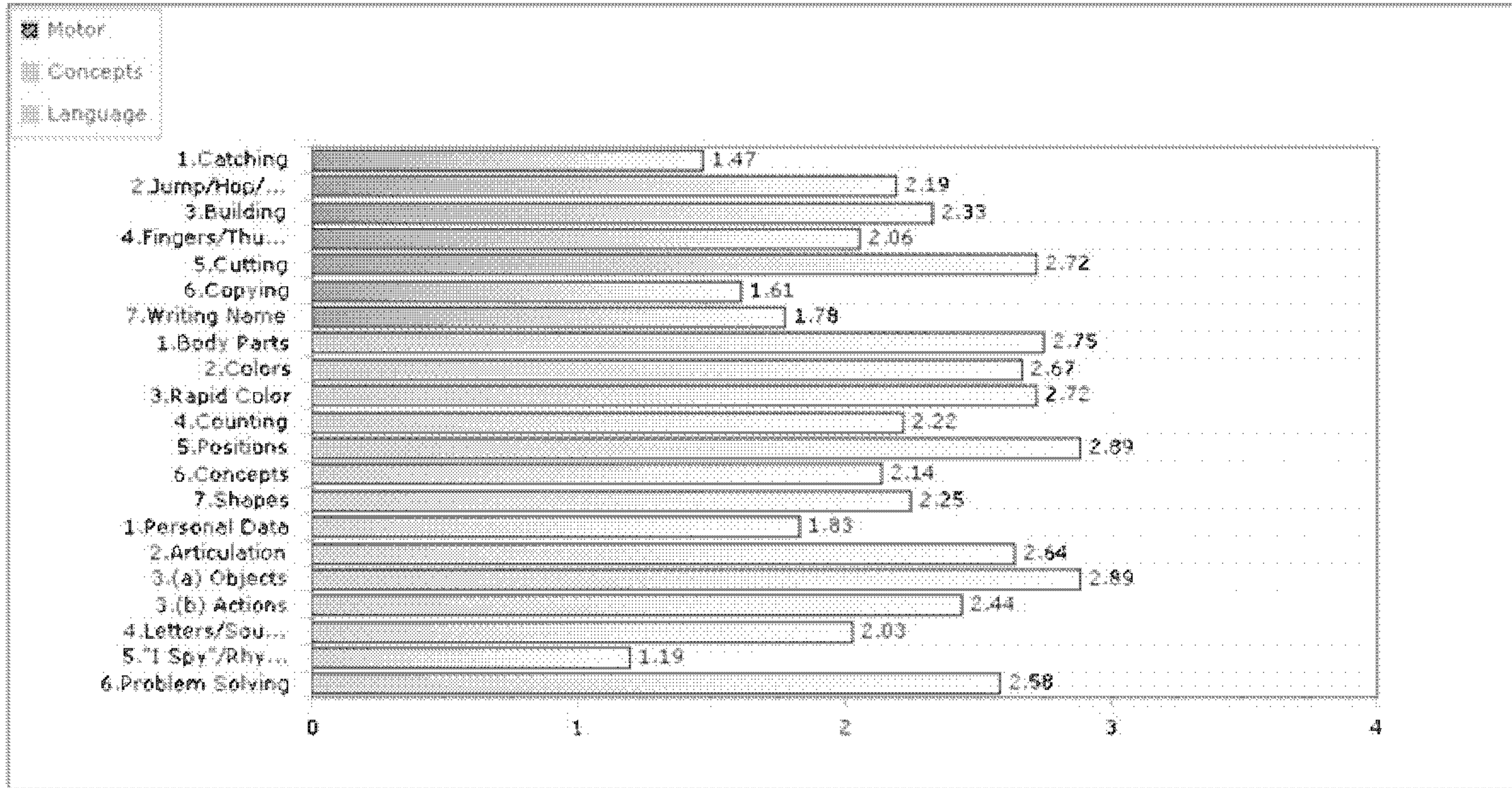
The state action plan for an Early Childhood Database is to provide a live, transactional database which will provide some of the same functionality of the system which has already been implemented and deployed in Northern Kentucky in partnership with local school districts, 4 Cs child care resource and referral agency, United Way of Northern Kentucky, private and non-profit early care and education programs, Northern Kentucky University, STARS for KIDS NOW (Kentucky's current TQRIS), and local Head Start and state funded preschools. The Northern Kentucky Early Childhood Database's central system provides the capability to ensure that we don't have to "wait" until children register for kindergarten to know whether they are "prepared." The database provides live data so that interventions and needed services can be provided earlier, and data can be used to inform policy and practice to target support, make program improvements, professional development decisions and determine investment decisions. This live feedback loop between schools, teachers, and the early care and education community provides communication about how to best provide opportunities and environments that promote child success and help children be ready for school, physically, emotionally, socially, and cognitively.

Below are child level progress data, a data input sheet from a local partner program, and program level data.

Coaching to Quality Average DIAL-3 Detailed

Report Date: 7/28/2011

Total Students Tested: 36



Each bar represents the average Item Scaled Score of each DIAL-3 exercise as reported from the DIAL-3 Record Forms. The higher the average = the better the class performed on that exercise as a whole.

Kindergarten Entry Average NCE

Assessment Year: 2010-11

Program: Kindergarten				
Percent Ready for Kindergarten:				60.37 %
	0-35	36-49	50-75	76+
Children In Quadrant	31	34	68	31
Percent In Quadrant	18.90 %	20.73 %	41.46 %	18.90 %
Average NCE Score in Quadrant	26.12	43.10	63.45	90.64

Program: [REDACTED]				
Percent Ready for Kindergarten:				47.06 %
	0-35	36-49	50-75	76+
Children In Quadrant	8	10	12	4
Percent In Quadrant	23.53 %	29.41 %	35.29 %	11.76 %
Average NCE Score in Quadrant	22.29	43.41	65.75	89.83

Program: [REDACTED]				
Percent Ready for Kindergarten:				37.50 %
	0-35	36-49	50-75	76+
Children In Quadrant	23	12	14	7
Percent In Quadrant	41.07 %	21.43 %	25.00 %	12.50 %
Average NCE Score in Quadrant	20.86	42.25	64.29	85.46

Program: [REDACTED]				
Percent Ready for Kindergarten:				55.28 %
	0-35	36-49	50-75	76+
Children In Quadrant	27	28	53	15
Percent In Quadrant	21.95 %	22.76 %	43.09 %	12.20 %
Average NCE Score in Quadrant	21.34	43.05	61.06	87.77

Program: [REDACTED]				
Percent Ready for Kindergarten:				33.33 %
	0-35	36-49	50-75	76+
Children In Quadrant	27	15	17	4
Percent In Quadrant	42.86 %	23.81 %	26.98 %	6.35 %
Average NCE Score in Quadrant	21.97	41.65	62.52	91.00

Scores have been converted to Normal Curve Equivalency (NCE):

A score that is based on the normal curve where 50 is the mean. Converted from the Percentile Rank score (which is based on the age of the child), which was converted from the raw score from either the BRIGANCE® or DIAL-3 screeners.

Our plan is to develop a statewide Early Childhood Data System (ECDS), which will allow for child level data to be entered into a transactional, live data system that can provide useful data back to the providers who enter the information about the children, their needs, and progress etc. This will be a statewide web-based system that can be accessed by authorized public and private providers.

- Kentucky's past and current investment in developing and maintaining a longitudinal database has been a crucial first step in creating a whole child focus across the spectrum of health, social, and education services to inform policy and practice at the individual, local, regional and state level. The next focus for Kentucky is to develop a transactional database for early childhood that can serve as a live link for individual child level data across child care, Head Start, state-funded preschool and K-12.
- Kentucky will be able to quickly identify and address the needs of children with high needs in a more coordinated and targeted fashion through the use of an early childhood database.
- An early childhood database would provide individual programs a means to communicate child level data, link professional development information, curriculum development; serving as a means to increase quality throughout the system of early childhood services.
- Developing a method for individual early childhood programs to communicate strengths and needs of children and track individual child level data provides a vital baseline communication tool for early care and education programs as children transition between child care, state-funded preschool, Head Start, and k-12 programs as well as health and social service programs such as First Steps, the HANDS home visitation program, and other essential services for high needs children. This shift towards a more comprehensive information system has the ability to increase the ability of families and their children to access services, increase overall system quality and the return on investment to these programs.
- Kentucky has many databases for early childhood programs across the spectrum from prenatal to school entry that communicate through the P-20 Data Collaborative, Early Childhood Warehouse, which as a part of the P-20 Data Collaborative has the capacity to continue to track teachers performance, assess quality, measure sustainable gains and

individual child outcomes. This continues to be an extremely productive, coordinated effort between agencies, with the ability to inform on policy and practice. The Early Childhood Warehouse was envisioned as a pivotal step in developing and increasing capacity in Kentucky's data systems in early childhood and communicating with other agencies to improve quality, inform coordination of child transition points (e.g. preschool to kindergarten) and provide information on local, state, and federal investments. The Early Childhood Database will serve as an essential communication tool for parents, providers, teachers, and local, regional, and state agencies. The database will provide the data needed to improve child level outcomes, professional development, program quality, and inform individualized instruction development.

Plans to address (E)(2)(a): This database will collect all essential data elements that include child, program, and workforce data elements essential to a coordinated early learning data system. The system will have a number of features including at a minimum:

- The ability to assign a unique Early Childhood Identification Number which will follow an individual child from provider to provider and ultimately into public K-12. This identifier will also automatically be populated within the state's P20 State Longitudinal Data System and will be the primary identifier used in the Early Childhood Reporting System to allow for full interoperability of data from system to system.
- Collection of a number of demographic and background characteristics about a child and his/her family.
- Collection of assessment, services, attendance and outcomes recorded about each child by content area which can be used to identify improvements and areas where children may need enhanced services.
- Collection of information about a service provider, the credentials of its staff, professional development and the linkage between the child and the provider for time periods or various services through a provider level identification number which will be linked to all child services.

Plans to address (E)(2)(b) and (c): Data will be maintained in a format that is directly compatible with or can be easily converted for sharing purposed with the Common Education

Data Standards – which is already incorporated into the work being completed on the Early Childhood Reporting Warehouse and the P-20 State Longitudinal Data System.

- The system will be able to create an Early Childhood Transcript for students whose parents or guardians have provided consent that includes critical pieces of information about children that can be transferred from provider to provider and ultimately from early childhood providers and programs to kindergarten electronically. When a child enters a new program or begins school, his or her new teacher immediately knows where the child is on a number of subject areas in relation to accepted standards and can begin providing the services that child needs without any delay.

Plans to address (E)(2)(d) and (e): A combination of consent and role-based access that meets all state and federal privacy laws and regulations but allows important information to be made available to the people who need it by:

- allowing providers to use the system to enter, review, and analyze live data they have provided at the most granular and even student level to document assessments, services, and students for the children they serve in formats that will help them serve individual students in better and more timely way;
- allowing providers, parents, local early childhood councils, state officials and others to see program or provider level summary data for comparison purposes without releasing confidential person-level data; and
- allowing critical data for those students where consent allows to follow that child into another program that is also part of the state system or into the local school district's student information system so that the appropriate kindergarten teacher can immediately have access to critical information about a new child.

Kentucky will undertake the following key activities to fully achieve the implementation described above:

- Identifying policy questions that would be the focus of the database referencing P20's policy framework questions within first six months of 2012
- Identifying data elements to use within first six months of 2012

- Identifying current data systems that would communicate with the early childhood database within 2012
- Drafting MOUs with participating agencies to share data by end of 2012
- Linking current data systems to the early childhood database by June of 2013
- Pilot phase in of program data July 2013
- Developing local capacity to input information into database, focused phase-in in 2013
- Full utilization of the database and linkage to the early childhood warehouse by end of 2014.

Roles:

- The Early Childhood Advisory Council data subcommittee would develop the plan and monitor progress
- The P-20 Data Collaborative would provide guidance and technical assistance
- Participating agencies would share data and link current databases
- Community Early Childhood Councils' would provide local technical assistance to local community early care and education programs,
- Kentucky Department of Education would provide technical assistance to local districts

Financial resources required for this plan: *See budget detail in (A)(4).*

VII. COMPETITION PRIORITIES

Note about the Absolute Priority: The absolute priority describes items that a State must address in its application in order to receive a grant. Applicants do not write a separate response to this priority. Rather, they address this priority throughout their responses to the selection criteria. Applications must meet the absolute priority to be considered for funding. A State meets the absolute priority if a majority of reviewers determines that the State has met the absolute priority

Priority 1: Absolute Priority – Promoting School Readiness for Children with High Needs.

To meet this priority, the State's application must comprehensively and coherently address how the State will build a system that increases the quality of Early Learning and Development Programs for Children with High Needs so that they enter kindergarten ready to succeed.

The State's application must demonstrate how it will improve the quality of Early Learning and Development Programs by integrating and aligning resources and policies across Participating State Agencies and by designing and implementing a common, statewide Tiered Quality Rating and Improvement System. In addition, to achieve the necessary reforms, the State must make strategic improvements in those specific reform areas that will most significantly improve program quality and outcomes for Children with High Needs. Therefore, the State must address those criteria from within each of the Focused Investment Areas (sections (C) Promoting Early Learning and Development Outcomes for Children, (D) A Great Early Childhood Education Workforce, and (E) Measuring Outcomes and Progress) that it believes will best prepare its Children with High Needs for kindergarten success.

Note about Competitive Preference Priorities: Competitive preference priorities can earn the applicant extra or "competitive preference" points.

Priority 2: Competitive Preference Priority – Including all Early Learning and Development Programs in the Tiered Quality Rating and Improvement System. (10 points)

Competitive Preference Priority 2 is designed to increase the number of children from birth to kindergarten entry who are participating in programs that are governed by the State's licensing system and quality standards, with the goal that all licensed or State-regulated programs will participate. The State will receive points for this priority based on the extent to which the State has in place, or has a High-Quality Plan to implement no later than June 30, 2015--

(a) A licensing and inspection system that covers all programs that are not otherwise regulated by the State and that regularly care for two or more unrelated children for a fee in a provider setting; provided that if the State exempts programs for reasons other than the number of children cared for, the State may exclude those entities and reviewers will score this priority only on the basis of non-excluded entities; and

(b) A Tiered Quality Rating and Improvement System in which all licensed or State-regulated Early Learning and Development Programs participate.

If the State chooses to respond to this competitive preference priority, the State shall write its full response in the text box below. The State may also include any additional information it believes will be helpful to peer reviewers. If the State has included relevant attachments in the Appendix, these should be described in the narrative below and clearly cross-referenced to allow the reviewers to locate them easily.

In scoring this priority, peer reviewers will determine, based on the evidence the State submits, whether each element of the priority is implemented or planned; the quality of the implementation or plan (see the definition of a High-Quality Plan for the components reviewers will be judging); and the extent to which the different types of Early Learning and Development Programs in the State are included and addressed. The State is responsible for providing clear and detailed information to assist the peer reviewers in making these determinations.

Narrative for Competitive Preference Priority 2 begins here.

Overview and goals for including all Early Learning and Development Programs in the TQRIS

In addition to the plans to increase program participation described in (B), Kentucky will encourage TQRIS participation of non-licensed programs that are regulated in other ways. Our goals for this Competitive Preference Priority are as follows:

- To increase school readiness rates of Children with High Needs by increasing participation such that the vast majority of Early Learning and Development Programs serving Children with High Needs participate in quality improvement through the TQRIS
- To have programs and providers that do not receive public funds, and those that are not required to participate, choose to participate in Kentucky's integrated TQRIS because they too view participation as beneficial, particularly in terms of their programs' quality and sustainability
- To grow and maintain the supply of high-quality child care for Children with High Needs

Currently, there are four main types of child care provider requirements in Kentucky: two types of licensed child care, certified family child care homes, and registered providers. Licensed child care and certified family homes may participate in the STARS for KIDS NOW system, and cover providers and programs with four or more children. Registered providers are family,

friend, or neighbor providers who care for no more than three children that receive CCDF subsidies. Kentucky's licensing, inspection, and child care regulation system covers all programs and providers with three or more unrelated children.

With the development and rollout of the integrated TQRIS, Kentucky will encourage and incent non-licensed (i.e., certified or registered) providers to participate and improve the quality of their programming through participation, and technical assistance/support for improvement planning.

Implementation progress to date: Program participation in Kentucky's TORIS

Implementation of sub-criteria (a): licensing and inspection system that covers all programs that are not otherwise regulated by the State

Kentucky has four main sets of child care provider requirements (see page 332 of the Appendix for a table that outlines the program definitions, basic operator requirements, health, safety, training, and inspection requirements and processes, and pages 333-339 of the Appendix for the regulation outlining which programs are exempt):

- A Licensed Type I Child Care Facility is a facility that regularly provides child care services for four (4) or more children in a non-residential setting; or thirteen (13) or more children in a residential setting
- A Licensed Type II Child Care Facility is the primary residence where child care is regularly provided for at least seven (7), but not more than twelve (12) children including related children
- A Certified Family Child Care Home is a person who cares for a child in their own home; and shall not exceed six (6) unrelated children at any one (1) time; or four (4) related children in addition to six (6) unrelated children for a maximum of ten (10) at any one (1) time
- A registered provider is a family, friend or neighbor who provides care for no more than 3 children on the Child Care Assistance Program (CCAP) program

In Kentucky, all programs and providers with three or more unrelated children are part of the state's inspection system, either through licensure, certification, or registration.

Implementation of sub-criteria (b): An integrated TQRIS in which all licensed or State-regulated Early Learning and Development Programs participate

As described in (B)(2), all licensed and certified child care programs are eligible to participate in the STARS system; currently about 40% choose to participate.

Kentucky's plans to promote participation by all programs in the integrated TQRIS

Plans to address sub-criterion (a): Kentucky will continue its approach to regulating programs so that all programs and providers that regularly care for three or more unrelated children for a fee in a provider setting must register with the state and meet minimum state requirements for child care.

Plans to address sub-criterion (b): As described in (B), Kentucky's integrated TQRIS will include numerous benefits and supports to improve program quality and ensure that a supply of high-quality providers serving low-income children is maintained. We will do targeted outreach and education to all licensed and registered providers, and as part of the licensing and registration processes will encourage providers to participate in the TQRIS. Because currently registered providers are not eligible to participate in STARS, our outreach and encouragement to join the TQRIS to reap the benefits of participation will require increased capacity to manage the TQRIS and support these numerous types of programs.

In particular, CECCs will play an important role in this outreach. As the local, community-driven hubs for early childhood, the CECCs will work with the FRYSCs and CCR&Rs to ensure that all programs and providers, licensed and registered, are aware of all of the benefits to TQRIS participation, and will encourage all providers to join the system and improve.

Key activities, milestones, roles and timeline to implement the plan addressing Competitive Preference Priority 2 (b)

- Key activity 1: Encourage participation of regulated, non-licensed providers in the integrated TQRIS
 - Through the same outreach and education described in the (B), CECCs and other community-based agencies will seek out these small programs and providers and inform them of the benefits and incentives in the TQRIS

Financial resources required for this plan: *See budget detail in (A)(4).*

Priority 3: Competitive Preference Priority – Understanding the Status of Children’s Learning and Development at Kindergarten Entry. (10 points)

To meet this priority, the State must, in its application--

(a) Demonstrate that it has already implemented a Kindergarten Entry Assessment that meets selection criterion (E)(1) by indicating that all elements in Table (A)(1)-12 are met; or

(b) Address selection criterion (E)(1) and earn a score of at least 70 percent of the maximum points available for that criterion.

For Competitive Preference Priority 3, a State will earn all ten (10) competitive preference priority points if a majority of reviewers determines that the State has met the competitive preference priority. A State earns zero points if a majority of reviewers determines that the applicant has not met the competitive preference priority.

