

**U.S. Department of Education**  
Washington, D.C. 20202-5335



**APPLICATION FOR GRANTS  
UNDER THE**

**Preschool Development Grants - Development**

**CFDA # 84.419A**

**PR/Award # S419A150014**

**Grants.gov Tracking#: GRANT11769466**

OMB No. 1810-0717, Expiration Date: 02/28/2015

Closing Date: Oct 24, 2014

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This application was generated using the PDF functionality. The PDF functionality automatically numbers the pages in this application. Some pages/sections of this application may contain 2 sets of page numbers, one set created by the applicant and the other set created by e-Application's PDF functionality. Page numbers created by the e-Application PDF functionality will be preceded by the letter e (for example, e1, e2, e3, etc.).

Non Responsive

**Application for Federal Assistance SF-424**

* 1. Type of Submission: <input type="checkbox"/> Preapplication <input checked="" type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application	* 2. Type of Application: <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision	* If Revision, select appropriate letter(s): <input type="text"/> * Other (Specify): <input type="text"/>
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* 3. Date Received: <input type="text" value="10/23/2014"/>	4. Applicant Identifier: <input type="text"/>
--	--

5a. Federal Entity Identifier: <input type="text"/>	5b. Federal Award Identifier: <input type="text"/>
--	---

**State Use Only:**

6. Date Received by State: <input type="text"/>	7. State Application Identifier: <input type="text"/>
---	---

**8. APPLICANT INFORMATION:**

* a. Legal Name: <input type="text" value="Alabama Department of Children's Affairs"/>	
* b. Employer/Taxpayer Identification Number (EIN/TIN): <input type="text" value="636000619"/>	* c. Organizational DUNS: <input type="text" value="0278458380000"/>

**d. Address:**

* Street1: <input type="text" value="P. O. Box 2755"/>
Street2: <input type="text" value="135 South Union Street, Suite 215"/>
* City: <input type="text" value="Montgomery"/>
County/Parish: <input type="text"/>
* State: <input type="text" value="AL: Alabama"/>
Province: <input type="text"/>
* Country: <input type="text" value="USA: UNITED STATES"/>
* Zip/Postal Code: <input type="text" value="36130-2755"/>

**e. Organizational Unit:**

Department Name: <input type="text" value="Children's Affairs"/>	Division Name: <input type="text" value="Office of School Readiness"/>
--	--

**f. Name and contact information of person to be contacted on matters involving this application:**

Prefix: <input type="text"/>	* First Name: <input type="text" value="Susan"/>
Middle Name: <input type="text"/>	
* Last Name: <input type="text" value="McKittrick"/>	
Suffix: <input type="text"/>	
Title: <input type="text" value="Director"/>	

Organizational Affiliation: <input type="text"/>
--

* Telephone Number: <input type="text" value="334-353-2709"/>	Fax Number: <input type="text"/>
---	----------------------------------

* Email: <input type="text" value="susan.mckittrick@dca.alabama.gov"/>
--

**Application for Federal Assistance SF-424**

**\* 9. Type of Applicant 1: Select Applicant Type:**

A: State Government

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

\* Other (specify):

**\* 10. Name of Federal Agency:**

U.S. Department of Education

**11. Catalog of Federal Domestic Assistance Number:**

S4.419

CFDA Title:

Preschool Development Grants

**\* 12. Funding Opportunity Number:**

ED-GRANTS-102314-001

\* Title:

Office of Elementary and Secondary Education (OESE): Preschool Development Grants: Development Grants CFDA Number: S4.419A

**13. Competition Identification Number:**

S4 419A2015 1

Title:

**14. Areas Affected by Project (Cities, Counties, States, etc.):**

map of High Need Communities [Compatibility]

[Add Attachment](#)

[Delete Attachment](#)

[View Attachment](#)

**\* 15. Descriptive Title of Applicant's Project:**

Alabama's First Class Preschool Development

Attach supporting documents as specified in agency instructions.

[Add Attachments](#)

[Delete Attachments](#)

[View Attachments](#)

**Application for Federal Assistance SF-424**

**16. Congressional Districts Of:**

\* a. Applicant

\* b. Program/Project

Attach an additional list of Program/Project Congressional Districts if needed.

**17. Proposed Project:**

\* a. Start Date:

\* b. End Date:

**18. Estimated Funding (\$):**

* a. Federal	<input type="text" value="17,500,000.00"/>
* b. Applicant	<input type="text" value="(b)(4)"/>
* c. State	
* d. Local	
* e. Other	
* f. Program Income	
* g. TOTAL	

**\* 19. Is Application Subject to Review By State Under Executive Order 12372 Process?**

- a. This application was made available to the State under the Executive Order 12372 Process for review on .
- b. Program is subject to E.O. 12372 but has not been selected by the State for review.
- c. Program is not covered by E.O. 12372.

**\* 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)**

Yes  No

If "Yes", provide explanation and attach

**21. \*By signing this application, I certify (1) to the statements contained in the list of certifications\*\* and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances\*\* and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)**

\*\* I AGREE

\*\* The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

**Authorized Representative:**

Prefix:  \* First Name:   
Middle Name:   
\* Last Name:   
Suffix:

\* Title:

\* Telephone Number:  Fax Number:

\* Email:

\* Signature of Authorized Representative:  \* Date Signed:



## ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

**NOTE:** Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee- 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.



9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333), regarding labor standards for federally-assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.
19. Will comply with the requirements of Section 106(g) of the Trafficking Victims Protection Act (TVPA) of 2000, as amended (22 U.S.C. 7104) which prohibits grant award recipients or a sub-recipient from (1) Engaging in severe forms of trafficking in persons during the period of time that the award is in effect (2) Procuring a commercial sex act during the period of time that the award is in effect or (3) Using forced labor in the performance of the award or subawards under the award.

<b>SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL</b>  <input type="text" value="Susan McKitt"/>	<b>TITLE</b>  <input type="text" value="Commissioner"/>
<b>APPLICANT ORGANIZATION</b>  <input type="text" value="Alabama Department of Children's Affairs"/>	<b>DATE SUBMITTED</b>  <input type="text" value="10/23/2014"/>

Standard Form 424B (Rev. 7-97) Back

# DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C.1352

Approved by OMB  
0348-0046

<b>1. * Type of Federal Action:</b> <input type="checkbox"/> a. contract <input checked="" type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	<b>2. * Status of Federal Action:</b> <input type="checkbox"/> a. bid/offer/application <input checked="" type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	<b>3. * Report Type:</b> <input checked="" type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change
--	--	--

**4. Name and Address of Reporting Entity:**  
 Prime     SubAwardee

\* Name:   
\* Street 1:     Street 2:   
\* City:     State:     Zip:   
Congressional District, if known:

<b>6. * Federal Department/Agency:</b> <input type="text" value="NA"/>	<b>7. * Federal Program Name/Description:</b> <input type="text" value="Economic Development Grants"/> CFDA Number, if applicable: <input type="text" value="84.419"/>
---	--

<b>8. Federal Action Number, if known:</b> <input type="text"/>	<b>9. Award Amount, if known:</b> \$ <input type="text"/>
--	--

**10. a. Name and Address of Lobbying Registrant:**

Prefix:     \* First Name:     Middle Name:   
\* Last Name:     Suffix:   
\* Street 1:     Street 2:   
\* City:     State:     Zip:

**b. Individual Performing Services** (including address if different from No. 10a)

Prefix:     \* First Name:     Middle Name:   
\* Last Name:     Suffix:   
\* Street 1:     Street 2:   
\* City:     State:     Zip:

**11.** Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when the transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

\* Signature:   
\* Name: Prefix:     \* First Name:     Middle Name:   
\* Last Name:     Suffix:   
Title:     Telephone No.:     Date:

<b>Federal Use Only:</b>	Authorized for Local Reproduction Standard Form - LLL (Rev. 7-97)
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PR/Award # S419A150014

## NOTICE TO ALL APPLICANTS

The purpose of this enclosure is to inform you about a new provision in the Department of Education's General Education Provisions Act (GEPA) that applies to applicants for new grant awards under Department programs. This provision is Section 427 of GEPA, enacted as part of the Improving America's Schools Act of 1994 (Public Law (P.L.) 103-382).

### To Whom Does This Provision Apply?

Section 427 of GEPA affects applicants for new grant awards under this program. **ALL APPLICANTS FOR NEW AWARDS MUST INCLUDE INFORMATION IN THEIR APPLICATIONS TO ADDRESS THIS NEW PROVISION IN ORDER TO RECEIVE FUNDING UNDER THIS PROGRAM.**

(If this program is a State-formula grant program, a State needs to provide this description only for projects or activities that it carries out with funds reserved for State-level uses. In addition, local school districts or other eligible applicants that apply to the State for funding need to provide this description in their applications to the State for funding. The State would be responsible for ensuring that the school district or other local entity has submitted a sufficient section 427 statement as described below.)