Applicants do not write a separate response to this priority. Rather, applicants address Competitive Preference Priority 3 either in Table (A)(1)-12 or by writing to selection criterion (E)(1).

Under option (a) below, an applicant does not earn competitive preference points if the reviewers determine that the State has not implemented a Kindergarten Entry Assessment that meets selection criterion (E)(1); under option (b) below, an applicant does not earn competitive preference points if the State earns a score of less than 70 percent of the maximum points available for selection criterion (E)(1).

Specify which option the State is taking:

(a) Applicant has indicated in Table (A)(1)-12 that all of selection criterion (E)(1) elements are met.

(b) Applicant has written to selection criterion (E)(1).

Note about Invitational Priorities: Invitational priorities signal areas the Departments are particularly interested in; however addressing these priorities will not earn applicants any additional points.

Kentucky did not address the invitational priorities

Priority 4: Invitational Priority – Sustaining Program Effects in the Early Elementary Grades.

The Departments are particularly interested in applications that describe the State’s High-Quality Plan to sustain and build upon improved early learning outcomes throughout the early elementary school years, including by--

(a) Enhancing the State’s current standards for kindergarten through grade 3 to align them with the Early Learning and Development Standards across all Essential Domains of School Readiness;

(b) Ensuring that transition planning occurs for children moving from Early Learning and Development Programs to elementary schools;

(c) Promoting health and family engagement, including in the early grades;

(d) Increasing the percentage of children who are able to read and do mathematics at grade level by the end of the third grade; and

(e) Leveraging existing Federal, State, and local resources, including but not limited to funds received under Title I and Title II of ESEA, as amended, and IDEA.

(Enter narrative here)

Priority 5: Invitational Priority – Encouraging Private-Sector Support

The Departments are particularly interested in applications that describe how the private sector will provide financial and other resources to support the State and its Participating State Agencies or Participating Programs in the implementation of the State Plan.

(Enter narrative here)



VIII. BUDGET

AWARD INFORMATION

Budget Requirements: To support States in planning their budgets, the Departments have developed the following budget caps for each State. The Secretaries will not consider for funding an application from a State that proposes a budget that exceeds the applicable cap set for that State. The Departments developed the following categories by ranking every State according to its share of the national population of children ages birth through five years old from Low-Income families and identifying the natural breaks in the rank order. Then, based on population, budget caps were developed for each category²².

Category 1--Up to \$100 million--California, Florida, New York, Texas.

Category 2--Up to \$70 million--Arizona, Georgia, Illinois, Michigan, North Carolina, Ohio, Pennsylvania.

Category 3--Up to \$60 million--Alabama, Colorado, Indiana, Kentucky, Louisiana, Missouri, New Jersey, Oklahoma, Puerto Rico, South Carolina, Tennessee, Virginia, Washington, Wisconsin.

Category 4--Up to \$50 million--Alaska, Arkansas, Connecticut, Delaware, District of Columbia, Hawaii, Idaho, Iowa, Kansas, Maine, Maryland, Massachusetts, Minnesota, Mississippi, Montana, Nebraska, New Hampshire, New Mexico, Nevada, North Dakota, Oregon, Rhode Island, South Dakota, Utah, Vermont, West Virginia, Wyoming.

In addition to considering other relevant factors (see 34 CFR 75.217(d)(3)), the selection of grantees may consider the need to ensure that early learning and development systems are developed in States with large, high-poverty, rural communities (including States with high percentages of high-poverty populations in rural areas and States with high absolute numbers of high-poverty individuals in rural areas). Awards may be granted to high-quality applications out of rank order to meet this need.

Grant Period: The grant period for this award is December 31, 2011 through December 31, 2015.

²² Source: U.S. Department of Commerce, Census Bureau, 2009. American Community Survey (ACS) 1-year Public Use Microdata Sample (PUMS) data.

BUDGET INSTRUCTIONS
(Evidence for selection criterion (A)(4)(b))

In the following budget section, the State is responding to selection criterion (A)(4)(b). The State should use its budgets and budget narratives to provide a detailed description of how it plans to use Federal RTT-ELC grant funds and funds from other sources (Federal, State, private, and local) to support projects under the State Plan. States' budget tables and narratives, when taken together, should also address the specific elements of selection criterion (A)(4)(b), including by describing how the State will effectively and efficiently use funding from this grant to achieve the outcomes in the State Plan and do so in a manner that

- (1) Is adequate to support the activities described in the State Plan;
- (2) Includes costs that are reasonable and necessary in relation to the objectives, design, and significance of the activities described in the State Plan and the number of children to be served; and
- (3) Details the amount of funds budgeted for Participating State Agencies, localities, Early Learning Intermediary Organizations, Participating Programs, or other partners, and the specific activities to be implemented with these funds consistent with the State Plan, and demonstrates that a significant amount of funding will be devoted to the local implementation of the State Plan

The budget narratives should be of sufficient scope and detail for the Departments to determine if the costs are necessary, reasonable, and allowable. For further guidance on Federal cost principles, an applicant may wish to consult OMB Circular A-87. (See www.whitehouse.gov/omb/circulars).

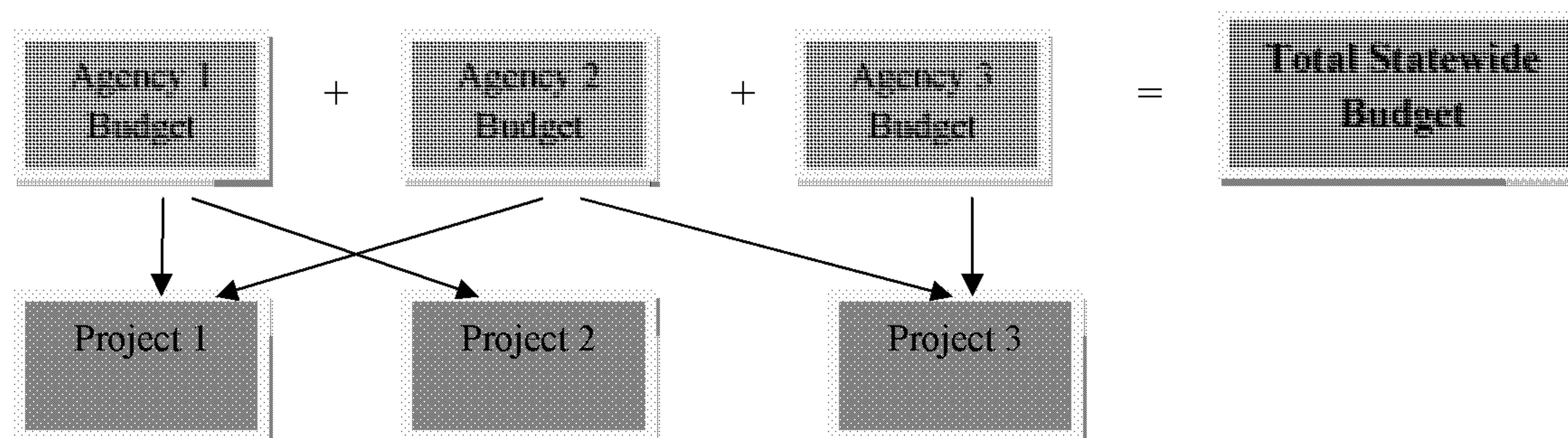
We expect the State to provide a detailed budget by category for each Participating State Agency that rolls up into the total statewide budget. We further expect that the budgets of each Participating State Agency reflect the work associated with fully implementing the High-Quality Plans described under the selection criteria and Competitive Preference Priority 2 and describe each Participating State Agency's budgetary role²³ in carrying out the State Plan.

For purposes of the budget, we expect that the State will link its proposed High-Quality Plans to "projects" that the State believes are necessary in order to implement its plans. The State might choose to design some projects that address only one criterion's High-Quality Plan, while other projects might address several similarly-focused criteria as one group. For example, the State might choose to have one "management project" focused on criterion (A)(3), organizing and aligning the early learning and development system to achieve success. It might have another "workforce project" that addresses criteria (D)(1) and (D)(2) under the Great Early Childhood Education Workforce section.

Some projects may be done entirely by one Participating State Agency, while others may be done by multiple agencies in collaboration with one another. The State, together with its Participating State Agencies, will define the projects required to implement the State Plan and

²³ Participating State Agency's budgetary roles should be consistent with the scope of work outlined in the Participating State Agency's MOU or other binding agreement.

will determine which Participating State Agencies will be involved in each project, as shown below.



To support the budgeting process, we strongly suggest that applicants use the RTT-ELC budget spreadsheets prepared by the Departments to build their budgets. These spreadsheets must be submitted together with, but in a file separate from, the application.²⁴ These spreadsheets have formulas built into them that are intended to help States produce the budget tables required within this section.

The following information must be included in the State's budget:

- I. **Budget Summaries:** In this section, the State provides overall budget summary information by budget category, Participating State Agency, and project.
 - a. **Budget Summary by Budget Category.** This is the cover sheet for the budget. (See Budget Table I-1.) States should complete this table as the final step in their budgeting process, and include this table as the first page of the State's budget. (Note: Each row in this table is calculated by adding together the corresponding rows in each of the Participating State Agency Budget by Category tables. If the State uses the budget spreadsheets provided, these "roll-up" calculations are done automatically.)
 - b. **Budget Summary by Participating State Agency.** This summary lists the total annual budget for each Participating State Agency. (See Budget Table I-2.) States should complete this table after completing Budget Table II-1 for each Participating State Agency (see Part II: Participating State Agency Budgets). If the State uses the budget spreadsheets provided, these "roll-up" calculations are done automatically for the State.
 - c. **Budget Summary by Project.** This summary lists the total annual budget for each of the projects. (See Budget Table I-3.) States should complete this table after completing Budget Table II-2 for each Participating State Agency (see Part II: Participating State Agency Budgets). If the State uses the budget spreadsheets provided, these "roll-up" calculations are done automatically for the State.

²⁴ See Application Submission Procedures, section XV. Please note that the RTT-ELC budget spreadsheets will not be used by the reviewers to judge or score the State's application. However, these spreadsheets do produce tables that States may use in completing the budget tables that the State submits as part of its application. In addition, the budget spreadsheets will be used by the Departments for budget reviews.

- d. Budget Summary Narrative. This budget narrative accompanies the three Budget Summary Tables and provides the rationale for the budget. The narrative should include, for example, an overview of each Participating State Agency's budgetary responsibilities and descriptions of each project that the State has included in its budget.
- II. Budgets for Each Participating State Agency. In this section, the State describes each Participating State Agency's budgetary responsibilities.²⁵ The State should replicate this section for each Participating State Agency and for each Participating State Agency complete the following:
- a. Participating State Agency By Budget Category. This is the budget for each Participating State Agency by budget category for each year for which funding is requested. (See Budget Table II-1.)
 - b. Participating State Agency By Project. This table lists the Participating State Agency's proposed budget for each project in which it is involved. (See Budget Table II-2.)
 - c. Participating State Agency Budget Narrative. This budget narrative describes the Participating State Agency's budget category line items and addresses how the Participating State Agency's budget will support the implementation of each project in which it is involved.

The State should replicate Budget Part II for each Participating State Agency as follows:

- For Participating State Agency 1: Budget by Category, Budget by Project, Narrative
- For Participating State Agency 2: Budget by Category, Budget by Project, Narrative

²⁵ Participating State Agency's budgetary roles should be consistent with the scope of work outlined in the Participating State Agency's MOU or other binding agreement.

BUDGET PART I: SUMMARY**BUDGET PART I - TABLES**

Budget Table I-1: Budget Summary by Budget Category--*The State must include the budget totals for each budget category for each year of the grant. These line items are derived by adding together the corresponding line items from each of the Participating State Agency Budget Tables.*

OVERALL STATEWIDE BUDGET					
Budget Table I-1: Budget Summary by Budget Category					
(Evidence for selection criterion (A)(4)(b))					
Budget Categories	Grant Year 1 (a)	Grant Year 2 (b)	Grant Year 3 (c)	Grant Year 4 (d)	Total (e)
1. Personnel	841,000	7,471,208	7,089,933	7,323,833	22,725,975
2. Fringe Benefits	220,500	2,043,070	2,043,070	2,043,070	6,349,710
3. Travel	101,500	713,130	719,130	525,467	2,059,227
4. Equipment	990,000	150,000	100,000	100,000	1,340,000
5. Supplies	396,000	146,100	164,100	146,000	852,200
6. Contractual	1,233,980	1,565,500	1,334,000	595,000	4,728,480
7. Training Stipends	0	0	0	0	0
8. Other	19,000	5,699,351	4,842,889	19,000	10,580,240
9. Total Direct Costs (add lines 1-8)	3,801,980	17,788,359	16,293,122	10,752,370	48,635,832
10. Indirect Costs*	110,750	955,428	917,300	940,690	2,924,168
11. Funds to be distributed to localities, Early Learning Intermediary Organizations, Participating Programs, and other partners	2,010,000	2,010,000	2,010,000	2,010,000	8,040,000
12. Funds set aside for participation in grantee technical assistance	100,000	100,000	100,000	100,000	400,000
13. Total Grant Funds Requested (add lines 9-12)	6,022,730	20,853,787	19,320,422	13,803,061	60,000,000

14. Funds from other sources used to support the State Plan	15,997,350	15,997,350	15,997,350	21,882,368	69,874,418
15. Total Statewide Budget (add lines 13-14)	22,020,080	36,851,137	35,317,772	35,685,429	129,874,418

Columns (a) through (d): For each grant year for which funding is requested, show the total amount requested for each applicable budget category.

Column (e): Show the total amount requested for all grant years.

Line 6: Show the amount of funds allocated through contracts with vendors for products to be acquired and/or professional services to be provided. A State may apply its indirect cost rate only against the first \$25,000 of each contract included in line 6.

Line 10: If the State plans to request reimbursement for indirect costs, complete the Indirect Cost Information form at the end of this Budget section. Note that indirect costs are not allocated to line 11.

Line 11: Show the amount of funds to be distributed to localities, Early Learning Intermediary Organizations, Participating Programs, and other partners through contracts, interagency agreements, MOUs or any other subawards allowable under State procurement law. States are not required to provide budgets for how the localities, Early Learning Intermediary Organizations, Participating Programs, and other partners will use these funds. However, the Departments expect that, as part of the administration and oversight of the grant, States will monitor and track all expenditures to ensure that localities, Early Learning Intermediary Organizations, Participating Programs, and other partners spend these funds in accordance with the State Plan.

Line 12: The State must set aside \$400,000 from its grant funds for the purpose of participating in RTT-ELC grantee technical assistance activities facilitated by ED or HHS. This is primarily to be used for travel and may be allocated to Participating State Agencies evenly across the four years of the grant.

Line 13: This is the total funding requested under this grant.

Budget Table I-2: Budget Summary by Participating State Agency--The State must include the budget totals for each Participating State Agency for each year of the grant. These line items should be consistent with the totals of each of the Participating State Agency Budgets provided in Budget Tables II-1.

OVERALL STATEWIDE BUDGET					
Budget Table I-2: Budget Summary by Participating State Agency					
(Evidence for selection criterion (A)(4)(b))					
Agency Name	Grant Year 1 (a)	Grant Year 2 (b)	Grant Year 3 (c)	Grant Year 4 (d)	Total (e)
Kentucky Department of Education	1,495,200	1,480,200	1,480,200	1,480,200	5,935,800
Governor's Office of Early Childhood	6,949,780	21,795,837	20,262,472	14,745,111	63,753,200
Cabinet for Health and Family Services	13,575,100	13,575,100	13,575,100	19,460,118	60,185,418
Education and Workforce Development	0	0	0	0	0
Total Statewide Budget	22,020,080	36,851,137	35,317,772	35,685,429	129,874,418

Budget Table I-3: Budget Summary by Project--*The State must include the proposed budget totals for each project for each year of the grant. These line items are the totals, for each project, across all of the Participating State Agencies' project budgets, as provided in Budget Tables II-2.*

OVERALL STATEWIDE BUDGET					
Budget Table I-3: Budget Summary by Project					
(Evidence for selection criterion (A)(4)(b))					
Project	Grant Year 1 (a)	Grant Year 2 (b)	Grant Year 3 (c)	Grant Year 4 (d)	Total (e)
Build System Capacity	4,903,750	4,321,350	4,086,850	4,086,850	17,398,800
Create New, integrated TQRIS	13,575,100	29,903,097	28,540,112	28,639,329	100,657,638
Revise Early Learning Standards	7,500	15,000	15,000	15,000	52,500
Create Comprehensive Assessment Systems	1,502,700	1,495,200	1,495,200	1,495,200	5,988,300
Create Centralized PD System	1,253,430	332,890	447,010	865,450	2,898,780
Build Early Learning Data System	777,600	783,600	733,600	583,600	2,878,400
Total Statewide Budget	22,020,080	36,851,137	35,317,772	35,685,429	129,874,418

BUDGET PART I -NARRATIVE

Describe, in the text box below, the overall structure of the State's budget for implementing the State Plan, including

- *A list of each Participating State Agency, together with a description of its budgetary and project responsibilities;*
- *A list of projects and a description of how these projects taken together will result in full implementation of the State Plan;*
- *For each project:*
 - *The designation of the selection criterion or competitive preference priority the project addresses;*
 - *An explanation of how the project will be organized and managed in order to ensure the implementation of the High-Quality Plans described in the selection criteria or competitive preference priorities; and*
- *Any information pertinent to understanding the proposed budget for each project.*

Budget Part I Narrative begins here:

Kentucky's reform plans are bold and aggressive, and will require significant investment of time, resources, and funding to ensure success. The Commonwealth is committed to all the plans described in this application, and will implement them with or without a Race to the Top grant award, as the Kentucky Department of Education has implemented a bold reform strategy for K-12 education without Race to the Top funding. Additionally, the Governor's Executive Order for early childhood mandates that we complete much of the work described in the plans of this application. While we will undertake the work in these plans regardless of the outcome of this competition, winning an RTT-ELC grant will significantly accelerate this work and dramatically increase school readiness rates for Children with High Needs across the state. In addition to a Race to the Top grant award, Kentucky will leverage other sources of federal, state, local, and philanthropic funding to support the reform plans.

Projects and Participating State Agencies

Kentucky will organize its reform plans into the following six projects:

- Project 1: Build early childhood system capacity (Early Childhood Advisory Council, Community Early Childhood Councils, and Office of Early Childhood)
- Project 2: Create New, integrated TQRIS

- Project 3: Revise Early Learning Standards and incorporate into program/PD standards/assessment systems and promote family engagement
- Project 4: Create Comprehensive Assessment system leading to universal K-readiness assessment
- Project 5: Create centralized and integrated PD system
- Project 6: Build early learning data system

Funding and oversight will be administered through the following four Participating State Agencies:

- Governor's Office of Early Childhood
 - Budgetary Responsibilities – Responsible for allocating a portion of the State Master Settlement tobacco dollars, HHS grant to setup Early Childhood Councils, Head Start Coordination Office funding
 - Project responsibilities – The Office of Early Childhood is involved in almost all of the projects associated with this grant. Please see project descriptions below for further detail.
- The Cabinet for Health and Family Services
 - Budgetary Responsibilities – Responsible for administering CCDF block grant, IDEA Part C, TANF block grant, and a portion of the State Master Settlement tobacco dollars.
 - Project responsibilities – The Department of Health and Family Services is involved in the creation of the new, integrated TQRIS system. Please see project descriptions below for further detail.
- Kentucky Department of Education
 - Budgetary Responsibilities – Responsible for IDEA Part B, Title I of ESEA, and State-funded preschool funding.
 - Project responsibilities - Please see project descriptions below for further detail. The Kentucky Department of Education is involved in the creation of the new Early Learning and Development Standards, Kindergarten-entry Assessment, and Comprehensive Assessment System

- The Department for Education and Workforce Development
 - Budget Responsibilities – Kentucky Educational Television and Education Professional Standards Board funding
 - Project responsibilities – None which require funding through the RTT-ELC

Note: in the budget information on the following pages, the total costs of the work to implement Kentucky’s RTT-ELC plans are outlined. The grant would cover \$60M of these costs over the next four years, and existing funding streams cover the rest. On an ongoing basis, there is \$12M-in incremental costs for this work (beyond what is covered by existing funding streams.)