### What Does This Provision Require?

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted program for students, teachers, and other program beneficiaries with special needs. This provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. Based on local circumstances, you should determine whether these or other barriers may prevent your students, teachers, etc. from such access or participation in the Federally-funded project or activity. The description in your application of steps to be taken to overcome these barriers need not be lengthy; you may provide a clear and succinct

description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for Federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use the Federal funds awarded to it to eliminate barriers it identifies.

### What are Examples of How an Applicant Might Satisfy the Requirement of This Provision?

The following examples may help illustrate how an applicant may comply with Section 427.

(1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.

(2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audio tape or in braille for students who are blind.

(3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it intends to conduct "outreach" efforts to girls, to encourage their enrollment.

We recognize that many applicants may already be implementing effective steps to ensure equity of access and participation in their grant programs, and we appreciate your cooperation in responding to the requirements of this provision.

### Estimated Burden Statement for GEPA Requirements

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. Public reporting burden for this collection of information is estimated to average 1.5 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The obligation to respond to this collection is required to obtain or retain benefit (Public Law 103-382). Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, 400 Maryland Ave., SW, Washington, DC 20210-4537 or email [ICDocketMgr@ed.gov](mailto:ICDocketMgr@ed.gov) and reference the OMB Control Number 1894-0005.

**Optional - You may attach 1 file to this page.**

GEPA 427 Statement.pdf

Delete Attachment

View Attachment

## **GEPA 427 Statement**

The Alabama Department of Children's Affairs (DCA) will address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in preschool programs. It is our goal that all children have positive educational outcomes, perform to their greatest potential, and become successful adults. Historically, there are two prominent equity issues that relate to this grant proposal: race and disability.

The GEPA statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. All the programs strategies and curricula are inspected for these barriers, especially the barriers of race and national origin. To the extent that these population groups may be found to be underrepresented in specific program, course, or activity, the department proactively seeks to eliminate any possible barriers to equal access and treatment. As described in the following, our plan of operation ensures that these and other possible barriers to equal access and treatment are eliminated for traditionally underrepresented groups and individuals.

### **Elimination of Possible Disability Barriers**

We have a commitment to ensure equal access and treatment to students with disabilities, and every effort is made to ensure the elimination of possible disability barriers within the preschool programs, curriculum and activities. This strictly adheres to the provisions outlined in the Americans with Disabilities Act, as well as to the anti-discrimination policy that specifically states that no person shall be discriminated against due to a disability.

A qualified special education consultant will be used in planning all grant activities. This individual will be responsible for ensuring that the program model is implemented with respect to the inclusion of all children with appropriate accommodations in the least restrictive environment.

### **Elimination of Possible Racial Barriers**

We have a commitment to ensure equal access and treatment for students regardless of race, and every effort will be made to ensure all children will have equitable opportunity for participation. A registration system and random selection process will be included in grant activities to promote as much as a socio-economically mixed classroom. Instructional practice, environmental settings and adult-child interactions will be free of ethnic and cultural bias.

## CERTIFICATION REGARDING LOBBYING

### Certification for Contracts, Grants, Loans, and Cooperative Agreements

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than 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 this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

### Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that:

If any 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 this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

#### \* APPLICANT'S ORGANIZATION

Alabama Department of Children's Affairs

#### \* PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE

Prefix:  \* First Name:  Middle Name:

\* Last Name:  Suffix:

\* Title:

\* SIGNATURE:

\* DATE:

## Abstract

The abstract narrative must not exceed one page and should use language that will be understood by a range of audiences. For all projects, include the project title (if applicable), goals, expected outcomes and contributions for research, policy, practice, etc. Include population to be served, as appropriate. For research applications, also include the following:

- Theoretical and conceptual background of the study (i.e., prior research that this investigation builds upon and that provides a compelling rationale for this study)
- Research issues, hypotheses and questions being addressed
- Study design, including a brief description of the sample including sample size, methods, principals dependent, independent, and control variables, and the approach to data analysis.

[Note: For a non-electronic submission, include the name and address of your organization and the name, phone number and e-mail address of the contact person for this project.]