Detail by project (further detail presented in Budget Narrative II)

Project 1: Build system capacity (of ECAC, Community Early Childhood Councils, and Office of Early Childhood)

This project is mainly associated with **(A)(3)**. Because the Community Early Childhood Councils will be the local facilitators of many aspects of this plan, the training costs shown below for the Community Early Childhood Councils will include elements of **(B)(2), (B)(4), (C)(1), (C)(2), (C)(4), D(1), and (D)(2)**.

In order to build Kentucky’s early learning and development system, local and top-down infrastructure will need to be created and enhanced. Below are the costs to the State of creating the necessary infrastructure and capacity to carry out this plan.

The entirety of this project will be organized and managed through the Governor’s Office of Early Childhood. The costs of this work to the State that would be covered by a Race to the Top grant award are \$13.0M. The cost will be \$17.4M for Governor’s Office of Early Childhood (no other agencies will incur costs for Project 1).

Project 1 Costs by Year				
Year 1	Year 2	Year 3	Year 4	Total
\$4,903,750	\$4,321,350	\$4,086,850	\$4,086,850	\$17,398,800
Costs covered by the Race to the Top grant				
\$3,796,500	\$3,214,100	\$2,979,600	\$2,979,600	\$12,969,800

The primary cost drivers of this project are the following activities:

- **Project management and process design - Reorganization and change management in the departments and process design - \$1,100,000 per year of the grant**
 - \$250,000 consultation costs for each year of the grant
 - \$100,000 in grantee technical assistance costs per year of grant
 - Funding sources: All project management and process design will be funded in full by the RTT-ELC grant
- **Ongoing staffing and office costs to build out the Office of Early Childhood - \$126,250/year**
 - # of employees needed
 - 1 New Director (existing funding already allocated for this position)
 - \$75K/year
 - Benefits – 30%
 - Indirect – 10%
 - Office Space required for new staff - \$19,000 based on current leasing costs
 - Funding sources: New position in the Office of Early Childhood will be funded in full through Tobacco Master Settlement dollars during the RTT-ELC grant period and beyond (this funding has already been set aside for this position). Funding for Office Space will be covered by the Race to the Top grant during the grant period.
- **One-time costs to facilitate the enhancement of the Community Early Childhood Councils - \$600,600 per year for grant period**
 - 1 Community Early Childhood Council coordinator per 10 Community Early Childhood Councils for first 4 years
 - \$50K/year
 - Benefits – 30%
 - Indirect – 10%
 - 2 new administrative staff for first 4 years

- \$35K/year
 - Benefits -30%
 - Indirect - 10%
- 67 Community Early Childhood Councils
- Funding sources: All one-time costs to facilitate Community Early Childhood Councils will be funded in full by the RTT-ELC grant
- **One-time costs to enhance the capability of each Community Early Childhood Council: Year 1 – \$2,726,900; Year 2 -\$2,244,500; Year 3 and 4 - \$2,010,000**
 - # of current Community Early Childhood Councils – 67
 - One-time cost to enhance Community Early Childhood Councils
 - Increase in local grant funding – average \$30,000/Community Early Childhood Council
 - Average amount is shown above, however, this will be split among Community Early Childhood Councils depending on commitment to plan and focus on Children with High Needs
 - Training costs - \$700 per training per Community Early Childhood Council
 - Different one-time trainings
 - Training on new role per Community Early Childhood Council – Year 1
 - Professional Development – Year 2
 - Public outreach strategies – Year 2
 - Engage and support families – Year 2
 - Early Learning and Development standards – Year 2
 - Training on assessment systems – Year 2
 - Infrastructure costs (Equipment, supplies, etc.) per Community Early Childhood Council -\$5K in supplies and \$5K in equipment in Year 1
 - Funding sources: All one-time costs to enhance Community Early Childhood Councils will be funded in full by the RTT-ELC grant
- **Ongoing discretionary funds for Community Early Childhood Councils: Year 1 and onwards – \$1,000,000**

Ongoing training and funding is given the year after the Community Early Childhood Councils receive their one-time enhancement

- # of current Community Early Childhood Councils – 67
- Discretionary grant funding per Community Early Childhood Council - \$14,925
- Funding sources: Ongoing discretionary funds will be funded in full through the Office of Early Childhood through Tobacco Master Settlement dollars during the RTT-ELC grant period and beyond
- **Needs Assessment/Focus groups to determine the needs of families with regards to early childhood services and information - \$100,000 in Year 1**
 - Number of Area Development Districts (ADDs) – 8
 - Focus groups in each ADD – 2
 - Cost per focus group (includes cost of materials, transportation and food for parents) - \$6,250
 - Funding sources: All one-time costs to enhance Community Early Childhood Councils will be funded in full by the RTT-ELC grant

Project 2: Create a larger and more inclusive TQRIS and promote family engagement

This project is associated with criteria **B(1), B(2), B(3), B(4), B(5), C(4)**, and **Competitive Preference Priority 2**. In order to create a TQRIS capable of including all publicly funded programs and promoting quality, Kentucky's current TQRIS will need to be reconstructed. We modeled out the costs for this new, integrated TQRIS. Below are the assumptions used in our model and the outputs, which are the primary drivers of the Project 2 costs. Details on which agency will primarily manage the project are still pending and dependent on where the TQRIS ultimately resides for administrative purposes. For the purposes of this grant, we have included the Governor's Office of Early Childhood as the administrator of grant funds, however, these may be transferred to another state agency depending on where the TQRIS ultimately resides. The costs of this work to the State that would be covered by a Race to the Top grant award are \$40.5M. The cost per agency will be \$40.5M for Governor's Office of Early Childhood and \$60.2M for the Cabinet for Health and Family Services.

Project 2 Costs by Year				
Year 1	Year 2	Year 3	Year 4	Total
\$13,575,100	\$29,903,097	\$28,540,112	\$28,639,329	\$100,657,638
Costs covered by the Race to the Top grant				
\$0	\$16,327,997	\$14,965,012	\$9,179,211	\$40,472,220

The primary cost drivers and assumptions informing this project are the following:

TQRIS System Details	
<ul style="list-style-type: none"> • Total childcare programs – 2880 • Total New Head Start – 328 • Total State preschool - 318 • Total CCAP kids in childcare – 44,330 	<p><i>Assumes 3% of programs move up in tiers every year (once TQRIS has been fully rolled out)</i></p>
<ul style="list-style-type: none"> • Number of new raters – 9 • Number of short-term raters - 6 • Number of new TA associates – 83 • Number of short-term TA associates – 59 • Number of new anchors (to ensure inter-rater reliability) – 8 	<p><i>Raters and trainers are based on ratios.</i></p> <ul style="list-style-type: none"> • The ongoing ratio for raters is 1 to 200 programs • The ongoing ratio for TA Assoc. is 1 to 30 programs • The ongoing ratio for anchors is 1 to 300 programs
<p><i>Incentive Structure – listed by STAR level (1-, 2-, 3-, 4-, 5-)</i></p> <ul style="list-style-type: none"> • Tiered reimbursement (per CCAP child per year): 3 - \$132; 4 - \$180; 5 – \$216 • Annual Incentive (only childcare): 2 - \$500; 3 - \$700; 4 - \$1100; 5 - \$2000 • Initial Achievement: 2 - \$200; 3 - \$750; 4 - \$2200; 5 - \$4000 	<p><i>Currently funded ongoing costs for TQRIS are \$13,575,100 in Years 1-3 and \$19,460,118 in Year 4</i></p>

- **Training on the Engaging and Supporting families will be given to the Community Early Childhood Councils, so that they can help their local providers – this cost is included in Project 1**

- **Training on methods for public outreach will be given to the Community Early Childhood Councils, so that they can help their local providers – this cost is included in Project 1**

Project 3: Revise Early Learning Standards and incorporate into program/PD standards/assessment systems

This project is associated with criteria **C(1)**. Kentucky will need to review and update its Early Learning Standards and integrate these standards across its entire system. The Kentucky Department of Education will organize and manage this project due to its expertise in standards creation. The costs of this work to the State that would be covered by a Race to the Top grant award are \$52,500. The cost per agency will be \$7,500 for the Kentucky Department of Education and \$45,000 for the Office of Early Childhood.

Project 3 Costs by Year				
Year 1	Year 2	Year 3	Year 4	Total
\$7,500	\$15,000	\$15,000	\$15,000	\$52,500
Costs covered by the Race to the Top grant				
\$7,500	\$15,000	\$15,000	\$15,000	\$52,500

The primary cost drivers of this project are the following activities:

- **One-time printing costs of the new Early Learning and Development Standards - \$15,000 in Year 2 - 4**
 - Printing costs - \$15K / year for life of grant
 - Funding sources: All one-time costs to print Early Learning and Development Standards will be funded in full by the RTT-ELC grant
- **One-time meeting costs to design Early Learning and Development Standards - \$7,500 in Year 1**

- 15 individuals per meeting (Non-agency individuals; individuals in state agencies will be paid for by respective agency)
 - \$100 each for travel costs
 - 5 meetings
 - Funding sources: All one-time facilitation costs to design Early Learning and Development Standards will be funded in full by the RTT-ELC grant
- Training on the Early Learning and Development Standards will be given to the Community Early Childhood Councils, so that they can help their local providers – this cost is included in Project 1

Project 4: Create Comprehensive Assessment system leading to universal K-readiness assessment

This project is associated with criteria **C(2), E(1), and Competitive Preference Priority 3**. Kentucky is committed to understanding rates of Kindergarten readiness within the state. In order to do so, it must purchase and implement an assessment system. In addition to a K-entry assessment, Kentucky is committed to updating its current assessment system to a Comprehensive Assessment System focusing on the Essential Domains of School Readiness. The Kentucky Department of Education will oversee the work of this project due to their expertise in assessments. The costs of this work to the State that would be covered by a Race to the Top grant award are \$728,300. The cost per agency will be \$60,000 for Governor's Office of Early Childhood and \$5.9M for the Kentucky Department of Education.

Project 4 Costs by Year				
Year 1	Year 2	Year 3	Year 4	Total
\$1,502,700	\$1,495,200	\$1,495,200	\$1,495,200	\$5,988,300
Costs covered by the Race to the Top grant				

\$187,700	\$180,200	\$180,200	\$180,200	\$728,300
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The primary cost drivers of this project are the following activities:

- **Ongoing cost for administration of K-entry assessment – \$1,315,000 in Year 1 and onwards**
 - Cost of K-entry assessment systems - \$1.3M
 - Sustainment costs - \$15K
 - Funding sources: Ongoing costs for the K-entry assessment will be funded in full through the Kentucky Department of Education through its general fund during the RTT-ELC grant period and beyond
- **One-time costs for professional development of K-entry assessment - \$150,000/ year during the life of the grant**
 - One time PD - \$150K per year to support K-entry assessment rollout
 - Funding sources: All one-time professional development costs for K-entry assessment will be funded in full by the RTT-ELC grant
- **One-time cost of printing associated with the update of assessment guide - \$15,000/ year during the life of the grant**
 - Printing costs - \$15K / year for life of grant
 - Funding sources: All one-time costs to print assessment guide will be funded in full by the RTT-ELC grant
- **One-time meeting costs to design Comprehensive Assessment System and assessment guide - \$7,500 in Year 1**
 - 15 individuals per meeting (Non-agency individuals, individuals in state agencies will be paid for by respective agency)
 - \$100 each for travel costs
 - 5 meetings
 - Funding sources: All one-time costs to Comprehensive Assessment System will be funded in full by the RTT-ELC grant

- **Training on the Assessment Systems will be given to the Community Early Childhood Councils, so that they can help their local providers – this cost is included in Project 1**

Project 5: Create centralized and integrated PD system

This project is associated with criteria **(D)(1)** and **(D)(2)**. The Governor’s Office of Early Childhood will lead the development of the Center of Professional Development and the structures and supports required. The costs of this work to the State that would be covered by a Race to the Top grant award are \$2.9M. The cost per agency will be \$2.9M for the Governor’s Office of Early Childhood.

Project 5 Costs by Year				
Year 1	Year 2	Year 3	Year 4	Total
\$1,253,430	\$332,890	\$447,010	\$865,450	\$2,898,780
Costs covered by the Race to the Top grant				
\$1,253,430	\$332,890	\$447,010	\$865,450	\$2,898,780

The primary cost drivers of this project are the following activities:

- **One-time cost to communicate Workforce Knowledge and Competency Framework with postsecondary institutions - \$77,500 in Year 1**
 - # of regional meetings to discuss and present updated Workforce Knowledge and Competency Framework – 5
 - Cost per meeting (equipment/supplies) - \$5,000
 - # of attendees total - 700
 - # of regions – 7
 - # of staff from IHE, HDI, CCR&R, RTCs, STARS Quality Counselors, PD Counselors per region – 100

- Travel/food costs per attendee - \$75
- Funding sources: All one-time costs to communicate Workforce Knowledge and Competency Framework with postsecondary institutions will be funded in full by the RTT-ELC grant
- **One-time costs for Workforce Knowledge and Competency Framework (CPD) – \$15,000 /year for the life of the grant**
 - Cost of printing for the framework - \$15K/ year for the life of the grant
 - Funding sources: All one-time costs to print framework will be funded in full by the RTT-ELC grant
- **One-time cost to enhance PD data system (TRIS) for external public reporting - \$300,000 in Year 1**
 - Cost of external developer to enhance data system and link to TQRIS website for external reporting - \$300K
 - Funding sources: All one-time costs to enhance PD data system will be funded in full by the RTT-ELC grant
- **One-time costs to develop the Center for Professional Development (CPD) – \$4,000 in Year 1**
 - One-time cost to gather administrative staff from participating agencies in the CPD and develop MOUs for cross program coordination - \$4K
 - Funding sources: All one-time costs to develop Center for Professional Development will be funded in full by the RTT-ELC grant
- **Ongoing costs to run PD web portal – \$607,250 in Year 1, \$107,250 in Year 2 and onwards**
 - Consultant/developer - \$300,000
 - Equipment - \$200,000
 - Staff web developer
 - Salary - \$75K
 - Benefits – 30%
 - Indirect – 10%

- Funding sources: All costs to build PD web portal will be funded in full by the RTT-ELC grant in Yrs 1-4, after which, Kentucky will appropriate funds to sustain the system
- **Ongoing costs to run the Center for Professional Development (CPD) – \$172,600/year ongoing**
 - # of employees needed
 - 1 new managers - \$70K
 - 1 new support staff - \$50K
 - 30% benefits
 - 10% indirect
 - Supplies - \$1K
 - Funding sources: All costs for the Center for Professional Development will be funded in full by the RTT-ELC grant in Yrs 1-4, after which, Kentucky will appropriate funds to sustain the Center
- **One-time costs to run Leadership Institutes in conjunction with Community Early Childhood Councils - \$25,000 in Year 1; \$38,040 in Year 2; \$152,160 in Year 3, \$570,600 in Year 4**
 - Developmental costs with a consultant - \$25K
 - Cost per institute - \$10K for a 6 day session
 - Each institute will hold 20 participants, 10 of which are teachers
 - A fund for substitute teachers will be created at \$120/day
 - Number of institutes – 2 in Year 2, 8 in Year 3, 30 in Year 4
 - Online Discussion boards - \$25/participant
 - Indirect – 10%
 - Funding sources: All one-time costs to develop and run Leadership Institutes will be funded in full by the RTT-ELC grant
- **One-time cost to develop trainer and coaching credential - \$52,080 in Year 1**
 - Hire consultant - \$50,000
 - Trainings on credential
 - 32 hours

- \$65/ hour
 - Funding sources: All one-time costs to develop trainer and coaching credential will be funded in full by the RTT-ELC grant
- **Training on Professional Development will be given to the Community Early Childhood Councils, so that they can help their local providers – this cost is included in Project 1**

Project 6: Build early learning data system

This project is associated with criteria **(E)(2)**. The Office of Early Childhood will manage the development and integration of the early learning data system with support from the state longitudinal data system group, the P-20 Collaborative. The costs of this work to the State that would be covered by a Race to the Top grant award are \$2.9M. The cost per agency will be \$2.9M for the Office of Early Childhood.

Project 6 Costs by Year				
Year 1	Year 2	Year 3	Year 4	Total
\$777,600	\$783,600	\$733,600	\$583,600	\$2,878,400
Costs covered by the Race to the Top grant				
\$777,600	\$783,600	\$733,600	\$583,600	\$2,878,400

The primary cost drivers of this project are the following activities:

- **One-time cost to build and integrate all early learning systems - \$500,000 in Year 1; and \$300,000 in Year 2; and \$250,000 in Year 3**

- Consultant cost - \$150K in Year 1, Year 2, and Year 3
- Equipment/software costs - \$350K in Year 1, \$150K in Year 2, and \$100K in Year 3
- Funding sources: All one-time costs to build and integrate data system will be funded in full by the RTT-ELC grant
- **Ongoing costs for maintenance - \$277,600 in Year 1; \$483,600 in Year 2; \$483,600 in Year 3; \$583,600 in Year 4 and onwards**
 - # new employees
 - Project Manager - \$120K in Year 1
 - 3 Developers (long-term contractors) - \$100K – 1 in Year 1, 2 in Year 2
 - Benefits only for project manager – 30%
 - Equipment/software costs - \$100K starting Year 4
 - Ongoing professional development/training for database group - \$3,000 per employee/year
 - Indirect – 10%
 - Funding sources: All costs for data center maintenance will be funded in full by the RTT-ELC grant in Yrs 1-4, after which, Kentucky will appropriate funds to sustain the Center

BUDGET PART II: PARTICIPATING STATE AGENCY

The State must complete Budget Table II-1, Budget Table II-2, and a narrative for each Participating State Agency with budgetary responsibilities. Therefore, the State should replicate the Budget Part II tables and narrative for each Participating State Agency, and include them in this section as follows:

- *Participating State Agency 1: Budget Table II-1, Budget Table II-2, narrative.*
- *Participating State Agency 2: Budget Table II-1, Budget Table II-2, narrative.*

BUDGET PART II - TABLES

Budget Table II-1: Participating State Agency Budget By Budget Category--*The State must include the Participating State Agency's budget totals for each budget category for each year of the grant.*

Kentucky Department of Education

Participating State Agency-Level Budget Table II-1 (Evidence for selection criterion (A)(4)(b))					
Budget Category	Grant Year 1 (a)	Grant Year 2 (b)	Grant Year 3 (c)	Grant Year 4 (d)	Total (e)
1. Personnel	100,000	100,000	100,000	100,000	400,000
2. Fringe Benefits	0	0	0	0	0
3. Travel	25,000	10,000	10,000	10,000	55,000
4. Equipment	0	0	0	0	0
5. Supplies	10,000	10,000	10,000	10,000	40,000
6. Contractual	30,000	30,000	30,000	30,000	120,000
7. Training Stipends	0	0	0	0	0
8. Other	0	0	0	0	0

9. Total Direct Costs (add lines 1-8)	165,000	150,000	150,000	150,000	615,000
10. Indirect Costs*	15,200	15,200	15,200	15,200	60,800
11. Funds to be distributed to localities, Early Learning Intermediary Organizations, Participating Programs, and other partners	0	0	0	0	0
12. Funds set aside for participation in grantee technical assistance					0
13. Total Grant Funds Requested (add lines 9-12)	180,200	165,200	165,200	165,200	675,800
14. Funds from other sources used to support the State Plan	1,315,000	1,315,000	1,315,000	1,315,000	5,260,000
15. Total Statewide Budget (add lines 13-14)	1,495,200	1,480,200	1,480,200	1,480,200	5,935,800

Columns (a) through (d): For each grant year for which funding is requested, show the total amount requested for each applicable budget category.