---

## You may now Close the Form

**You have attached 1 file to this page, no more files may be added. To add a different file, you must first delete the existing file.**

\* Attachment:

## **Abstract**

Alabama's Preschool Development Grant application presents a plan to further develop and enhance High-Quality voluntary First Class Pre-K to all children in Alabama. Alabama's ambitious and proven plan for expanding access to High-Quality Preschool Programs has been incrementally developed, implemented and refined since 2000. The Office of School Readiness (a division of the Alabama Department of Children's Affairs) is responsible for identifying potential sites in the state for new preschool programs, for authorizing the establishment of new, High-Quality Preschool Programs, and for supporting and monitoring pre-k programs throughout the state. These programs are known as First Class Pre-K and have established guidelines, operating procedures, and quality standards that are regularly monitored to promote student success. Participation in Alabama's First Class Pre-K program is voluntary. Services and programs are delivered in a variety of settings, with diverse partner agencies, while maintaining consistent, high quality standards. Alabama's First Class Pre-K program is nationally recognized for quality by the National Institute for Early Learning Research (NIEER). For the past eight years (2006-2014) Alabama First Class Pre-K has met all of the National Institute for Early Learning Research (NIEER) benchmarks for quality standards, and in 2014 Alabama was one of only four states in the country to receive this distinction.

Alabama Governor Robert Bentley has provided unparalleled support for High-Quality Pre-K, and it is his foremost education priority. The addition of funds from the Preschool Development Grant will enable the Office of School Readiness to significantly increase access to High-Quality Preschool Programs in the communities of Alabama with the greatest need through an achievable and proven plan. Alabama's goal of access to High-Quality preschool for all four-year-old children has always been and remains an ambitious one—access and highest quality for all.

A needs assessment conducted to identify the High-Need Communities in Alabama determined the 23 counties with the highest level of need when ranked with these criteria: percentage of Eligible Children, percentage of four-year-olds being served in pre-k, graduation rate, presence of failing school(s), juvenile violence rate, percentage of dual language learners, percentage of single parent families, and retention rates for both first grade and ninth grade. The 23 counties with the highest levels of need were divided into two groups, with higher priority being given to

those with k-12 schools identified as “failing” by the Alabama State Department of Education. The High-Need Communities are a mixture of rural and urban areas and are distributed geographically throughout the state.

Alabama seeks to provide all children the benefits of early learning experiences that have been proven to profoundly influence a child’s success in school and throughout life. A study on the benefits and impact of Alabama First Class Pre-K, begun in November 2013, found:

*Alabama First Class Pre-K students consistently over time and across grades score higher in reading and math than students who did not participate in First Class Pre-K; miss fewer days of school than students who did not participate in First Class Pre-K; are less likely to need special education services than students who did not participate in First Class Pre-K; and are less likely to repeat a grade than students who did not participate in First Class Pre-K.* Additionally, the benefits of First Class Pre-K were even more pronounced for children from low-income families. Reports from the Public Affairs Research Council of Alabama (PARCA) indicated that First Class Pre-K participation closed the achievement gap for lower income students by an average of twenty-five percent (25%) by grade three. . .

According to the 2013 NIEER Yearbook, Alabama is the only state to demonstrate significant growth in access to state-funded pre-k programs while protecting high quality for each First Class Pre-K classroom. Alabama is in its third year of implementing its ambitious strategy to fully fund High-Quality Pre-K for the state’s four-year-old population. Funds from the Preschool Development Grant will accelerate the state’s ability to accomplish its ambitious goal. The Preschool Development Grant will build on Alabama’s progress to date through an ambitious and achievable plan by further developing and enhancing infrastructure and providing greater access to High-Quality Pre-K Programs to Eligible Children in High-Need Communities. . With the support of the Preschool Development Grant, Alabama’s ambitious and achievable goal is to add 400 High-Quality Pre-K classrooms serving 7,200 additional students over the course of the grant, extending access in High-Need Communities. . This will expand the availability of High-Quality Pre-K education in Alabama from 9% of eligible children to 26% by 2018. .



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\* Mandatory Project Narrative File Filename:

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## **Section A. Executive Summary.**

### **(A)(1) Describe the State's progress to date.**

The Alabama Department of Children's Affairs, Office of School Readiness administers First Class Pre-K. This is a most highly acclaimed program and nationally recognized for quality. It is a voluntary, diverse delivery; much sought after early childhood education program of excellence and truly a powerful investment with proven short term and long term benefits. Alabama has an ambitious and achievable plan to expand access to High-Quality Preschool Programs to the many underserved children in High Need Communities. Alabama has been known for many things (football, history of civil rights, etc.), but few people would associate Alabama with one of the best state funded pre-K programs in the USA. *First Class* is Alabama's state funded voluntary pre-K for 4-year-olds. In a state that ranks 50<sup>th</sup> in math for eighth-graders, people are looking for a variety of solutions to an ongoing problem and funding pre-K is at the top of the list. The governor has stated "It is the most important thing we can do in education" (Cason, 2014) and with the legislature, they have acted on their words in recent times by increasing money for *First Class* that has allowed the number of 4-year-olds to participate in state funded pre-K to double in the past two years, however in 2014 nine percent (9%) of four-year old children in the state were served.