Column (e): Show the total amount requested for all grant years.

Line 6: Show the amount of funds allocated through contracts with vendors for products to be acquired and/or professional services to be provided. A State may apply its indirect cost rate only against the first \$25,000 of each contract included in line 6

Line 10: If the State plans to request reimbursement for indirect costs, complete the Indirect Cost Information form at the end of this Budget section. Note that indirect costs are not allocated to line 11.

Line 11: Show the amount of funds to be distributed to localities, Early Learning Intermediary Organizations, Participating Programs, and other partners through contracts, interagency agreements, MOUs or any other subawards allowable under State procurement law. States are not required to provide budgets for how the localities, Early Learning Intermediary Organizations, Participating Programs, and other partners will use these funds. However, the Departments expect that, as part of the administration and oversight of the grant, States will monitor and track all expenditures to ensure that localities, Early Learning Intermediary Organizations, Participating Programs, and other partners spend these funds in accordance with the State Plan.

Line 12: The State must set aside \$400,000 from its grant funds for the purpose of participating in RTT-ELC grantee technical assistance activities facilitated by ED or HHS. This is primarily to be used for travel and may be allocated to Participating State Agencies evenly across the four years of the grant.

Line 13: This is the total funding requested under this grant.

Budget Table II-2: Participating State Agency Budget By Project--The State must include the Participating State Agency's proposed budget totals for each project for each year of the grant.

Kentucky Department of Education

Participating State Agency-Level Budget Table II-2 (Evidence for selection criterion (A)(4)(b))					
Project	Grant Year 1 (a)	Grant Year 2 (b)	Grant Year 3 (c)	Grant Year 4 (d)	Total (e)
Build System Capacity	0	0	0	0	0
Create New, integrated TQRIS	0	0	0	0	0
Revise Early Learning Standards	7,500	0	0	0	7,500
Create Comprehensive Assessment Systems	1,487,700	1,480,200	1,480,200	1,480,200	5,928,300
Create Centralized PD System	0	0	0	0	0
Build Early Learning Data System	0	0	0	0	0
Total Statewide Budget	1,495,200	1,480,200	1,480,200	1,480,200	5,935,800

Columns (a) through (d): For each grant year for which funding is requested, show the total amount this Participating State Agency plans to spend for each Project in the State Plan. If this Participating State Agency has no role in a particular Project, leave that row blank.

Column (e): Show the total expenditure, across all grant years, for the Project.

The Total Statewide Budget for this table should match Line 15 for Budget Table II-1.

Budget Part II Narrative for the Kentucky Department of Education begins here:

The Kentucky Department of Education will utilize much of its existing infrastructure, especially infrastructure used to disseminate information regarding the new Common Core Standards in the completion of its projects under this grant. The agency will work cooperatively with the Office of Early Childhood and Cabinet for Health and Family Services to ensure that the new Early Learning and Development Standards as well as the new Comprehensive Assessment System retain input from a broad cross section of stakeholders. The projects undertaken by the Kentucky Department of Education address **C(1), C(2), E(1), and Priority 3.**

Project 3: Revising Early Learning Standards

The Kentucky Department of Education will be responsible for the design of the new Early Learning and Development Standards. The budget was derived through conversations with State funded preschool Directors and analysis of previous standard development efforts. The only expense attributed to this project from KDE is travel cost for bringing key stakeholders together to design standards.

Project 4: Create Comprehensive Assessment system leading to universal K-readiness assessment

The Kentucky Department of Education will be responsible for administering and sustaining the Kindergarten entry assessment. The only funding that the Kentucky Department of Education requests in order to facilitate the K-entry assessment is professional development to train local teachers and school districts on the use of the common statewide Kindergarten Entry Assessment during the first four years of implementation (i.e., Years 1 through 4 of the RTT-ELC grant period). The funding amount is estimated at \$150,000 a year for the life of the grant to support such PD efforts. Funding and oversight of these grant funds will be held by the Kentucky Department of Education. This project will also include the creation of a new assessment guide for Kentucky which will form the basis for Kentucky's Comprehensive Assessment System.

The costs described below are based on estimates used in the rollout of the Common Core curriculum and other statewide efforts.

Budget Category line items:**Personnel**

- Facilitation of professional learning communities. The Kentucky Department of Education will deploy highly focused professional development for our teachers and local educational professionals who will be involved in the rollout of a Kindergarten entry-level assessment. This approach has worked very successfully in building sustainable knowledge about the new common-core standards and other instructional initiatives at the local level over the past two years and we will replicate this type of model here also:
 - 2 professional facilitators at 500 hours a year receiving \$40/hour: \$40,000 in Years 1-4
- Targeted trainings administered to individual trainers and school administrators:
 - 10 certified trainers at 200 hours a year receiving \$30/hour: \$60,000 in Years 1-4

Total Personnel Costs over the 4 years will be: \$400,000

Travel

- Trainers and facilitators will need to travel around the state to deliver training to various districts and communities in order to properly train educators on administering the assessment.
 - For the 10 trainers, 5 trips per year at \$120 per trainer per trip for transportation and subsistence: \$6,250 in Years 1-4
 - For the 2 facilitators, 15 trips per year at \$125 per facilitator per trip for transportation and subsistence: \$3,750 in Years 1-4
- Travel costs to bring key stakeholders together to design Kentucky Assessment Guide
 - 5 meetings with 15 external stakeholders per meeting and \$100 in travel costs: \$7,500 in Year 1
- Travel costs to bring key stakeholders together to design Early Learning and Development Standards
 - 5 meetings with 15 external stakeholders per meeting and \$100 in travel costs: \$7,500 in Year 1

Total Travel Costs over the 4 years will be: \$55,000

Supplies

- General training materials (manuals, notebooks, pencils, pens, etc.)
 - \$10,000 / year in Years 1-4

Total Supplies Cost over the 4 years will be: \$40,000

Contractual

- Partnerships with local educational cooperatives for shared resources/experience
 - 10 cooperatives at \$3,000 each: \$30,000 in Years 1-4
- The State has followed procedures for procurement under 34 CFR Parts 74.40 – 74.48 and Part 80.36

Total Contractual Costs over the 4 years will be: \$120,000

Indirect Costs

- KDE's indirect cost rate is 15.2% and will be applied to personnel and benefits costs

Total Indirect Costs over the 4 years will be: \$60,800

Other Funds Allocated to the State Plan

- The Kentucky Department of Education will fully fund the administration and sustainment of the assessment through its own funding and will not use Race to the Top funds. The expected cost of the administration and sustainment is estimated to be \$1,315,000 per year based on initial estimates received from assessment providers.
- This funding will come from the Kentucky Department of Education's General Fund

Total Funds from Other Sources Allocated over the 4 years will be: \$5,260,000

For Direct Costs, Total Funds Requested, and Total Budget, please refer to data in tables above.

Governor's Office of Early Childhood

**Participating State Agency-Level Budget Table II-1
(Evidence for selection criterion (A)(4)(b))**

Budget Category	Grant Year 1 (a)	Grant Year 2 (b)	Grant Year 3 (c)	Grant Year 4 (d)	Total (e)
1. Personnel	741,000	7,371,208	6,989,933	7,223,833	22,325,975
2. Fringe Benefits	220,500	2,043,070	2,043,070	2,043,070	6,349,710
3. Travel	76,500	703,130	709,130	515,467	2,004,227
4. Equipment	990,000	150,000	100,000	100,000	1,340,000
5. Supplies	386,000	136,100	154,100	136,000	812,200
6. Contractual	1,203,980	1,535,500	1,304,000	565,000	4,608,480
7. Training Stipends	0	0	0	0	0
8. Other	19,000	5,699,351	4,842,889	19,000	10,580,240
9. Total Direct Costs (add lines 1-8)	3,636,980	17,638,359	16,143,122	10,602,370	48,020,832
10. Indirect Costs*	95,550	940,228	902,100	925,490	2,863,368
11. Funds to be distributed to localities, Early Learning Intermediary Organizations, Participating Programs, and other partners	2,010,000	2,010,000	2,010,000	2,010,000	8,040,000
12. Funds set aside for participation in grantee technical assistance	100,000	100,000	100,000	100,000	400,000
13. Total Grant Funds Requested (add lines 9-12)	5,842,530	20,688,587	19,155,222	13,637,861	59,324,200
14. Funds from other sources used to support the State Plan	1,107,250	1,107,250	1,107,250	1,107,250	4,429,000

15. Total Statewide Budget (add lines 13-14)	6,949,780	21,795,837	20,262,472	14,745,111	63,753,200
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Columns (a) through (d): For each grant year for which funding is requested, show the total amount requested for each applicable budget category.

Column (e): Show the total amount requested for all grant years.

Line 6: Show the amount of funds allocated through contracts with vendors for products to be acquired and/or professional services to be provided. A State may apply its indirect cost rate only against the first \$25,000 of each contract included in line 6

Line 10: If the State plans to request reimbursement for indirect costs, complete the Indirect Cost Information form at the end of this Budget section. Note that indirect costs are not allocated to line 11.

Line 11: Show the amount of funds to be distributed to localities, Early Learning Intermediary Organizations, Participating Programs, and other partners through contracts, interagency agreements, MOUs or any other subawards allowable under State procurement law. States are not required to provide budgets for how the localities, Early Learning Intermediary Organizations, Participating Programs, and other partners will use these funds. However, the Departments expect that, as part of the administration and oversight of the grant, States will monitor and track all expenditures to ensure that localities, Early Learning Intermediary Organizations, Participating Programs, and other partners spend these funds in accordance with the State Plan.

Line 12: The State must set aside \$400,000 from its grant funds for the purpose of participating in RTT-ELC grantee technical assistance activities facilitated by ED or HHS. This is primarily to be used for travel and may be allocated to Participating State Agencies evenly across the four years of the grant.

Line 13: This is the total funding requested under this grant.

Governor's Office of Early Childhood

Participating State Agency-Level Budget Table II-2 (Evidence for selection criterion (A)(4)(b))					
Project	Grant Year 1 (a)	Grant Year 2 (b)	Grant Year 3 (c)	Grant Year 4 (d)	Total (e)

Build System Capacity	4,903,750	4,321,350	4,086,850	4,086,850	17,398,800
Create New, integrated TQRIS	0	16,327,997	14,965,012	9,179,211	40,472,220
Revise Early Learning Standards	0	15,000	15,000	15,000	45,000
Create Comprehensive Assessment Systems	15,000	15,000	15,000	15,000	60,000
Create Centralized PD System	1,253,430	332,890	447,010	865,450	2,898,780
Build Early Learning Data System	777,600	783,600	733,600	583,600	2,878,400
Total Statewide Budget	6,949,780	21,795,837	20,262,472	14,745,111	63,753,200

Columns (a) through (d): For each grant year for which funding is requested, show the total amount this Participating State Agency plans to spend for each Project in the State Plan. If this Participating State Agency has no role in a particular Project, leave that row blank.

Column (e): Show the total expenditure, across all grant years, for the Project.

The Total Statewide Budget for this table should match Line 15 for Budget Table II-1.

Please note that a large portion of the funds for the Governor's Office of Early Childhood are used to fund Project 2, the new integrated TQRIS. However, these funds may be transferred to another agency pending the decision, described in Section B, of which agency will house the TQRIS.

Budget Part II Narrative for the Governor's Office of Early Childhood begins here:

The Governor's Office of Early Childhood will be responsible for coordinating and organizing the majority of the projects associated with the State plan and the Race to the the Top

grant dollars. In order to do so, the agency will need to reorganize itself and invest in its staff and capacity. With increased resources, the Governor's Office of Early Childhood will be able to play a central, coordinating role among all of the agencies and departments involved in Early Learning and Development.

Project 1: Build system capacity (of ECAC, Community Early Childhood Councils, and Office of Early Childhood)

This project is designed to build local and top-down infrastructure for the Governor's Office of Early Childhood. The project will support the wide network of Community Early Childhood Councils which will coordinate local implementation of many aspects of the State plan. The Governor's Office of Early Childhood will oversee this local implementation. In accordance with the details associated in this plan, the Governor's Office of Early Childhood will need to expand and grow its capacity to orchestrate the many activities proposed. This project will facilitate that growth in the most efficient manner possible. This project is mainly associated with **(A)(3)**. Because the Community Early Childhood Councils will be the local facilitators of many aspects of this plan, the training costs shown below for the Community Early Childhood Councils will include elements of **(B)(2), (B)(4), (C)(1), (C)(2), (C)(4), (D)(1), and (D)(2)** as well.

The proposed budget for this project was derived through consultation with all of the Participating Agencies to determine costs and needs in organizing and facilitating the many aspects of the State plan. Where possible, costs were based off current expenditures and scaled, however, in some cases, they were estimated based on previous activities and external benchmarks.

Project 2: Create a larger and more inclusive TQRIS and promote family engagement

This current grant has the majority of the new funding for the integrated TQRIS funneled through the Governor's Office of Early Childhood, however, the decision of where the TQRIS will be housed is still pending. Once a lead agency is identified to house the new, integrated TQRIS, the funds allocated to the Governor's Office of Early Childhood will flow to that agency. Regardless of which agency houses the TQRIS, the costs will remain the same. In order to facilitate the new TQRIS, the Governor's Office of Early Childhood will need to work closely with the Cabinet for Health and Family Services, the Kentucky Department of Education, and

Head Start. The agencies will work in cooperation to oversee and manage the operations of the new, integrated TQRIS. This project addresses **B(1), B(2), B(3), B(4), B(5), C(4)**, and **Competitive Preference Priority 2**.

The budget was derived by creating a financial model using inputs provided by the Cabinet for Health and Family Services. The Cabinet currently houses the State’s TQRIS and was able to provide current inputs and informed assumptions. The model assumes, in accordance with the State plan, that all of the State’s publicly funded Early Learning and Development Programs will be included in the new, integrated TQRIS.

Key assumptions and inputs for the model are depicted in the table below:

TQRIS System Details	
<ul style="list-style-type: none"> • Total childcare programs – 2880 • Total New Head Start – 328 • Total State funded preschool - 318 • Total CCAP kids in childcare – 44,330 	<p><i>Assumes 3% of programs move up in tiers every year (once TQRIS has been fully rolled out)</i></p>
<ul style="list-style-type: none"> • Number of new raters – 9 • Number of short-term raters - 6 • Number of new TA associates – 83 • Number of short-term TA associates – 59 • Number of new anchors (to ensure inter-rater reliability) – 8 	<p><i>Raters and trainers are based on ratios.</i></p> <ul style="list-style-type: none"> • <i>The ongoing ratio for raters is 1 to 200 programs</i> • <i>The ongoing ratio for TA Assoc. is 1 to 30 programs</i> • <i>The ongoing ratio for anchors is 1 to 300 programs</i>
<p><i>Incentive Structure – listed by STAR level (1-,2-,3-,4-,5-)</i></p> <ul style="list-style-type: none"> • <i>Tiered reimbursement (per CCAP child per year):</i> 3 - \$132; 4 - \$180; 5 – \$216 • <i>Annual Incentive (only childcare):</i> 2 - \$500; 3 - \$700; 4 - \$1100; 5 - \$2000 • <i>Initial Achievement:</i> 2 - \$200; 3 - \$750; 4 - \$2200; 5 - \$4000 	

Project 3: Revise Early Learning Standards and incorporate into program/PD standards/assessment systems

The Governor’s Office of Early Childhood will be responsible for printing the new, revised Early Learning Standards. The Kentucky Department of Education will be responsible

for creating the standards. The Governor's Office of Early Childhood will only be responsible for the printing of the standards and work with the Department of Education to help integrate the standards into the appropriate Early Learning and Development Programs. This project addresses criteria **C(1)**.

Budget was derived from printing costs associated with current iteration of early learning standards.

Project 4: Create Comprehensive Assessment system leading to universal K-readiness assessment

The Governor's Office of Early Childhood will be responsible for printing the Comprehensive Assessment guide for distribution to Early Learning and Development providers. The Kentucky Department of Education will create the guide. The Governor's Office of Early Childhood will only be responsible for the printing of the guide and work with the Department of Education to help integrate the assessments into the appropriate Early Learning and Development Programs. This project is associated with criteria **C(2)**.

Budget was derived from printing costs associated with the current iteration of the assessment guide.

Project 5: Create centralized and integrated PD system

The Governor's Office of Early Childhood will lead the development of the Center of Professional Development and the structures and supports required to create a well-trained, outcome oriented workforce. This development will require the Governor's Office of Early Childhood to expand its staff and capabilities in order to accomplish the work set forth in the State plan. This project addresses **(D)(1)** and **(D)(2)**.

The budget was derived through consultation with the primary professional development providers and departments in the State.

Project 6: Build Early Learning Data System

Kentucky currently has many disparate data systems, the Governor's Office of Early Childhood will work closely with the P-20 Data Collaborative, the State's longitudinal data system, to integrate Early Learning and Development data and use the data to inform program improvement.

The proposed budget was derived in consultation with the Director of the P-20 data collaborative, who understands the requirements of building an integrated data system. This project will meet the requirements under **(E)(2)**

Budget Category line items:

Personnel:

- Project Manager to oversee the design and maintenance of the Early Learning Data System.
 - Salary: \$120,000; this will be a full-time position: \$120,000 in Years 1-4
- Short-term training costs for data system personnel and contractors will be required to ensure high quality data systems
 - \$3,000 per person per training
 - 2 people in Year 1, 4 people in Years 2-4
 - Cost: \$6,000 in Year 1, \$12,000 in Years 2-4
 - Training costs based on current costs for developers in the P-20 Data Collaborative
- Substitute teachers will be required for when Early Childhood Educators attend the Leadership Institutes
 - Cost is \$120/day for a sub
 - There will be 2 institutes in Year 2, 8 in Year 3, 30 in Year 4, with 10 teachers requiring subs per institute
 - Each institute lasts 6 days
 - Cost: \$14,400 in Year 2; \$57,600 in Year 3; and \$216,000 in Year 4
 - Cost based on current rates for substitute teachers
- Institute Facilitators will be required to run Institutes

- 2 Institute Facilitators per Institute and each will be paid \$500/day for each of the 6 days of the Institute
- There will be 2 institutes in Year 2, 8 in Year 3, 30 in Year 4
- Cost: \$12,000 in Year 2; \$48,000 in Year 3; and \$180,000 in Year 4
- Costs based on current facilitator rates
- Professional Development manager to run the new Center for Professional Development
 - Salary: \$70,000 and a full-time position
 - Because the Center will now coordinate the professional development for the entire State, there needs to be a person to head the Center and ensure proper facilitation of professional development
- Administrative/Project Assistant for the new Center for Professional Development
 - Salary: \$50,000 and a full-time position
 - This position will be necessary to deal with the administrative burden of coordinating all professional development from the new Center
- Webmaster to run the new Professional Development web portal
 - Salary: \$75,000 and a full-time position
 - To make it easier for Early Learning and Development Educators to access training, someone will be needed to maintain and run the new professional development web portal
- Community Early Childhood Council Coordinators
 - 7 Coordinators at \$50,000 a year each, as full-time positions
 - Costs estimated by evaluating other coordinating positions in the government
 - There will be an average of 1 coordinator per 10 Councils
 - Costs: \$420,000 in Years 1-4
 - These individuals will help facilitate and coordinate the increased responsibilities for the Community Early Childhood Councils.
- Short-term Quality Assurance Raters will be needed to rate the influx of programs in Year 2-4 of the grant
 - There will be 6 raters, which will allow the program to rater ratio to drop to 1 rater for 150 programs.
 - Salary costs per rater: \$34,280/year in a full-time position

- Cost: \$205,683 in Years 2-4
 - These raters will be needed to deal with the large influx of programs in the first few years of the program. Costs are based on current rater salaries.
- Short-term Technical Assistance Associates will be needed to advise and support the influx of programs during Years 2-4 of the grant
 - There will be 59 Technical Assistance Associates needed, which will allow the program to drop to 1 Technical Assistance Associate for 20 programs
 - Salary costs per Associate: \$35,000/year in a full-time position
 - Cost: \$2,056,833 in Years 2-4
 - These Technical Assistance Associates will be needed to deal with the large influx of programs in the first few years of the program. A primary goal of the State plan is to move as many programs as possible into the top tiers as possible. The Technical Assistance Associates will be a major piece of this improvement system.
- Reprogramming of TQRIS administrative system to account for new programs and responsibilities
 - 650 hours at \$154/hour for a Database Associate
 - Cost: \$100,100 in Year 2
 - This reprogramming will be necessary in order for the TQRIS to incorporate all of the new programs
- Long-term Quality Assurance Raters will be needed to sustain an adequate ratio of raters to programs for the new TQRIS
 - 9 raters will be needed to sustain a ratio of 1 rater to 200 programs
 - Salary: \$33,560 / rater; this is a full-time position
 - Cost: \$302,050 in Years 2-4
 - These raters will be needed to ensure that programs are maintaining quality and area appropriately rated by tier
- Long-term Technical Assistance Associates will be needed to ensure the TQRIS is able to improve programs
 - 83 new long-term Technical Assistance Associates needed to maintain ratio of 1 Technical Assistant Associate to 30 programs

- Salary: \$34,800 / Technical Assistance Associate; this is a full-time position
- Cost: \$2,888,667 in Years 2-4
- These Technical Assistance Associates will be needed to drive improvement in the new TQRIS
- 1 Project Coordinator
 - Salary: \$56,500 in Year 2-4; this is a full-time position
 - Cost: \$56,500 in Year 2-4
 - Another Coordinator will be needed to oversee the new, integrated TQRIS due to the large number of programs which will enter
- Anchors to ensure reliability of raters
 - 8 new Anchors will be needed
 - Salary: \$54,250; this is a full-time position
 - Cost: \$434,000 in Years 2-4
 - Anchors will monitor raters to ensure inter-rater reliability
- Section Supervisor
 - Salary: \$40,000; this is a full-time position
 - Cost: \$40,000 in Years 2-4
 - The Section Supervisor will supervise raters and staff, make policy recommendations, assure program is carried out per policy and regulation, track national trends, other state programs, etc.
- Support Personnel
 - Four additional support staff
 - Salary: \$38,400
 - Cost: \$153,600 in Years 2-4
 - Additional support personnel will be needed to help with the administrative burden of the many new programs
- Training for Quality Assurance Raters and Technical Assistance Associates
 - \$2,200 per person based on current training costs
 - 164 new Raters and Associates
 - Cost: \$360,375

- This training is for Raters and Associates to learn how to rate and provide assistance to Early Learning and Development Programs

Total Personnel Costs over the 4 years will be: \$22,325,975

Benefits

- Benefits rate of 30%
 - Project Manager: $\$120,000 \times 30\% = \$36,000$ in Years 1-4
 - Community Early Childhood Council Coordinators: $\$420,000 \times 30\% = \$126,000$ in Years 1-4
 - Professional Development Manager: $\$70,000 \times 30\% = \$21,000$ in Years 1-4
 - Administrative/Project Assistant: $\$50,000 \times 30\% = \$15,000$ in Years 1-4
 - Webmaster: $\$75,000 \times 30\% = \$22,500$ in Years 1-4
 - Short-term Quality Assurance Raters: $\$205,683 \times 30\% = \$61,705$ in Years 2-4
 - Short-term Technical Assistance Associates: $\$2,056,833 \times 30\% = \$617,050$ in Years 2-4
 - Long-term Quality Assurance Raters: $\$302,050 \times 30\% = \$90,615$ in Years 2-4
 - Long-term Technical Assistance Associates: $\$2,888,667 \times 30\% = \$866,600$ in Years 2-4
 - Project Coordinator: $\$56,500 \times 30\% = \$15,000$ in Year 2-4
 - Anchors: $\$434,000 \times 30\% = \$115,200$ in Years 2-4
 - Section Supervisor: $40,000 \times 30\% = \$12,000$
 - Support Personnel: $\$153,600 \times 30\% = \$44,400$ in Years 2-4

Total Benefits Costs over the 4 years will be: \$6,349,710

Travel

- Travel costs for parents engaging in Needs Assessment focus groups to determine needs of families with regards to early childhood services and information
 - \$50 per parent
 - Number of Area Development Districts – 8

- Focus Groups in Each District - 2
- 25 parents per focus group
- Cost: \$20,000 in Year 1
- The travel costs will be necessary to help gain input from the community and appropriately structure services and information to meet their needs
- Travel expenses for Institute Facilitators:
 - \$500 for the 6 days of the Institute per facilitator
 - There will be 2 institutes in Year 2, 8 in Year 3, 30 in Year 4
 - 2 facilitators per Institute
 - Cost: \$2,000 in Year 2, \$8,000 in Year 3, \$30,000 in Year 4
 - The facilitators will need to travel to the districts with the most Children with High Needs, many of which are in rural areas of the State. It will be necessary to reimburse their travel expenses.
- Travel expenses to gather administrative staff from participating agencies to be included in the Center for Professional Development and develop MOUs for cross program coordination
 - \$200 dollars for 2 days
 - 20 staff
 - Cost: \$4,000 in Year 1
 - Because the Center will be a coordinating body among all professional development providers in the State, it will be important to receive MOUs to ensure every provider is on board.
- Travel expenses to communicate new Workforce Knowledge and Competencies Framework with post secondary institutions
 - 100 counselors from each region
 - 7 regions
 - \$75 per person
 - Cost: \$52,500 in Year 1
 - The Competencies Framework will only be useful if it can be shared with postsecondary institutions, so that they can incorporate the Framework into their curriculum and resources. By providing travel expenses for the counselors from

Kentucky's institutions, we can ensure that all of Kentucky's institutions incorporate the framework.

- Travel costs for short-term Quality Assurance Raters and Technical Assistance Associates to visit providers and programs
 - \$4,475 / year per Rater/Associate
 - 65 Raters and Associates
 - Cost: \$290,895 in Years 2-4
 - The travel will be necessary for Raters and Associates to reach programs throughout the State
- Travel costs for long-term Quality Assurance Raters and Technical Assistance Associates
 - \$4,460 / year per Rater/Associate
 - 92 Raters and Associates
 - Cost: \$410,235 in Years 2-3; in Year 4 only \$194,572 will be used from this grant to fund travel. The remaining travel costs will be funded with existing funds that are currently held within the Cabinet for Health and Family Services

Total Travel Costs over the 4 years will be: \$2,004,227

Equipment

- The State does not have a formal definition of equipment
- Equipment for the Community Early Childhood Councils
 - Projector per Council: \$1,000
 - 2 Laptops per council: \$3,000
 - Printer/Copier per council: \$500
 - Webcams/routers for remote presentations: \$500
 - 67 Councils
 - This equipment will be necessary for Councils to provide support for the Early Learning and Development programs in their communities
 - Cost: \$335,000 in Year 1
- Early Learning Data System

- Servers: \$8,000 per server for 25 servers totaling \$200,000 in Year 1 only
- Network Equipment-Load Balancers, Switch Router Cards: \$50,000 in Year 1 only
- Storage - Direct Attached Storage Devices (250 GB HDD): \$20,000 per storage device for 4 storage devices, 1 in Year 1 and 3 in Year 2: \$20,000 in Year 1 and \$60,000 in Year 2
- Feeder system equipment - Servers, load balancers, network cards, storage: \$80,000 in Year 1, \$190,000 in Year 2 and \$100,000 in Year 3-4
- This equipment will be necessary to build out the Early Learning Data System
- Equipment for web portal
 - 2 servers at \$20,000 each: \$40,000
 - Network Equipment Purpose / description: Load Balancers, Switch Router Cards: \$34,000 in Year 1 only
 - Direct Attached Storage Devices (250 GB HDD): \$20,000 per storage device, 1 in Year 1
 - Feeder system equipment : load balancers, network cards, storage: \$100,000
 - 2 new computers and monitors: \$6,000
 - Cost: \$200,000 in Year 1
 - This equipment will be necessary to create a web-based hub for the State's professional development
- Equipment to update current professional data system and link to TQRIS website for external reporting
 - 1 server at \$20,000 each: \$20,000
 - Direct Attached Storage Devices (250 GB HDD): \$20,000 per storage device, 1 in Year 1
 - Networking Equipment / description: Load Balancers, Switch Router Cards: \$40,000
 - Feeder system equipment : load balancers, network cards, storage: \$20,000
 - This equipment will be necessary to appropriately collect data on Early Learning and Development Educators and report aggregated information publicly
- Equipment rental to facilitate the presentation of the framework with postsecondary institutions
 - Projector/sound system/microphone:\$1,000 / meeting

- 5 meetings
- Cost: \$5,000 in Year 1
- These meetings will be large and will necessitate equipment to facilitate the presentations

Total Equipment Costs over the 4 years will be: \$1,340,000

Supplies

- Supplies for Institutes (manuals/notebooks/paper/pens/rental space for meetings)
 - \$3,000 per Institute
 - There will be 2 institutes in Year 2, 8 in Year 3, 30 in Year 4
 - Cost: \$6,000 in Year 2, \$24,000 in Year 3, and \$90,000 in Year 4
 - Expenses based on supply costs for similar previous professional development activities
- Supplies for Center of professional development (notebooks/paper/pens/toner)
 - Cost: \$1,000 in Year 1, 2, 3, and 4
 - Estimate based on current costs at the Governor's Office of Early Childhood
- Printing costs for new Workforce Knowledge and Competency Framework
 - Cost: \$15,000 in Year 1, 2, 3, and 4
 - Based on current printing costs for Standards and PD framework
- Supplies to communicate framework with postsecondary institutions in regional meetings (notebooks/paper/pens/instructional materials/rental space for meeting)
 - \$4,000 per meeting
 - 5 meetings
 - Cost: \$20,000 in Year 1
 - Estimated based on similar meetings with postsecondary institutions
- General supplies for Community Early Childhood Councils (toner/notebooks/paper/pens/chart paper, etc.)
 - \$5,000 per council
 - 67 Councils
 - Cost: \$335,000 in Year 1

- Cost is estimated based on current needs of Community Early Childhood Councils
- Printing costs for new Comprehensive Assessment Guide
 - Cost: \$15,000 in Year 1, 2, 3, and 4
 - Based on current printing costs for assessment guide
- Printing costs for new Early Learning and Development Standards
 - Cost: \$15,000 in Year 1, 2, 3, and 4
 - Based on current printing costs for standards
- Informational materials for the First Steps program, the IDEA Part C program in Kentucky. The informational materials will be used to help First Steps Counselors in providing care for the children in the First Steps Program and inform them of supports and services in their area.
 - \$50,000 in materials per year
 - Cost: \$50,000 in Years 2-3
 - Based on estimates provided by staff
- General Office Supplies for increased staff
 - \$34,100 / year
 - Cost: \$34,100 in Years 2-3
 - Based off of current supply levels

Total Supplies Costs over the 4 years will be: \$812,200

Contractual

- As part of all contractual costs, the State has followed the procedures for procurement under 34 CFR Parts 74.40 – 74.48 and Part 80.36
- As part of the initial build out of the data system, a technology consultant will be hired to help facilitate and plan for the implementation of the system
 - Estimated cost based on a 6 month engagement: \$150,000 x 3 engagements in each of the first 3 years: \$150,000 in Years 1-3
 - Cost based on similar types of work for P-20 Data Collaborative

- Will be necessary to ensure the data system is being built in the most efficient and well-designed manner possible
- Contracted developers will need to be on staff to facilitate the initial build out and maintain the system in perpetuity
 - Estimated cost: \$100,000 per year per developer with 1 developer in Year 1, and 3 total in Year 2-4: \$100,000 in Year 1, \$300,000 in Years 2-4
 - Cost based on similar types of work for P-20 Data Collaborative
 - Will be needed to maintain the data system and troubleshoot any problems
- Consultant to help develop new coaching and trainer credentials
 - 2 month engagement at \$50,000 in Year 1
 - Based on previous costs to develop credentials
 - Will be necessary to ensure the credentials are rigorous and appropriately structured
- Trainings on new credentials given by professional trainers
 - 32 hours of training at \$65/hour
 - Cost: \$2,080 in Year 1
 - Based on costs of previous trainings
 - Will be necessary to ensure educators receiving the credential are appropriately trained
- Development of Leadership Institute curriculum
 - One month engagement with curriculum consultant at \$25,000 in Year 1
 - Estimated based on previous contracts
 - Will be necessary to ensure the curriculum and training the institute provides is high-quality and able to lead to outcomes for Children with High Needs
- Consultant/developer to build online web portal
 - 6 month engagement to facilitate and help create web portal at \$300,000 in Year 1
 - Based on cost estimates from other web design initiatives
 - Current expertise is not available and will need to be outsourced in order to drive the fully build out the web portal
- Consultant to facilitate the enhancement and development of professional development data system (TRIS) and connect to STARS website
 - 4 month engagement at \$200,000 in Year 1

- Based on costs from other data initiatives
 - Current expertise is not available and will needed to efficiently link the TRIS data system to the STARS website
- Contracting costs with virtual school provider for online discussion boards for Institute participants
 - \$25/participant
 - 20 participants per Institute
 - There will be 2 institutes in Year 2, 8 in Year 3, 30 in Year 4
 - Cost: \$1,000 in Year 2, \$4,000 in Year 3, \$15,000 in Year 4
 - Will allow for Institute participants to engage on trainings remotely and after the trainings end
- Project management and process redesign - Reorganization and change management in the departments and process design
 - 1 consulting engagement per year at \$250,000, the length of the engagements may vary due to the intensity of the design efforts.
 - Cost: \$250,000 in Years 1-4
 - This consultation will be necessary to appropriately design and help manage the many projects associated with the State plan.
- Facilitation costs for Needs Assessment/Focus groups to determine needs of families with regards to early childhood services and information
 - \$5,000 per focus group
 - Number of Area Development Districts – 8
 - Focus Groups in Each District - 2
 - Cost: \$80,000 in Year 1
 - The output from this activity will be used to determine the supports required to appropriately engage the families in the State.
- Training costs for Community Early Childhood Councils
 - Each training will cost \$700 per Council based on trainer rates of \$70/hour for 10 hours. Actual training will last 3 hours, but the development and prep time for the training sessions will take 7 hours.

- There will be 6 different trainings occurring at various times during the grant period, each training corresponds to a different criteria within the State's application. These trainings will allow for the Councils to implement the grants objectives at the local level
 - Training on new role per Community Early Childhood Council – Year 1
 - Professional Development – Year 2
 - Public outreach strategies – Year 2
 - Engage and support families – Year 2
 - Early Learning and Development standards – Year 2
 - Training on assessment systems – Year 2
- 67 Community Early Childhood Councils
- Cost: \$46,900 in Year 1 and \$234,500 in Year 2
- Licensing contract with the Office of Inspector General which provides funds for two full time investigators to look into complaints and possible increases in illegal child care centers
 - Cost: \$100,000 in Years 2-3
 - Costs based on current expenditures with current TQRIS
 - With the large increase in programs in the TQRIS, there will need to be more support to investigate complaints and illegal activity
- Evaluation costs for the TQRIS
 - Cost: \$500,000 in Years 2-3
 - Costs based on recent TQRIS evaluation undertaken on the STARS system.
 - This cost will be necessary to ensure that the TQRIS tiers appropriately differentiate programs based on quality

Total Contractual Costs over the 4 years will be: \$4,608,480

Other

- Incentives for the new, integrated TQRIS
 - Incentives include:

- Tiered reimbursement (extra funds for programs which are in top tiers of the TQRIS and include
 - Professional development scholarships
 - Initial incentive awards (funds for programs which enter the TQRIS for the first time)
 - Incentive awards (funds for programs which move into the top tiers of the new, integrated TQRIS)
 - Annual incentive awards (incentives for programs which maintain a rating in the top tiers of the new, integrated TQRIS)
- Cost: \$5,680,351 in Year 2 and \$4,823,889 in Year 3
- These incentives will be necessary to drive program quality by ensuring that programs are incentivized to enter the TQRIS and reach and maintain ratings in the top tiers of the system.
- These incentive amounts assume the current incentive structure for STARS, Kentucky's current TQRIS, remains intact and applies these incentives to the new programs which will enter the system
- Office Space leasing to hold new staff in Governor's Office of Early Childhood
 - \$19,000 per year based on current leasing rates
 - Cost: \$19,000 in Years 1-4
 - Will be necessary to hold the new staff in the Office

Total Other Costs over the 4 years will be: \$10,580,240

Indirect Costs

- Rate of 10% and will be applied to personnel and benefits costs

Total Indirect Costs over the 4 years will be: \$2,863,368

Funds distributed to Early Learning Intermediary Organizations

- An average of \$30,000 will be distributed to each Community Early Childhood Council in each year of this grant. The funds will be divided among the Community Early

Childhood Councils through a combination of the number Children with High Needs each Council serves, the number of total children each Council serves, and the commitment of each Council to the State plan.

- The Councils will use these funds to provide grants to the Early Learning and Development providers in their local communities
- The grants will be used to facilitate the implementation of this plan on a local, “as needed” level. Activities that these grants may fund include implementation of Comprehensive Assessments, professional development, and family engagement strategies among others.
- The Governor’s Office of Early Childhood will be in charge of monitoring these grants for fiduciary responsibility
- There are 67 Community Early Childhood Councils
- Cost: $\$30,000 \times 67 \text{ Councils} = \$2,010,000$ in Years 1-4

Total Funds Distributed to Early Learning Intermediary Organizations over the 4 years will be: \$8,040,000

Grantee Technical Assistance

- \$100,000 per year in Years 1-4

Total Grantee Technical Assistance Costs over the 4 years will be: \$400,000

Other Funds Allocated to the State Plan

- The Governor’s Office of Early Childhood has also committed \$1,000,000 a year for distributions to the Community Early Childhood Councils. These funds will allow the Councils to make grants in their local communities to implement and facilitate the goals of this plan. This averages to \$14, 925 per Council.
 - The funding for this \$1,000,000 will come from Master Settlement tobacco dollars.

- Activities that these grants may fund include implementation of Comprehensive Assessments, professional development, and family engagement strategies among others.
- The Governor's Office of Early Childhood has also committed \$107,250 to fund a new Director in the Office of Early Childhood.
 - The funding will come from Master Settlement tobacco dollars.
 - This position will be necessary to help facilitate and manage the many, new activities carried on by the Governor's Office of Early Childhood

Total Funds from Other Sources Allocated over the 4 years will be: \$4,429,000

For Direct Costs, Total Funds Requested, and Total Budget, please refer to data in tables above.