Prior to 2000, Alabama had no state-funded pre-k programs. Education programs for four-year-old children in Alabama until 2000 consisted of voluntary participation by families in programs operated by churches, private or commercial daycare facilities, home child care providers, Head Start and a few Title I half-day pre-k programs housed in public schools. .

In May 2000 the Alabama legislature established the Office of School Readiness (OSR) as a division of the Department of Children's Affairs (DCA). Governor Don Siegelman led the formation of the Office of School Readiness to work on the state and local levels to provide high quality early childhood programs. The goal of these programs was to ensure that the children of Alabama would start school ready to learn. Through the collaborative efforts of the Governor's office, the Department of Children's Affairs and several other State agencies, a Pre-Kindergarten Pilot program was established in 2000.

2000 – 2001

Eight counties (DeKalb, Escambia, Hale, Lauderdale, Lee, Mobile, Montgomery and Talladega) were selected as sites for the pilot pre-k programs based upon the existence of successful

collaboration between existing social services, children's health initiatives, and government assistance programs at the local level. Each site submitted a proposal detailing projected outcomes, quality of service potential, health and safety assurances, parental involvement plans and local support pledges. The initial pre-k classes in all eight counties were fully operational by November 2000.

The Alabama Office of School Readiness (OSR) employed two experienced early childhood professionals to provide on-going guidance and training to the selected sites. An advisory committee was formed to assist the OSR in developing the Operating Guidelines for the pre-kindergarten sites. Funding for the pilot programs was provided by the Lucent Technologies Foundation, the Alabama State Departments of Education, the Department of Human Resources, the Alabama Department of Economic and Community Affairs, and donations from private businesses.

2001 – 2002

The eight pilot sites continued operation and 34 new pre-k sites were selected through a competitive grant process during 2001-2002. The 42 pre-kindergarten sites (8 original and 34 new) funded were located in 38 counties and received grants of (b)(4) each. Funding for these grants was obtained from the Alabama State Department of Education, the Alabama Department of Human Resources, and national agencies. The Governor designated an allocation from the Appalachian Regional Commission to fund ( ) of the (b) pre-kindergarten programs.

The newly selected programs met and/or exceeded the following requirements and committed to providing quality early childhood experiences. To qualify, the candidate programs agreed to:

- Accept/serve 18 children who are four years old on or before September 1.
- Provide adequate class space (35 square feet per child).
- Provide accessible water and toilet facilities.
- Provide access to an appropriate playground.
- Employ a certified teacher and qualified teacher assistant (criminal background checks required).
- Base instruction on a curriculum that meets the National Association for the Education of Young Children (NAEYC) guidelines.
- Develop and implement a family enrichment and participation program.

- Demonstrate an ability to provide 175 days of appropriate children’s program of 6.5 hours daily.
- Create a collaborative task force to guide and contribute to the local pre-kindergarten program.

Each site was assigned an OSR technical assistant assigned to offer guidance and to ensure that quality early learning experiences were provided to each child.

2002 - 2003

(b)(4) new pre-k sites were added to the (b) continuation sites for a total of (b) sites in 64 counties by 2003. All new programs were required to meet the established quality guidelines and were provided an OSR Technical Assistant.

2003-2006

Between 2003 and 2006, Alabama’s Pre-K programs remained essentially level-funded and operated successfully during these years. Students and families continued to benefit from the pre-k programs in operation, but additional funding was not available to extend the programs into other areas or to create new classes.

2006-2010

With the leadership of Governor Bob Riley significant additional funding for pre-k expansion was obtained, and support for pre-k programs and teachers was provided by the Department of Children’s Affairs Office of School Readiness (DCA/OSR) (see Table 1). The Alabama School Readiness Alliance (ASRA) led statewide efforts to advocate for increased pre-k funding and in 2007 the high quality state pre-k program adopted the formal name of First Class Pre-K. By the end of 2010, the number of state-funded high quality pre-k classrooms had grown to (b) and (b)(4) of Alabama’s four-year- old students were participating.