Cabinet for Health and Family Services

Participating State Agency-Level Budget Table II-1					
(Evidence for selection criterion (A)(4)(b))					
Budget Category	Grant Year 1 (a)	Grant Year 2 (b)	Grant Year 3 (c)	Grant Year 4 (d)	Total (e)
1. Personnel	0	0	0	0	0
2. Fringe Benefits	0	0	0	0	0
3. Travel	0	0	0	0	0
4. Equipment	0	0	0	0	0
5. Supplies	0	0	0	0	0

6. Contractual	0	0	0	0	0
7. Training Stipends	0	0	0	0	0
8. Other	0	0	0	0	0
9. Total Direct Costs (add lines 1-8)	0	0	0	0	0
10. Indirect Costs*	0	0	0	0	0
11. Funds to be distributed to localities, Early Learning Intermediary Organizations, Participating Programs, and other partners	0	0	0	0	0
12. Funds set aside for participation in grantee technical assistance	0	0	0	0	0
13. Total Grant Funds Requested (add lines 9-12)	0	0	0	0	0
14. Funds from other sources used to support the State Plan	13,575,100	13,575,100	13,575,100	19,460,118	60,185,418
15. Total Statewide Budget (add lines 13-14)	13,575,100	13,575,100	13,575,100	19,460,118	60,185,418

Columns (a) through (d): For each grant year for which funding is requested, show the total amount requested for each applicable budget category.

Column (e): Show the total amount requested for all grant years.

Line 6: Show the amount of funds allocated through contracts with vendors for products to be acquired and/or professional services to be provided. A State may apply its indirect cost rate only against the first \$25,000 of each contract included in line 6

Line 10: If the State plans to request reimbursement for indirect costs, complete the Indirect Cost Information form at the end of this Budget section. Note that indirect costs are not allocated to line 11.

Line 11: Show the amount of funds to be distributed to localities, Early Learning Intermediary Organizations, Participating Programs, and other partners through contracts, interagency agreements, MOUs or any other subawards allowable under State procurement law. States are not required to provide budgets for how the localities, Early Learning Intermediary Organizations, Participating Programs, and other partners will use these funds. However, the Departments expect that, as part of the administration and oversight of the grant, States will monitor and track all expenditures to ensure that localities, Early Learning Intermediary Organizations, Participating Programs, and other partners spend these funds in accordance with the State Plan.

Line 12: The State must set aside \$400,000 from its grant funds for the purpose of participating in RTT-ELC grantee technical assistance activities facilitated by ED or HHS. This is primarily to be used for travel and may be allocated to Participating State Agencies evenly across the four years of the grant.

Line 13: This is the total funding requested under this grant.

Cabinet for Health and Family Services

Participating State Agency-Level Budget Table II-2					
(Evidence for selection criterion (A)(4)(b))					
Project	Grant Year 1 (a)	Grant Year 2 (b)	Grant Year 3 (c)	Grant Year 4 (d)	Total (e)
Build System Capacity	0	0	0	0	0
Create New, integrated TQRIS	13,575,100	13,575,100	13,575,100	19,460,118	60,185,418
Revise Early Learning Standards	0	0	0	0	0
Create Comprehensive Assessment Systems	0	0	0	0	0
Create Centralized PD System	0	0	0	0	0
Build Early Learning Data System	0	0	0	0	0
Total Statewide Budget	13,575,100	13,575,100	13,575,100	19,460,118	60,185,418

Columns (a) through (d): For each grant year for which funding is requested, show the total amount this Participating State Agency plans to spend for each Project in the State Plan. If this Participating State Agency has no role in a particular Project, leave that row blank.

Column (e): Show the total expenditure, across all grant years, for the Project.

The Total Statewide Budget for this table should match Line 15 for Budget Table II-1.

Budget Part II Narrative for the Cabinet for Health and Family Services begins here:

The Cabinet for Health and Family Services will play an important role in Project 2. CHFS currently has the expertise and systems required to run a TQRIS system, and will be instrumental in supporting the creation of the new, integrated system. In the current budget, the Cabinet for Health and Family Services will not incur any costs funded through the grant. Dependent on the location of the TQRIS, the Cabinet for Health and Family Services may have to organize its operations differently, however, CHFS will play a lead role in facilitating the development and implementation of the new, integrated TQRIS.

Project 2: Create a larger and more inclusive TORIS and promote family engagement

The Cabinet for Health and Family Services will continue to be very involved in the new, integrated TQRIS. Its roles and responsibilities will vary dependent on the final structure and placement of the TQRIS.

Budget Category line items:

Other Funds Allocated to the State Plan

- The Cabinet will contribute \$13.6M to the funding of the new, integrated TQRIS in Years 1-4 of the grant. In Year 4, there will be an additional \$5.9M required, which is included in the Cabinet's budget, however, this will be funded jointly through all agencies participating in the new, integrated TQRIS. Because this extra \$5.9M is incurred 4 years in the future and the location of the TQRIS system is still being decided, all Secretaries

agreed that the determination of “from where” and “by whom” be left to a later date. However, all have committed to obtaining funding to support this amount as well as the other outcomes in the State plan.

- The quality set-asides in CCDF will be used to fund the new, integrated QRIS. These costs amount to 8% of CCDF funds.

Total Funds from Other Sources Allocated over the 4 years will be: \$60,185,418

For Total Budget, please refer to data in tables above.

Education and Workforce Development Cabinet

Participating State Agency-Level Budget Table II-1					
(Evidence for selection criterion (A)(4)(b))					
Budget Category	Grant Year 1 (a)	Grant Year 2 (b)	Grant Year 3 (c)	Grant Year 4 (d)	Total (e)
1. Personnel	0	0	0	0	0
2. Fringe Benefits	0	0	0	0	0
3. Travel	0	0	0	0	0
4. Equipment	0	0	0	0	0
5. Supplies	0	0	0	0	0
6. Contractual	0	0	0	0	0
7. Training Stipends	0	0	0	0	0
8. Other	0	0	0	0	0

9. Total Direct Costs (add lines 1-8)	0	0	0	0	0
10. Indirect Costs*	0	0	0	0	0
11. Funds to be distributed to localities, Early Learning Intermediary Organizations, Participating Programs, and other partners	0	0	0	0	0
12. Funds set aside for participation in grantee technical assistance	0	0	0	0	0
13. Total Grant Funds Requested (add lines 9-12)	0	0	0	0	0
14. Funds from other sources used to support the State Plan	0	0	0	0	0
15. Total Statewide Budget (add lines 13-14)	0	0	0	0	0

Columns (a) through (d): For each grant year for which funding is requested, show the total amount requested for each applicable budget category.

Column (e): Show the total amount requested for all grant years.

Line 6: Show the amount of funds allocated through contracts with vendors for products to be acquired and/or professional services to be provided. A State may apply its indirect cost rate only against the first \$25,000 of each contract included in line 6

Line 10: If the State plans to request reimbursement for indirect costs, complete the Indirect Cost Information form at the end of this Budget section. Note that indirect costs are not allocated to line 11.

Line 11: Show the amount of funds to be distributed to localities, Early Learning Intermediary Organizations, Participating Programs, and other partners through contracts, interagency agreements, MOUs or any other subawards allowable under State procurement law. States are not required to provide budgets for how the localities, Early Learning Intermediary Organizations, Participating Programs, and other partners will use these funds. However, the Departments expect that, as part of the administration and oversight of the grant, States will monitor and track all expenditures to ensure that localities, Early Learning Intermediary Organizations, Participating Programs, and other partners spend these funds in accordance with the State Plan.

Line 12: The State must set aside \$400,000 from its grant funds for the purpose of participating in RTT-ELC grantee technical assistance activities facilitated by ED or HHS. This is primarily to be used for travel and may be allocated to Participating State Agencies evenly across the four years of the grant.

Line 13: This is the total funding requested under this grant.

Education and Workforce Development Cabinet

Participating State Agency-Level Budget Table II-2					
(Evidence for selection criterion (A)(4)(b))					
Project	Grant Year 1 (a)	Grant Year 2 (b)	Grant Year 3 (c)	Grant Year 4 (d)	Total (e)
Build System Capacity	0	0	0	0	0
Create New, integrated TQRIS	0	0	0	0	0
Revise Early Learning Standards	0	0	0	0	0
Create Comprehensive Assessment Systems	0	0	0	0	0
Create Centralized PD System	0	0	0	0	0
Build Early Learning Data System	0	0	0	0	0
Total Statewide Budget	0	0	0	0	0

Columns (a) through (d): For each grant year for which funding is requested, show the total amount this Participating State Agency plans to spend for each Project in the State Plan. If this Participating State Agency has no role in a particular Project, leave that row blank.

Column (e): Show the total expenditure, across all grant years, for the Project.

The Total Statewide Budget for this table should match Line 15 for Budget Table II-1.

Budget Part II Narrative for the Education and Workforce Development Cabinet begins here:

The Education and Workforce Development Cabinet will not take part in projects necessitating funding under the Race to the Top grant. The Cabinet will, however, still play an important role in supporting implementation of Early Childhood Educator professional development and refining the Workforce Knowledge and Competency Framework (D)(1) and (D)(2).

BUDGET PART II - NARRATIVE

Describe, in the text box below, the Participating State Agency's budget, including--

- *How the Participating State Agency plans to organize its operations in order to manage the RTT-ELC funds and accomplish the work set forth in the MOU or other binding agreement and scope of work;*
- *For each project in which the Participating State Agency is involved, and consistent with the MOU or other binding agreement and scope of work:*
 - *An explanation of the Participating State Agency's roles and responsibilities*
 - *An explanation of how the proposed project annual budget was derived*
- *A detailed explanation of each budget category line item, including the information below.*

1) Personnel

Provide:

- The title and role of each position to be compensated under this grant.
- The salary for each position.
- The amount of time, such as hours or percentage of time, to be expended by each position.
- Any additional basis for cost estimates or computations.

Explain:

- The importance of each position to the success of specific. If curriculum vitae, an organizational chart, or other supporting information will be helpful to reviewers, attach in the Appendix and describe its location.

2) Fringe Benefits

Provide:

- The fringe benefit percentages for all personnel.
- The basis for cost estimates or computations.

3) Travel

Provide:

- An estimate of the number of trips.
- An estimate of transportation and/or subsistence costs for each trip.
- Any additional basis for cost estimates or computations.

Explain:

- The purpose of the travel, how it relates to project goals, and how it will contribute to project success.

4) Equipment

Provide:

- The type of equipment to be purchased.
- The estimated unit cost for each item to be purchased.
- The definition of equipment used by the State.
- Any additional basis for cost estimates or computations.

Explain:

- The justification of the need for the items of equipment to be purchased.

5) Supplies

Provide:

- An estimate of materials and supplies needed, by nature of expense or general category (*e.g.*, instructional materials, office supplies).
- The basis for cost estimates or computations.

6) Contractual

Provide:

- The products to be acquired and/or the professional services to be provided.
- The estimated cost per expected procurement.
- For professional services contracts, the amounts of time to be devoted to the project, including the costs to be charged to this proposed grant award.
- A brief statement that the State has followed the procedures for procurement under 34 CFR Parts 74.40 - 74.48 and Part 80.36.
- Any additional basis for cost estimates or computations.

Explain:

- The purpose and relation to the State Plan or specific project.

Note: Because grantees must use appropriate procurement procedures to select contractors, applicants should not include information in their grant applications about specific contractors that may be used to provide services or goods for the proposed project if a grant is awarded.

7) Training Stipends

Note:

- The training stipend line item only pertains to costs associated with long-term training programs and college or university coursework that results in a credential or degree, not workshops or short-term training supported by this program.
- Salary stipends paid to teachers and other early learning personnel for participating in short-term professional development should be reported in Personnel (line 1).

Provide:

- Descriptions of training stipends to be provided, consistent with the “note” above.
- The cost estimates and basis for these estimates.

Explain:

- The purpose of the training.

8) Other

Provide:

- Other items by major type or category.
- The cost per item (printing = \$500, postage = \$750).
- Any additional basis for cost estimates or computations.

Explain:

- The purpose of the expenditures.

9) Total Direct Costs

Provide:

- The sum of expenditures, across all budget categories in lines 1-8, for each year of the budget.

10) Indirect Costs

Provide:

- Identify and apply the indirect cost rate. (See the section that follows, Budget: Indirect Cost Information.)

11) Funds distributed to localities, Early Learning Intermediary Organizations, Participating Programs, or other partners through MOUs, interagency agreements, contracts, or other mechanisms authorized by State procurement laws.

Provide:

- The specific activities to be done by localities, Early Learning Intermediary Organizations, Participating Programs, or other partners.
- The estimated cost of each activity.
- The approximate number of localities, Early Learning Intermediary Organizations, Participating Programs, or other partners involved in each activity.
- The total cost of each activity (across all localities, Early Learning Intermediary Organizations, Participating Programs and other partners).

- Any additional basis for cost estimates or computations.

Explain:

- The purpose of each activity and its relation to the State Plan or specific project.

Note: States are not required to provide budgets for how the localities, Early Learning Intermediary Organizations, Participating Programs, and other partners will use these funds. However, the Department expects that, as part of the administration and oversight of the grant, States will monitor and track all expenditures to ensure that localities, Early Learning Intermediary Organizations, Participating Programs, and other partners spend these funds in accordance with the State Plan.

12) Funds set aside for participation in grantee technical assistance

Provide:

- The amount per year set aside for this Participating State Agency.

Note: The State must set aside \$400,000 from its Total Grant Funds Requested for the purpose of participating in RTT-ELC grantee technical assistance activities facilitated by ED or HHS. This is primarily to be used for travel and may be allocated to Participating State Agencies evenly across the four years of the grant.

13) Total Funds Requested

Provide:

- The sum of expenditures in lines 9-12, for each year of the budget.

13) Other Funds Allocated to the State Plan

Provide:

- A description of the sources of other funds the State is using to support the projects in the State Plan.
- A description of how the quality set-asides in CCDF will be used for activities and services described in the State Plan, if applicable.
- Any financial contributions being made by private entities such as foundations.

Explain:

- Each funding source, the activities being funded and their relation to the State Plan or specific project, and any requirements placed on the use of funds or timing of the activity.

14) Total Budget

Provide:

- The sum of expenditures in lines 13 and 14, for each year of the budget

(Enter narrative here – recommended maximum of five pages)

ALL NARRATIVES ARE INCLUDED ABOVE AFTER EACH AGENCY'S BUDGET TABLE

BUDGET: INDIRECT COST INFORMATION
KENTUCKY DEPARTMENT OF EDUCATION

To request reimbursement for indirect costs, please answer the following questions:

Does the State have an Indirect Cost Rate Agreement approved by the Federal government?	
YES	<input checked="" type="radio"/>
NO	<input type="radio"/>
If yes to question 1, please provide the following information:	
Period Covered by the Indirect Cost Rate Agreement (mm/dd/yyyy):	
From: 03/02/2011	To: 06/30/2014
Approving Federal agency: <input checked="" type="checkbox"/> ED <input type="checkbox"/> HHS <input type="checkbox"/> Other	
<i>(Please specify agency):</i> _____	

Directions for this form:

1. Indicate whether or not the State has an Indirect Cost Rate Agreement that was approved by the Federal government.
2. If "No" is checked, the Departments generally will authorize grantees to use a temporary rate of 10 percent of budgeted salaries and wages subject to the following limitations:
 - (a) The grantee must submit an indirect cost proposal to its cognizant agency within 90 days after the grant award notification is issued; and
 - (b) If after the 90-day period, the grantee has not submitted an indirect cost proposal to its cognizant agency, the grantee may not charge its grant for indirect costs until it has negotiated an indirect cost rate agreement with its cognizant agency.

If "Yes" is checked, indicate the beginning and ending dates covered by the Indirect Cost Rate Agreement. In addition, indicate whether ED, HHS, or another Federal agency (Other) issued the approved agreement. If "Other" was checked, specify the name of the agency that issued the approved agreement.

BUDGET: INDIRECT COST INFORMATION
GOVERNOR’S OFFICE OF EARLY CHILDHOOD

To request reimbursement for indirect costs, please answer the following questions:

Does the State have an Indirect Cost Rate Agreement approved by the Federal government?

YES

NO

If yes to question 1, please provide the following information:

Period Covered by the Indirect Cost Rate Agreement (mm/dd/yyyy):

From: ___/___/_____ To: ___/___/_____

Approving Federal agency: ___ED ___HHS ___Other

(Please specify agency): _____

Directions for this form:

1. Indicate whether or not the State has an Indirect Cost Rate Agreement that was approved by the Federal government.
2. If “No” is checked, the Departments generally will authorize grantees to use a temporary rate of 10 percent of budgeted salaries and wages subject to the following limitations:
 - (a) The grantee must submit an indirect cost proposal to its cognizant agency within 90 days after the grant award notification is issued; and
 - (b) If after the 90-day period, the grantee has not submitted an indirect cost proposal to its cognizant agency, the grantee may not charge its grant for indirect costs until it has negotiated an indirect cost rate agreement with its cognizant agency.

If “Yes” is checked, indicate the beginning and ending dates covered by the Indirect Cost Rate Agreement. In addition, indicate whether ED, HHS, or another Federal agency (Other) issued the approved agreement. If “Other” was checked, specify the name of the agency that issued the approved agreement.

IX. APPLICATION REQUIREMENTS

(a) The State's application must be signed by the Governor or an authorized representative; an authorized representative from the Lead Agency; and an authorized representative from each Participating State Agency. The State must provide the required signatures in section IV, Application Assurances and Certifications of the application.

(b) The State must submit a certification from the State Attorney General or an authorized representative that the State's description of, and statements and conclusions in its application concerning, State law, statute, and regulation are complete and accurate and constitute a reasonable interpretation of State law, statute, and regulation. The State must provide this certification in section IV, Application Assurances and Certifications of the application.

(c) The State must complete the budget spreadsheets that are provided in the application package and submit the completed spreadsheet as part of its application. These spreadsheets should be included on the CD or DVD that the State submits as its application.

Note: The budget spreadsheets will be used by the Departments for budget reviews. However, the reviewers will not judge or score these budget spreadsheets. Reviewers will limit their evaluation of the State's response to (A)(4)(b) to the information provided by the State in the budget section of the application (see section VIII, Budget).

(d) The State must submit preliminary scopes of work for each Participating State Agency as part of the executed MOU or other binding agreement. (See section XIII in this application.) Each preliminary scope of work must describe the portions of the State's proposed plans that the Participating State Agency is agreeing to implement. If a State is awarded an RTT-ELC grant, the State will have up to 90 days to complete final scopes of work for each Participating State Agency. (See section (k) of the Program Requirements, section XI in this application.)

(e) The State must include a budget that details how it will use grant funds awarded under this competition, and funds from other Federal, State, private, and local sources to achieve the outcomes of the State Plan (as described in selection criterion (A)(4)(a)), and how the State will use funds awarded under this program to--

(1) Achieve its targets for increasing the number and percentage of Early Learning and Development Programs that are participating in the State's Tiered Quality Rating and Improvement System (as described in selection criterion (B)(2)(c)); and

(2) Achieve its targets for increasing the number and percentage of Children with High Needs who are enrolled in Early Learning and Development Programs that are in the top tiers of the State's Tiered Quality Rating and Improvement System (as described in selection criterion (B)(4)(c)).

(f) The State must provide an overall summary for the State Plan and a rationale for why it has chosen to address the selected criteria in each Focused Investment Area, including—

- How the State's choices build on its progress to date in each Focused Investment Area (as outlined in Tables (A)(1)6-13 and in the narrative under (A)(1)); and
- Why these selected criteria will best achieve the State's ambitious yet achievable goals for improving program quality, improving outcomes for Children with High Needs statewide, and closing the readiness gap between Children with High Needs and their peers.

(g) The State, within each Focused Investment Area, must select and address--

- Two or more selection criteria within Focused Investment Area (C) Promoting Early Learning and Development Outcomes for Children; and
- One or more selection criteria within Focused Investment Areas (D) A Great Early Childhood Education Workforce and (E) Measuring Outcomes and Progress.

(h) Where the State is submitting a High-Quality Plan, the State must include in its application a detailed plan that is feasible and has a high probability of successful implementation and includes, but need not be limited to--

(1) The key goals;

(2) The key activities to be undertaken; the rationale for the activities; and, if applicable, where in the State the activities will be initially implemented, and where and how they will be scaled up over time to eventually achieve statewide implementation;

(3) A realistic timeline, including key milestones, for implementing each key activity;

(4) The party or parties responsible for implementing each activity and other key personnel assigned to each activity;

(5) Appropriate financial resources to support successful implementation of the plan;

(6) The information requested as supporting evidence, if any, together with any additional information the State believes will be helpful to peer reviewers in judging the credibility of the plan;

(7) The information requested in the performance measures, where applicable;

(8) How the State will address the needs of the different types of Early Learning and Development Programs, if applicable; and

(9) How the State will meet the needs of Children with High Needs, as well as the unique needs of special populations of Children with High Needs.

X. REPORTING REQUIREMENTS

A State receiving funds under an RTT-ELC grant must submit an annual report that must include, in addition to the standard elements, a description of the State's progress to date on its goals, timelines, and budgets, as well as actual performance compared to the annual targets the State established in its application with respect to each performance measure. Further, a State receiving funds under this program is accountable for meeting the goals, timelines, budget, and annual targets established in the application; adhering to an annual fund drawdown schedule that is tied to meeting these goals, timelines, budget, and annual targets; and fulfilling and maintaining all other conditions for the conduct of the project. The Departments will monitor a State's progress in meeting the State's goals, timelines, budget, and annual targets and in fulfilling other applicable requirements. In addition, we may collect additional data as part of a State's annual reporting requirements.

To support a collaborative process with the State, we may require that applicants who are selected to receive an award enter into a written performance or cooperative agreement. If we determine that a State is not meeting its goals, timelines, budget, or annual targets or is not fulfilling other applicable requirements, we will take appropriate action, which could include establishing a collaborative process or taking enforcement measures with respect to this grant, such as placing the State in high-risk status, putting the State on reimbursement payment status, or delaying or withholding funds.

XI. PROGRAM REQUIREMENTS

A State that receives a grant must meet the following requirements:

(a) The State must continue to participate in the programs authorized under section 619 of part B of IDEA and part C of IDEA; in the CCDF program; and in the Maternal, Infant, and Early Childhood Home Visiting (MIECHV) program (pursuant to section 511 of Title V of the Social Security Act, as added by section 2951 of the Affordable Care Act of 2010 (P.L. 111-148)) for the duration of the grant.

(b) The State is prohibited from spending funds from the grant on the direct delivery of health services.

(c) The State must participate in RTT-ELC grantee technical assistance activities facilitated by ED or HHS, individually or in collaboration with other State grantees in order to share effective program practices and solutions and collaboratively solve problems, and must set aside at least \$400,000 from its grant funds for this purpose.

(d) The State must--

(1) Comply with the requirements of any evaluation sponsored by ED or HHS of any of the State's activities carried out with the grant;

(2) Comply with the requirements of any cross-State evaluation--as part of a consortium of States--of any of the State's proposed reforms, if that evaluation is coordinated or funded by ED or HHS, including by using common measures and data collection instruments and collecting data necessary to the evaluation;

(3) Together with its independent evaluator, if any, cooperate with any technical assistance regarding evaluations provided by ED or HHS. The purpose of this technical assistance will be to ensure that the validation of the State's Tiered Quality Rating and Improvement System and any other evaluations conducted by States or their independent evaluators, if any, are of the highest quality and to encourage commonality in approaches where such commonality is feasible and useful;

(4) Submit to ED and HHS for review and comment its design for the validation of its Tiered Quality Rating and Improvement System (as described in selection criteria (B)(5)) and any other evaluations of activities included in the State Plan, including any activities that are part of the State's Focused Investment Areas, as applicable; and

(5) Make widely available through formal (*e.g.*, peer-reviewed journals) or informal (*e.g.*, newsletters) mechanisms, and in print or electronically, the results of any evaluations it conducts of its funded activities.

(e) The State must have a longitudinal data system that includes the 12 elements described in section 6401(e)(2)(D) of the America COMPETES Act by the date required under the State Fiscal Stabilization Fund (SFSF) grant and in accordance with Indicator (b)(1) of its approved SFSF plan.

(f) The State must comply with the requirements of all applicable Federal, State, and local privacy laws, including the requirements of the Family Educational Rights and Privacy Act, the Health Insurance Portability Accountability Act, and the privacy requirements in IDEA, and their applicable regulations.

(g) The State must ensure that the grant activities are implemented in accordance with all applicable Federal, State, and local laws.

(h) The State must provide researchers with access, consistent with the requirements of all applicable Federal State, and local privacy laws, to data from its Tiered Quality Rating and Improvement System and from the Statewide Longitudinal Data System and the State's coordinated early learning data system (if applicable) so that they can analyze the State's quality improvement efforts and answer key policy and practice questions.

(i) Unless otherwise protected as proprietary information by Federal or State law or a specific written agreement, the State must make any work (*e.g.*, materials, tools, processes, systems) developed under its grant freely available to the public, including by posting the work on a Web site identified or sponsored by ED or HHS. Any Web sites developed under this grant must meet government or industry-recognized standards for accessibility.

(j) Funds made available under an RTT-ELC grant must be used to supplement, not supplant, any Federal, State, or local funds that, in the absence of the funds awarded under this grant, would be available for increasing access to and improving the quality of Early Learning and Development Programs.

(k) For a State that is awarded an RTT-ELC grant, the State will have up to 90 days from the grant award notification date to complete final scopes of work for each Participating State Agency. These final scopes of work must contain detailed work plans that are consistent with their corresponding preliminary scopes of work and with the State's grant application, and must include the Participating State Agency's specific goals, activities, timelines, budgets, key personnel, and annual targets for key performance measures for the portions of the State's proposed plans that the Participating State Agency is agreeing to implement.

XII. CONTRACTING FOR SERVICES

Generally, all procurement transactions by State or local educational agencies made with RTT-ELC grant funds must be conducted in a manner providing full and open competition, consistent with the standards in section 80.36 of the Education Department General Administrative Regulations (EDGAR). This section requires that grantees use their own procurement procedures (which reflect State and local laws and regulations) to select contractors, provided that those procedures meet certain standards described in EDGAR.

Because grantees must use appropriate procurement procedures to select contractors, applicants should not include information in their grant applications about specific contractors that may be used to provide services or goods for the proposed project if a grant is awarded.

XIII. PARTICIPATING STATE AGENCY MEMORANDUM OF UNDERSTANDING**RACE TO THE TOP-EARLY LEARNING CHALLENGE
PARTICIPATING STATE AGENCY
MODEL MEMORANDUM OF UNDERSTANDING****(Appendix C of the Race to the Top-Early Learning Challenge
Notice Inviting Applications)****Background for Memorandum of Understanding**

Each Participating State Agency identified in a State's Race to the Top-Early Learning Challenge (RTT-ELC) State Plan is required to enter into a Memorandum of Understanding (MOU) or other binding agreement with the State's Lead Agency that specifies the scope of the work that will be implemented by the Participating State Agency. The purpose of the MOU or other binding agreement is to define a relationship between the Lead Agency and the Participating State Agency that is specific to the RTT-ELC competition; the MOU or other binding agreement is not meant to detail all typical aspects of grant coordination or administration.

To support States in working efficiently with their Participating State Agencies to affirm each Participating State Agency's participation in the State Plan, ED and HHS have produced a model MOU, which is attached. This model MOU may serve as a template for States; however, States are not required to use it. States may use a document other than the model MOU, as long as it includes the key features noted below and in the model MOU. States should consult with their State attorneys on what is most appropriate. States may allow multiple Participating State Agencies to sign a single MOU or other binding agreement, with customized exhibits for each Participating State Agency, if the State so chooses.

At a minimum, an RTT-ELC MOU or other binding agreement should include the following key features, each of which is described in detail below and exemplified in the attached model MOU: (i) terms and conditions; (ii) a scope of work; and, (iii) authorized signatures.

(i) Terms and conditions: Each Participating State Agency must sign a standard set of terms and conditions that includes, at a minimum, key roles and responsibilities of the Lead Agency and the Participating State Agency; State recourse for non-performance by the Participating State Agency; and assurances that make clear what the Participating State Agency is agreeing to do.

(ii) Scope of work: RTT-ELC MOUs or other binding agreements must include a preliminary scope of work (included in the model RTT-ELC MOU as Exhibit I) that is completed by each Participating State Agency. The scope of work must be signed and dated by an authorized Participating State Agency official and an authorized Lead Agency official. In the interest of time and in consideration of the effort it will take for the Lead Agency and Participating State Agencies to develop detailed work plans for RTT-ELC, the scope of work submitted by Participating State Agencies and Lead Agencies as part of a State's application may be preliminary. Preliminary scopes of work must, at a minimum, identify all applicable

portions of the State Plan that the Participating State Agency is agreeing to implement and include the required assurances. (Note that in order for a State to be eligible for the RTT-ELC competition, the Lead Agency must have executed with each Participating State Agency an MOU or other binding agreement, which the State must attach to its application and which must describe the Participating State Agency's level of participation in the grant and must include the required assurances.)

If a State is awarded an RTT-ELC grant, Participating State Agencies will have up to 90 days to complete final scopes of work, which must contain detailed work plans that are consistent with each Participating State Agency's preliminary scope of work and with the State's grant application, and must include the Participating State Agencies' specific goals, activities, timelines, budgets, and key personnel.

(iii) Authorized Signatures: The signatures on the MOU or other binding agreement demonstrate an acknowledgement of the relationship between the Participating State Agency and the Lead Agency. With respect to the relationship between the Participating State Agency and the Lead Agency, the Lead Agency's counter-signature on the MOU or other binding agreement indicates that the Participating State Agency's commitment is consistent with the requirement that a Participating State Agency implement all applicable portions of the State Plan.

MODEL PARTICIPATING STATE AGENCY MEMORANDUM OF UNDERSTANDING

This Memorandum of Understanding (“MOU”) is entered into by and between _____ (“Lead Agency”) and _____ (“Participating State Agency”). The purpose of this agreement is to establish a framework of collaboration, as well as articulate specific roles and responsibilities in support of the State in its implementation of an approved Race to the Top-Early Learning Challenge grant project.

I. ASSURANCES

The Participating State Agency hereby certifies and represents that it:

- 1) Agrees to be a Participating State Agency and will implement those portions of the State Plan indicated in Exhibit I, if the State application is funded;
- 2) Agrees to use, to the extent applicable and consistent with the State Plan and Exhibit I:
 - (a) A set of statewide Early Learning and Development Standards;
 - (b) A set of statewide Program Standards;
 - (c) A statewide Tiered Quality Rating and Improvement System; and
 - (d) A statewide Workforce Knowledge and Competency Framework and progression of credentials.

(Please note that Participating State Agencies must provide these assurances in order for the State to be eligible for a Race to the Top-Early Learning Challenge grant.)

- 3) Has all requisite power and authority to execute and fulfill the terms of this MOU;
- 4) Is familiar with the State’s Race to the Top-Early Learning Challenge grant application and is supportive of and committed to working on all applicable portions of the State Plan;
- 5) Will provide a Final Scope of Work only if the State’s application is funded and will do so in a timely fashion but no later than 90 days after a grant is awarded; and will describe the Participating State Agency’s specific goals, activities, timelines, budgets, and key personnel (“Participating State Agency Plan”) in a manner that is consistent with the Preliminary Scope of Work (Exhibit I), with the Budget included in section VIII of the State Plan (including existing funds, if any, that the Participating State Agency is using for activities and services that help achieve the outcomes of the State Plan; and
- 6) Will comply with all of the terms of the Race to the Top-Early Learning Challenge Grant, this agreement, and all applicable Federal and State laws and regulations, including laws and regulations applicable to the Race to the Top-Early Learning Challenge program, and the applicable provisions of EDGAR (34 CFR Parts 75, 77, 79, 80, 82, 84, 85, 86, 97, 98 and 99).

II. PROJECT ADMINISTRATION

A. PARTICIPATING STATE AGENCY RESPONSIBILITIES

In assisting the Lead Agency in implementing the tasks and activities described in the State’s Race to the Top-Early Learning Challenge grant application, the Participating State Agency will:

- 1) Implement the Participating State Agency Scope of Work as identified in the Exhibit I of this agreement;
- 2) Abide by the governance structure outlined in the State Plan;

- 3) Abide by the Participating State Agency's Budget included in section VIII of the State Plan (including the existing funds from Federal, State, private and local sources, if any, that the Participating State Agency is using to achieve the outcomes in the RTT-ELC State Plan);
- 4) Actively participate in all relevant meetings or other events that are organized or sponsored by the State, by the U.S. Department of Education ("ED"), or by the U.S. Department of Health and Human Services ("HHS");
- 5) Post to any Web site specified by the State, ED, or HHS, in a timely manner, all non-proprietary products and lessons learned developed using Federal funds awarded under the RTT-ELC grant;
- 6) Participate, as requested, in any evaluations of this grant conducted by the State, ED, or HHS;
- 7) Be responsive to State, ED, or HHS requests for project information including on the status of the project, project implementation, outcomes, and any problems anticipated or encountered, consistent with applicable local, State and Federal privacy laws.

B. LEAD AGENCY RESPONSIBILITIES

In assisting the Participating State Agencies in implementing their tasks and activities described in the State's Race to the Top-Early Learning Challenge application, the Lead Agency will:

- 1) Work collaboratively with, and support the Participating State Agency in carrying out the Participating State Agency Scope of Work, as identified in Exhibit I of this agreement;
- 2) Timely award the portion of Race to the Top-Early Learning Challenge grant funds designated for the Participating State Agency in the State Plan during the course of the project period and in accordance with the Participating State Agency's Scope of Work, as identified in Exhibit I, and in accordance with the Participating State Agency's Budget, as identified in section VIII of the State's application;
- 3) Provide feedback on the Participating State Agency's status updates, any interim reports, and project plans and products;
- 4) Keep the Participating State Agency informed of the status of the State's Race to the Top-Early Learning Challenge grant project and seek input from the Participating State Agency, where applicable, through the governance structure outlined in the State Plan;
- 5) Facilitate coordination across Participating State Agencies necessary to implement the State Plan; and
- 6) Identify sources of technical assistance for the project.

C. JOINT RESPONSIBILITIES

- 1) The Lead Agency and the Participating State Agency will each appoint a key contact person for the Race to the Top-Early Learning Challenge grant.
- 2) These key contacts from the Lead Agency and the Participating State Agency will maintain frequent communication to facilitate cooperation under this MOU, consistent with the State Plan and governance structure.
- 3) Lead Agency and Participating State Agency personnel will work together to determine appropriate timelines for project updates and status reports throughout the grant period.
- 4) Lead Agency and Participating State Agency personnel will negotiate in good faith toward achieving the overall goals of the State's Race to the Top-Early Learning Challenge grant, including when the State Plan requires modifications that affect the Participating State Agency, or when the Participating State Agency's Scope of Work requires modifications.

D. STATE RECOURSE IN THE EVENT OF PARTICIPATING STATE AGENCY'S FAILURE TO PERFORM

If the Lead Agency determines that the Participating State Agency is not meeting its goals, timelines, budget, or annual targets, or is in some other way not fulfilling applicable requirements, the Lead Agency will take appropriate enforcement action, which could include initiating a collaborative process by which to attempt to resolve the disagreements between the Lead Agency and the Participating State Agency, or

initiating such enforcement measures as are available to the Lead Agency, under applicable State or Federal law.

III. MODIFICATIONS

This Memorandum of Understanding may be amended only by written agreement signed by each of the parties involved, in consultation with ED.

IV. DURATION

This Memorandum of Understanding shall be effective, beginning with the date of the last signature hereon and, if a Race to the Top- Early Learning Challenge grant is received by the State, ending upon the expiration of the Race to the Top- Early Learning Challenge grant project period.

V. SIGNATURES

Authorized Representative of Lead Agency:

Signature Date

Print Name Title

Authorized Representative of Participating State Agency:

Signature Date

Print Name Title

EXHIBIT I – PARTICIPATING STATE AGENCY SCOPE OF WORK

The Participating State Agency hereby agrees to participate in the State Plan, as described in the State’s application, and more specifically commits to undertake the tasks and activities described in detail below.

Selection Criterion	Participating Party	Type of Participation
<i>Example Row— shows an example of criterion (B)(1) for the State agency that oversees state-funded preschool, IDEA, and Head Start Collab Office</i>	<ul style="list-style-type: none"> • <i>State-funded preschool</i> • <i>IDEA preschool special ed</i> • <i>Head Start Collab Office</i> 	<i>Representatives from each program are sitting on the state committee to define statewide QRIS program standards</i>
	<ul style="list-style-type: none"> • <i>Head Start Collab Office</i> 	<i>Responsible for crosswalking Head Start performance standards with the new Program Standards</i>
(B)(1)		
(B)(2)		
(B)(3)		
(B)(4)		
(B)(5)		
(C)(1)		
(C)(2)		
(C)(3)		
(C)(4)		
(D)(1)		
(D)(2)		
(E)(1)		
(E)(2)		

 Signature (*Authorized Representative of Lead Agency*) Date

 Signature (*Authorized Representative of Participating State Agency*) Date

XIV. SCORING RUBRIC

I. Introduction

To help ensure inter-reviewer reliability and transparency for the RTT-ELC applicants, ED and HHS have created and are publishing a rubric for scoring State applications. The pages that follow detail the rubric and allocation of point values that reviewers will be using. The rubric will be used by reviewers to ensure consistency across and within review panels.

The rubric allocates points to each criterion. In all, the RTT-ELC scoring rubric includes 17 selection criteria and two competitive preference priorities. These collectively add up to 300 points. The selection criteria are divided into two sections: Core Areas and Focused Investment Areas.

- Applicants must respond to all of the selection criteria within each of the two Core Areas: (A) Successful State Systems and (B) High-Quality, Accountable Programs.
- Applicants have more flexibility within each of the Focused Investment Areas: (C) Promoting Early Learning and Development Outcomes for Children; (D) A Great Early Childhood Education Workforce; and (E) Measuring Outcomes and Progress. In these sections, applicants may select which selection criteria to address, focusing on those that the State believes will have the most impact on school readiness for its Children with High Needs, given that State's context and the current status of its early learning and development activities. The Focused Investment Areas must be addressed as follows.

Focused Investment Areas

- The applicant must select and address--
 - At least two selection criteria from Focused Investment Area (C) Promoting Early Learning and Development Outcomes for Children; and
 - At least one selection criterion each from Focused Investment Areas (D) A Great Early Childhood Education Workforce and (E) Measuring Outcomes and Progress.
- Each Focused Investment Area (C), (D), and (E) is worth a specific number of points; these points will be evenly divided across the selection criteria that the applicant chooses to address in that section.

Priorities

Applicants address the absolute priority throughout their applications; they do not write separately to this priority. The absolute priority must be met in order for an applicant to receive funding.

Applications that choose to address a competitive preference priority will earn extra points under that priority if the reviewers determine that the response is of high quality. Applicants may choose to write to invitational priorities to extend the scope of the application; applicants are invited to address these and may apply funds from this grant to implement activities under them, but do not earn additional points for doing so.

Reviewers will be required to make thoughtful judgments about the quality of the State's application and will be assessing, based on the criteria, the comprehensiveness, feasibility, and likely impact of the State's application. Reviewers will also be asked to evaluate, for example, the extent to which the State has set ambitious but achievable annual targets in its application. Reviewers will also need to make informed judgments about the State's goals, the rationales for the Focused Investment Areas, the activities the State has chosen to undertake, and the timelines and credibility of the State's plans.

This appendix includes information about the point values for each criterion and priority, guidance on scoring, and the rubric that we will provide to reviewers.

II. Points Overview

The chart below shows the maximum number of points that are assigned to each criterion.