**Table 1**

<b>Budget Year</b>	<b>State Appropriation</b>	<b>Number of First Class Pre-K Classrooms</b>	<b>Number of Students in First Class Pre-K</b>	<b>Number of Eligible Children</b>	<b>% of Eligible Children in First Class Pre-K</b>
2005--2006	(b)(4)				
2006--2007					
2007--2008					

2008--2009	(b)(4)
2009--2010	
2010 – 2011*	
2011 – 2012*	
2012 – 2013	
2013 – 2014	

\*It is important to note that during very difficult budget years (2010 – 2012) when states across the nation were cutting their state pre-k funding, Alabama maintained level funding to demonstrate its commitment to high-quality pre-k education.

2013-2014

Current Governor Robert Bentley obtained an increase of (b)(4) in funding for pre-k in the FY14 budget. This appropriation dramatically increased the number of First Class Pre-K programs and the number of students served (an increase from (b) % to (b)). Governor Bentley has secured an additional (b)(4) to continue pre-k program expansion in FY15. Governor Bentley continues to provide unparalleled support for high-quality pre-k, and it is his foremost education priority. The addition of funds from the Preschool Development Grant will enable the Office of School Readiness to significantly increase access to High-Quality Preschool programs in the communities of Alabama with the greatest need. Alabama’s goal of access to high quality preschool for all four-year-old students has always been and remains an ambitious one—access and highest quality preschool for all whose parents choose to participate. With the leadership of our governors, the support of our state legislature, the cooperation of state agencies, departments, and children’s advocacy partners, this ambitious goal is slowly and steadily being achieved. The goal can be achieved much more rapidly with the addition of Preschool Development Grant funds. Targeting Preschool Development Grant funds to establish High-Quality Preschool programs in High-Need Communities will have a significant positive impact on many aspects of life in those communities and on the future of education in Alabama.

**(A)(2) How will Alabama provide High-Quality Preschool Programs in one or more High-Need Communities?**

Alabama has an ambitious and proven plan for expanding access to High-Quality Preschool Programs that has been incrementally developed, implemented and refined since 2000. The

Office of School Readiness (OSR)--a division of the Department of Children's Affairs is responsible for identifying potential sites in the state for new preschool programs, for authorizing the establishment of new, High-Quality Preschool programs, and for supporting and monitoring pre-k programs. These programs are known as First Class Pre-K classes and have established guidelines, operating procedures, and quality standards that are regularly monitored to promote student success. This highly acclaimed program is nationally recognized for quality by the National Institute for Early Learning Research (NIEER). Participation in Alabama's First Class Pre-K program is voluntary. Services and programs are delivered in a variety of settings, with diverse partner agencies, while employing consistent, high-quality standards. For the past eight years (2006-2014) Alabama First Class Pre-K has met all of the National Institute for Early Learning Research (NIEER) benchmarks for quality standards. In 2013-14 First Class Pre-K met all of NIEER's ten quality standards making Alabama one of only four states to meet this level of quality.

The Alabama High-Need Communities to receive First Class Pre-K programs were recently identified by a needs assessment that combined seven characteristics of high-need in the community with the level of available access to a High-Quality Pre-K program. This assessment determined that all of Alabama's 67 counties have factors that would qualify them as High-Need Communities. To determine which counties represented those with the highest needs, all counties were ranked based on:

- percentage of eligible four-year-olds,
- percentage of four-year-olds being served in pre-k,
- high school graduation rate,
- presence of identified K-12 failing school(s),
- juvenile violence rate,
- percentage of English language learners in K-12 public schools,
- percentage of single parent families, and
- Public school retention rates for both first and ninth grade.

Using these criteria, 23 of Alabama's 67 counties were determined to be at greatest risk and have the highest needs. Those 23 counties were further divided into two groups, with priority being given to those with identified failing k-12 public school(s). With the addition of Preschool Development Grant funds, new pre-k classrooms will be funded based on the criteria determined by the needs assessment, with those areas of highest need receiving services first.



**(A)(3) How will Alabama increase number and percentage of eligible children served?**

As of FY 2014, the (b)(7)(A) First Class Pre-K classrooms serve (b)(7)(A) children. This represents (b)(7)(A)% of the 60,665 eligible four-year-old children in Alabama. With sustained levels of state funds and upon receipt of Preschool Development Grant funds, both the number and percentage of children served will increase significantly. Using projected numbers based on available U. S. Census data, Table 2 describes the planned increased access to High-Quality Preschool over the course of the grant period. In addition to increasing access by increasing the number of First Class Pre-K classrooms from (b)(7)(A) to (b)(7)(A) over a four-year period, Preschool Development Grant funds will be used to enhance the quality of existing First Class Pre-K programs. Existing programs will be improved with the addition of high quality professional development for teachers and staff members, providing salaries comparable to those of k-12 teachers, additional program coaches to support instruction, additional monitors to provide oversight and technical assistance, enhanced program materials, longitudinal studies to inform program decision-making, and the distribution of high-quality teaching materials to existing and new classrooms.

**Table 2**

Budget Year	Anticipated State Appropriation Plus Preschool Development Grant Funds.	Projected Number of First Class Pre-K Classrooms	Projected Number of Students in First Class Pre-K	Projected Number of Eligible Children	Projected % of Eligible Children in First Class Pre-K
2013 - 2014	(b)(4)				
2014 - 2015					
2015 - 2016					
2016 - 2017					
2017-2018					
2018-2019					

*\*This number represents (b)(7)(A) classrooms to be funded through additional state funds as well as 100 new classrooms funded through Preschool Development Grant.*

**(A)(4) What are the characteristics of High-Quality Preschool Programs in Alabama?**

Since 2002 high-quality standards for Alabama First Class Pre-K programs have been developed collaboratively by educators, higher education and early childhood program professionals with input from families, practitioners, and family service agency representatives. Nationally

recognized standards and guidelines from the National Association for the Education of Young Children (NAEYC), the National Council of Teachers of Mathematics (NCTM), the National Institute for Early Learning Institute (NIEER), and research studies of effective early childhood practice have informed the decision-making and guided the development of high-quality standards for Alabama First Class Pre-K programs...

Over the last 13 years early childhood professionals and preschool educators from across the state have worked to develop and refine what is now the Alabama First Class Pre-K Framework. This framework incorporates program guidelines, classroom guidelines, early learning standards, professional development, coaching methods and monitoring practices to create a replicable model for high quality pre-k programs. The components of this Framework are listed in Table 3 and serve to guide program development and program operations to ensure that Alabama’s children are prepared for school achievement and lifelong success. When new First Class Pre-K programs are proposed, subgrantees must agree to abide by and incorporate the standards and practices of the Alabama First Class Pre-K Framework through Alabama Pre-K Quality Assurances Contract in order to be considered for an award. Programs are monitored and evaluated using the Framework guidelines and standards to maintain quality and to promote student achievement consistently in all programs...

**Table 3**

<b>Alabama First Class Pre-K Framework</b>		
<b>Resources and Support to Enhance Performance and Learning</b>	<b>Quality Standards</b>	<b>On-going Observation and Authentic, Research-Based Assessment</b>
<ul style="list-style-type: none"> <li>• Differentiated coaching through the Alabama Reflective Coaching Model</li> <li>• Program monitors</li> <li>• Needs-based professional development</li> <li>• Mentor teachers</li> <li>• Agency collaboration</li> </ul>	<ul style="list-style-type: none"> <li>• Credentialed lead and auxiliary teachers</li> <li>• Salaries comparable to K-12 teachers.</li> <li>• Program guidelines</li> <li>• Classroom guidelines</li> <li>• Quality assurances.</li> </ul>	<ul style="list-style-type: none"> <li>• Teaching Strategies GOLD.</li> <li>• ECERS</li> <li>• PPVT and all recommended assessments</li> <li>• Screenings and referrals</li> <li>• CLASS Parent/Teacher Surveys.</li> </ul>

<ul style="list-style-type: none"> <li>• Support for intentionally-designed learning</li> <li>• Inclusive setting with appropriate accommodations for all learners</li> </ul>	<ul style="list-style-type: none"> <li>• Compliance with Alabama Development Standards for Preschool Children</li> <li>• Teacher-pupil ratio of 1:9</li> <li>• Program monitoring</li> <li>• Full-day programs</li> <li>• Screenings and referrals</li> </ul>	<ul style="list-style-type: none"> <li>• Program annual report</li> </ul>
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Alabama seeks to provide all children the benefits of early learning experiences that have been proven to profoundly influence a child’s success in school and throughout life. A study on the benefits and impact of Alabama First Class Pre-K was begun in November 2013 with early reports indicating significant successful educational outcomes. The results from group information provided by the Alabama State Department of Education are outlined in Table 4 below.