	Points Available	Percent
Race to the Top-Early Learning Challenge: Points Overview		
A. Successful State Systems		
(A)(1) Demonstrating past commitment to early learning and development.	20	
(A)(2) Articulating the State's rationale for its early learning and development reform agenda and goals.	20	
(A)(3) Aligning and coordinating work across the State	10	
(A)(4) Developing a budget to implement and sustain the work	15	
Core Area A Subtotal	65	23
B. High-Quality, Accountable Programs		
(B)(1) Developing and adopting a common, statewide Tiered Quality Rating and Improvement System	10	
(B)(2) Promoting participation in the State's Tiered Quality Rating and Improvement System	15	
(B)(3) Rating and monitoring Early Learning and Development Programs	15	
(B)(4) Promoting access to high-quality Early Learning and Development Programs	20	
(B)(5) Validating the State's Tiered Quality Rating and Improvement System	15	
Core Area B Subtotal	75	27
C. Promoting Early Learning and Development Outcomes for Children		
(C)(1) Developing and using statewide, high-quality Early Learning and Development Standards	60 (divided evenly across the criteria addressed)	
(C)(2) Supporting effective uses of Comprehensive Assessment Systems		
(C)(3) Identifying and addressing health, behavioral, and developmental needs		
(C)(4) Engaging and supporting families		
Focused Investment Area C Subtotal	60	21

	Points Available	Percent
Race to the Top-Early Learning Challenge: Points Overview		
D. A Great Early Childhood Education Workforce		
(D)(1) Developing Workforce Knowledge and Competency Framework and a progression of credentials	40 (divided evenly across the criteria addressed)	
(D)(2) Supporting Early Childhood Educators		
Focused Investment Area D Subtotal	40	14
E. Measuring Outcomes and Progress		
(E)(1) Understanding the status of children at kindergarten entry	40 (divided evenly across the criteria addressed)	
(E)(2) Building or enhancing an early learning data system		
Focused Investment Area E Subtotal	40	14
Total Points Available for Selection Criteria	280	
Competitive Priority 2: Including all Early Learning and Development Programs in the TQRIS	10	
Competitive Priority 3: Understanding status of learning and development at Kindergarten Entry	10	
Grand Total	300	

III. About Scoring

General Notes about Scoring

There are two terms that we use repeatedly in the notice: High-Quality Plan and “ambitious yet achievable” goals or targets. These are anchor terms for both applicants to understand and reviewers to use in guiding their scoring. We discuss each below.

- *A High-Quality Plan.* In determining the quality of a State’s plan for a given selection criterion or competitive preference priority, reviewers will assess the extent to which the plan meets the definition (as provided in the notice) of a High-Quality Plan, including whether it is feasible and has a high probability of successful implementation and contains the following components--
 - (a) The key goals;
 - (b) The key activities to be undertaken; the rationale for the activities; and, if applicable, where in the State the activities will be initially implemented, and where and how they will be scaled up to achieve statewide implementation;
 - (c) A realistic timeline, including key milestones, for implementing each key activity;

- (d) The party or parties responsible for implementing each activity and other key personnel assigned to each activity;
- (e) Appropriate financial resources to support successful implementation of the plan;
- (f) The information requested as supporting evidence, if any, together with any additional information the State believes will be helpful to peer reviewers in judging the credibility of the plan;
- (g) The information requested in the performance measures, where applicable;
- (h) How the State will address the needs of the different types of Early Learning and Development Programs, if applicable; and
- (i) How the State will meet the needs of Children with High Needs, as well as the unique needs of special populations of Children with High Needs.

Using the information provided to them in the application, reviewers will assess the extent to which the proposed plan in a specific selection criterion is a High-Quality Plan that is credible, feasible to implement, and likely to result in the outcomes the State has put forward.

- *Ambitious yet achievable.* In determining whether a State has ambitious yet achievable goals or targets for a given selection criterion, reviewers will examine the State’s goals or targets in the context of the State’s plan and the evidence submitted (if any) in support of the plan. Reviewers will not be looking for any specific targets nor will they necessarily reward higher targets above lower ones with higher scores. Rather, reviewers will reward States for developing goals and targets that, in light of each State’s plan and the current context and status of the work in that State, are shown to be “ambitious yet achievable.”

About Assigning Points

Reviewers will assign points to an application for each selection criterion in Core Areas (A) and (B) and for each selection criterion that the State has chosen to address within Focused Investment Areas (C), (D), and (E). Reviewers will also assign points to the competitive preference priorities. Points for a selection criterion or priority (e.g., (B)(4) or Priority 2) are assigned by reviewers for the totality of the applicant's response; that is, reviewers need not divide the total available points equally across the sub-criteria.

There are two scoring rubrics to guide reviewers when awarding points:

- The Quality Rubric, which provides guidance on how to allocate points for high-, medium-, and low-quality responses to specified selection criteria; and
- The Quality and Implementation Rubric, which provides guidance on how to allocate points for selection criteria and competitive preference priority two where reviewers are assessing the quality of both plans and existing implementation.

The chart below indicates which rubric the State will use for each criterion or competitive preference priority.

Race to the Top-Early Learning Challenge: Rubric Table	Points Available	Type of Rubric Used
A. Successful State Systems		

Race to the Top-Early Learning Challenge: Rubric Table	Points Available	Type of Rubric Used
(A)(1) Demonstrating past commitment to early learning and development.	20	Quality
(A)(2) Articulating the State's rationale for its early learning and development reform agenda and goals.	20	Quality
(A)(3) Aligning and coordinating work across the State	10	Quality and Implementation
(A)(4) Developing a budget to implement and sustain the work	15	Quality
Core Area A Subtotal	65	
B. High-Quality, Accountable Programs		
(B)(1) Developing and adopting a common, statewide Tiered Quality Rating and Improvement System	10	Quality and Implementation
(B)(2) Promoting participation in the State's Tiered Quality Rating and Improvement System	15	Quality and Implementation
(B)(3) Rating and monitoring Early Learning and Development Programs	15	Quality and Implementation
(B)(4) Promoting access to high-quality Early Learning and Development Programs	20	Quality and Implementation
(B)(5) Validating the State's Tiered Quality Rating and Improvement System	15	Quality
Core Area B Subtotal	75	
C. Promoting Early Learning and Development Outcomes for Children		
(C)(1) Developing and using statewide, high-quality Early Learning and Development Standards	60 (divided evenly across criteria addressed)	Quality and Implementation
(C)(2) Supporting effective uses of Comprehensive Assessment Systems		
(C)(3) Identifying and addressing health, behavioral, and developmental needs		
(C)(4) Engaging and supporting families		
Focused Investment Area C Subtotal	60	
D. A Great Early Childhood Education Workforce		
(D)(1) Developing Workforce Knowledge and Competency Framework and a progression of credentials	40 (divided evenly across criteria addressed)	Quality and Implementation
(D)(2) Supporting Early Childhood Educators		
Focused Investment Area D Subtotal	40	
E. Measuring Outcomes and Progress		
(E)(1) Understanding the status of children at kindergarten entry	40 (divided evenly across criteria addressed)	Quality and Implementation
(E)(2) Building or enhancing an early learning data system		
Focused Investment Area E Subtotal	40	
Total Points Available for Selection Criteria	280	
Competitive Priority 2: Including all Early Learning and Development Programs in the TQRIS	10	Quality and Implementation

Race to the Top-Early Learning Challenge: Rubric Table	Points Available	Type of Rubric Used
Competitive Priority 3: Understanding the status of children at kindergarten entry	10	Addressed in Table (A)(1)-12 or in selection criterion (E)(1)
Grand Total	300	

Quality Rubric

The following scoring rubric will be used to guide the reviewers in scoring selection criteria governed by the Quality Rubric. (See “General Notes about Scoring” for more information about how reviewers will assess High-Quality Plans and “ambitious yet achievable” targets and goals.)

	Percentage of Available Points Awarded
High-quality response	80-100%
Medium/high-quality response	50-80%
Medium/low-quality response	20-50%
Low-quality response	0-20%

Quality and Implementation Rubric

This scoring rubric provides guidance on how to allocate points for selection criteria and Competitive Preference Priority 2 where reviewers are assessing both plans and existing implementations. In reviewing the elements for each selection criterion, reviewers will need to consider the degree of implementation; more points are awarded for implementation efforts in the implementation phase than those that are in the planning stages, and more points are awarded for efforts where implementation is complete or closer to completion. When evaluating the degree of implementation, reviewers will consider:

- The extent to which each element in the selection criterion is implemented in the State;
- The extent to which the State has implemented each element across different types of Early Learning and Development Programs, if applicable; and
- The extent to which the State has implemented each element across the State’s special populations of Children with High Needs, if applicable.

The reviewers will also need to make a determination about the quality of the response to each element. High-quality responses are rewarded over low-quality responses. Therefore, elements that are fully implemented with high quality are rewarded over plans that are of fully implemented but of lower quality. (See “General Notes About Scoring” for more information about how reviewers will assess High-Quality Plans and “ambitious yet achievable” targets and goals.) The chart below shows how points will be awarded.

	Not or Minimally Implemented	Partially Implemented	Substantially or Fully Implemented
High-quality response	40-60%	60-80%	80-100%
Medium-quality response	1-40%	10-60%	20-80%
Low-quality response	0%	0-10%	0-20%

About Priorities

There are three types of priorities in the RTT-ELC competition.

- Applicants should address the absolute priority across the entire application and should not address it separately. It will be assessed by reviewers after they have fully reviewed and evaluated the entire application, to ensure that the application has met the priority. If an application has not met the priority, it will be eliminated from the competition. A State meets the absolute priority if a majority of reviewers determines that the State has met the absolute priority.
- The competitive preference priorities earn points in a manner similar to selection criteria.
 - Competitive Preference Priority 2 is worth up to 10 points and will be assessed using the Quality and Implementation Rubric.
 - Competitive Preference Priority 3 is worth 10 points; all 10 points are earned if the competitive preference priority is met. A State will earn competitive preference priority points if a majority of reviewers determines that the State has met the competitive preference priority. No points are earned if a majority of reviewers determine that the applicant has not met the competitive preference priority. A State meets the competitive preference priority for—
 - Demonstrating , by verifying that all elements in Table (A)(1)-12 have been met, that the State has already implemented a Kindergarten Entry Assessment that meets selection criterion (E)(1); or
 - Writing to selection criterion (E)(1) and earning a score of at least 70 percent of the maximum points available for that criterion.
- The invitational priorities are addressed in their own separate sections. While applicants are invited to write to the invitational priorities, these will not earn points.

In the Event of a Tie

If two or more applications have the same score and there is not sufficient funding to support all of the tied applicants, the applicants' overall scores on Core Area (B) will be used to break the tie

XV. APPLICATION SUBMISSION PROCEDURES

Please note that you must follow the Application Procedures as described in the Federal Register notice announcing the grant competition.

Submission Information and Deadline.

Applications for grants under this competition must be submitted by mail or hand delivery. The Departments strongly recommends the use of overnight mail. Applications postmarked on the deadline date but arriving late will not be read.

The deadline for submission of applications is October 19, 2011.

Application Submission Format.

The Secretaries strongly request the applicant to limit the application text narrative to no more than 150 pages and limit appendices to no more than 150 pages. A "page" is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides. Line spacing for the narratives is set to 1.5 spacing, and the font used is 12 point Times New Roman. Each page in the application should have a page number. The Secretaries strongly requests that applicants follow the recommended page limits, although the Secretaries will consider applications of greater length.

Applications for grants under this competition must be submitted in electronic format on a CD or DVD, with CD-ROM or DVD-ROM preferred. In addition, applicants must submit a signed paper original of section IV of the application and one copy of that signed original. Autopen, copies, .PDFs (Adobe Portable Document Format), and faxed copies of signature pages are not acceptable originals. Section IV of the application includes the Application Assurances and Certifications.

We strongly request the applicant to submit a CD or DVD of its application that includes the following files:

1. A single file that contains the body of the application, including required budget tables, that has been converted into a .PDF (Portable Document) format so that the .PDF is searchable. Note that a .PDF created from a scanned document will not be searchable.

2. A single file in a .PDF format that contains all of the required signature pages. The signature pages may be scanned and turned into a PDF.

3. Copies of the completed electronic budget spreadsheets with the required budget tables, which should be in a separate file from the body of the application. The spreadsheets will not be reviewed by peer reviewers but will be used by the Departments for budget reviews.

Each of these items must be clearly labeled with the State's name and any other relevant identifying information. States must not password-protect these files.

We must receive all grant applications by 4:30:00 p.m., Washington, DC time, on the application deadline date. ***We will not accept an application for this competition after 4:30:00 p.m., Washington, DC time, on the application deadline date.*** Therefore, we strongly recommend that applicants arrange for mailing or hand delivery of their application in advance of the application deadline date.

Submission of Applications by Mail.

States choosing to submit their application (*i.e.*, the CD or DVD, the signed paper original of section IV of the application, and the copy of that original) by mail (either through the U.S. Postal Service or a commercial carrier) should use the following mailing address:

U.S. Department of Education
Application Control Center
Attention: (CFDA Number 84.412)
LBJ Basement Level 1
400 Maryland Avenue, SW.
Washington, DC 20202-4260

We must receive applications on or before the application deadline date. Therefore, to avoid delays, we strongly recommend sending applications via overnight mail. ***If we receive an application after the application deadline, we will not consider that application.***

Submission of Applications by Hand Delivery.

States choosing to submit their application (*i.e.*, the CD or DVD, the signed paper original of section IV of the application, and the copy of that original) by hand delivery (including via a courier service) should use the following address:

U.S. Department of Education
Application Control Center
Attention: (CFDA Number 84.412)
550 12th Street, SW.
Room 7041, Potomac Center Plaza
Washington, DC 20202-4260

The Application Control Center accepts hand deliveries daily between 8:00 a.m. and 4:30:00 p.m., Washington, DC time, except Saturdays, Sundays, and Federal holidays.

If we receive an application after the application deadline, we will not consider that application.

Envelope Requirements and Receipt.

When an applicant submits its application, whether by mail or hand delivery--

(1) It must indicate on the envelope that the CFDA number of the competition under which it is submitting its application is 84.412; and

(2) The Application Control Center will mail to the applicant a notification of receipt of the grant application. If the applicant does not receive this notification, it should call the Application Control Center at (202) 245-6288.

In accordance with 34 CFR 75.216(b) and (c), an application will not be evaluated for funding if the applicant does not comply with all of the procedural rules that govern the submission of the application or the application does not contain the information required under the program.

XVI. APPLICATION CHECKLIST

Please use the following checklist to ensure that your application is complete:

Formatting Recommendations (page 11)

- Are all the pages 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides?
- Are all pages numbered?
- Is the line spacing for the narratives set to 1.5 spacing, and the font to 12 point Times New Roman?

Application Assurances and Certifications (page 20)

- Is all of the requested information included on the Race to the Top–Early Learning Challenge Application Assurances and Certifications page?
- SIGNATURE REQUIRED** – Has the Governor or his/her authorized representative signed and dated the Application Assurances and Certifications?
- SIGNATURE REQUIRED** – Has an authorized representative from the Lead Agency signed the Application Assurances and Certifications?
SIGNATURE REQUIRED -- Has an authorized representative from each Participating State Agency signed the Application Assurances and Certifications? (Note: all Participating State Agencies must sign the application. See definition of Participating State Agency, page 17)

State Attorney General Certification (page 22)

- SIGNATURE REQUIRED** – Has the State Attorney General or his/her authorized representative signed the Certifications?

Accountability, Transparency, Reporting, and Other Assurances and Certifications (page 23)

- SIGNATURE REQUIRED** – Has the Governor or his/her authorized representative signed the other Assurances and Certifications?

Eligibility Requirements (page 24)

- Has the State Provided a list of the Participating State Agencies?
- Has the State completed an MOU with each Participating State Agency?
- Does each MOU include the necessary assurances?
- SIGNATURE REQUIRED** – Has every Participating State Agency signed an MOU that includes a preliminary Scope of Work, using Exhibit I or an equivalent model?
- SIGNATURE REQUIRED** – Has the Lead Agency counter-signed every MOU and preliminary Scope of Work?
- Has the State certified that it has an operational State advisory council that meets the necessary requirements?
- Has the State certified that it is participating in the home visiting program, consistent with the requirement on page 25?

Selection Criteria**Core Areas (page 26)****(A) Successful State Systems and (B) High-Quality, Accountable Programs**

- Has the State responded to each of the selection criteria in Core Areas (A) and (B)?

Focused Investment Areas**(C) Promoting Early Learning and Development Outcomes for Children (page 56)**

- Has the State responded to at least two of the selection criteria in section (C)?

(D) A Great Early Childhood Education Workforce (page 64)

- Has the State responded to at least one of the selection criteria in (D)?

(E) Measuring Outcomes and Progress (page 68)

- Has the State responded to at least one of the selection criteria in (E)?

OPTIONAL: Competition Priorities (page 71)

- Competitive Preference Priority 2: Including all Early Learning and Development Programs in the Tiered Quality Rating and Improvement System, if the State has chosen to respond.
- Competitive Preference Priority 3: Understanding the Status of Children's Learning and Development at Kindergarten Entry, if the State has chosen to respond.
 - If yes, has the State provided the necessary information in Table (A)(1)-12 or written to (E)(1)?
- Invitational Priority 4: Sustaining Program Effects in the Early Elementary Grades
- Invitational Priority 5: Encouraging Private-Sector Support

Budget (page 75)

- Has the State completed the following elements of the Budget?
 - Budget Part I: Summary Tables and Narratives
 - Budget Part II: Participating State Agency Budget Tables and Narratives, for each Participating State Agency
 - Indirect Costs form
- Has the State created its budget spreadsheets?

Appendix (page 117)

- Has the State created a table of contents for its appendix?
- Has the State included all required documents per the instructions in the application?
- OPTIONAL: Has the State included supporting information the State believes will be helpful to peer reviewers?

Application Requirements (page 92)

- Has the State fulfilled all of the application requirements?

Application Submission Procedures (page 111)

- Has the State complied with the submission format requirements, including the application deadline for submission?
- Has the State submitted a single .PDF file of the entire application that was created in a format that is searchable? Note that a .PDF created from a scanned document will not be searchable.
- Has the State submitted originals of all the required Signature pages?
- Has the State submitted its budget spreadsheets?

XVII. Intergovernmental Review of Federal Programs (Executive Order 12372)

This program falls under the rubric of Executive Order 12372 (Intergovernmental Review of Federal Programs) and the regulations in 34 CFR Part 79. One of the objectives of the Executive order is to strengthen federalism--or the distribution of responsibility between localities, States, and the Federal government--by fostering intergovernmental partnerships. This idea includes supporting processes that State or local governments have devised for coordinating and reviewing proposed Federal financial grant applications.

The process for doing this requires grant applicants to contact State Single Points of Contact for information on how this works.

Further information about the State Single Point of Contact (SPOC) process and a list of names by State can be found at: www.whitehouse.gov/omb/grants_spoc

Absent specific State review programs, applicants may submit comments directly to the Department. All recommendations and comments must be mailed or hand-delivered by the date indicated in the actual application notice to the following address: The Secretary, EO 12372--CFDA# 84.412, U.S. Department of Education, room 7E200. 400 Maryland Avenue, SW., Washington, DC 20202.

Proof of mailing will be determined on the same basis as applications (see 34 CFR §75.102). Recommendations or comments may be hand-delivered until 4:30 p.m. (eastern time) on the closing date indicated in the notice.

Important note: The above address is not the same address as the one to which the applicant submits its completed applications. **Do not send applications to the above address.**

Not all States have chosen to participate in the intergovernmental review process, and therefore do not have a SPOC. If you are located in a State that does not have a SPOC, you may send application materials directly to the Department as described in the *Federal Register* notice.