**Table 4**

<b>First Class Pre K Student Outcomes</b>
<ul style="list-style-type: none"> <li>• Alabama First Class Pre-K students consistently over time and across grades score higher in reading and math than students who did not participate in First Class Pre-K.</li> </ul>
<ul style="list-style-type: none"> <li>• Alabama First Class Pre-K children consistently over time and across grades miss fewer days of school than students who did not participate in First Class Pre-K.</li> </ul>
<ul style="list-style-type: none"> <li>• Alabama First Class Pre-K students consistently over time and across grades are less likely to need special education services than students who did not participate in First Class Pre-K.</li> </ul>
<ul style="list-style-type: none"> <li>• Alabama First Class Pre-K students consistently over time and across grades and are less likely to repeat a grade than students who did not participate in First Class Pre-K.</li> </ul>
<ul style="list-style-type: none"> <li>• <i>Additionally, the benefits of Alabama First Class Pre-K were even more pronounced for children from low-income families. Reports from the Public.</i></li> </ul>

*Affairs Research Council of Alabama (PARCA) indicated that First Class Pre-K participation closed the achievement gap for lower income students by an average of 25 percent by third grade.*

The Preschool Development Grant would build on the Alabama's progress to date through an ambitious and achievable plan to (1) expand access to our demonstrated quality preschool services by (2) expanding and enhancing program infrastructure and providing greater access to High-Quality Pre-K experiences to children in High-Need Communities.

Consistent use of the Alabama First Class Pre-K Framework with fidelity to operate and monitor classrooms ensures that high-quality preschool standards are being implemented. Data indicate that students in the Alabama First Class Pre-K classes are learning, are entering kindergarten ready for success, and are continuing their achievement as they move through the elementary and subsequent grades.

**(A)(5) How will Alabama set expectations for school readiness?**

Alabama First Class Pre-K classrooms provide full-day programs with credentialed lead and auxiliary teachers. Coaches and monitors provide support to teachers in planning and delivering high quality, age appropriate learning experiences. All teachers have access to Alabama's kindergarten courses of study, high-quality teaching resources, the Alabama First Class Pre-K Framework, and needs-based professional development to enhance their ability to deliver intentionally designed, student-centered learning experiences for all preschool students. School readiness expectations have been as diverse as the number of school districts in the state. There have been efforts in past years to define kindergarten readiness in Alabama. However, a consistent assessment for all Alabama kindergarten programs has not yet been adopted. The Alabama Department of Children's Affairs, Office of School Readiness is piloting the Teaching Strategies GOLD as a Kindergarten Entry Assessment (KEA) for the 2015 school year in 21 school systems and including 13,000 children. This KEA is a tool to collect data about the readiness of children upon entering kindergarten. It is research-based and proven and is being used by other states including Michigan, Massachusetts, and Louisiana to assess preschool learning. As a result of the Preschool Development Funds, OSR will be able to support the United Way of Central Alabama's Bold Goals effort to assess the kindergarten readiness of more than 13,000 kindergarten students in 21 school systems in a five county region representing the largest concentration of Alabama's population. This project includes high poverty and wealthy

school districts in both rural and urban settings. The Bold Goals effort is coordinated through the United Way of Central Alabama and is supported by business, education, and higher education partners.

The Alabama Office of School Readiness is funding KEA assessment opportunities throughout the state and is providing training for kindergarten teachers in the use of the Teaching Strategies GOLD KEA Survey. The KEA will provide teachers and parents with important criterion-based information about a child's learning and development in six domains at the beginning of kindergarten. The Preschool Development Grant will enable this pilot to be extended throughout the state, making it possible to have a consistent measure and reporting system of readiness that aligns with the Teaching Strategies GOLD used for classroom instruction, that provides formative assessment information for teachers, that facilitates longitudinal studies of program results, and that enables evaluation and comparability measures to be consistent in all Alabama First Class Pre-K programs.

**(A)(6) Is there a broad group of stakeholders in Alabama?**

The Office of School Readiness (OSR) was established by the Alabama legislature in May 2000 and operates under the Department of Children's Affairs. A pre-kindergarten pilot program was established at eight pilot sites selected through a grant process. The eight pilot sites were selected based upon successful collaboration between the Governor's office, the Department of Children's Affairs, county social services, children's health agencies, and local childcare service providers. Each site submitted a proposal detailing projected outcomes, quality of service potential, health and safety assurances, parental involvement plans, and local support expected. Initial funding for the pilot program was provided by Lucent Technologies Foundation, the Alabama State Department of Education, the Department of Human Resources, the Alabama Department of Economic and Community Affairs, and donations from private businesses. OSR received additional support from the Alabama State Department of Education, Department of Human Resources, Department of Economic and Community Affairs, the Department of Public Health, Head Start, the Children's Trust Fund, the Business Council of Alabama, private businesses and foundations, licensed child care providers, and public schools for new pre-kindergarten classes that were added over the next few years.

Under Governor Bentley's leadership, high quality and greater access have been the foremost goals of this significant on-going effort to expand pre-kindergarten education opportunities.

