

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



**APPLICATION FOR GRANTS
UNDER THE**

Preschool Development Grants - Expansion

CFDA # 84.419B

PR/Award # S419B150023

Grants.gov Tracking#: GRANT11762126

OMB No. 1810-0718, Expiration Date: 02/28/2015

Closing Date: Oct 15, 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="10/15/2014"/>	4. Applicant Identifier: <input type="text"/>
--	--

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

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="Massachusetts Department of Early Education and Care"/>	
* b. Employer/Taxpayer Identification Number (EIN/TIN): <input type="text" value="1-046002284"/>	* c. Organizational DUNS: <input type="text" value="0861948540000"/>

d. Address:

* Street1: <input type="text" value="51 Sleeper Street"/>
Street2: <input type="text"/>
* City: <input type="text" value="Boston"/>
County/Parish: <input type="text"/>
* State: <input type="text" value="MA: Massachusetts"/>
Province: <input type="text"/>
* Country: <input type="text" value="USA: UNITED STATES"/>
* Zip / Postal Code: <input type="text" value="02210-1276"/>

e. Organizational Unit:

Department Name: <input type="text" value="Dept. of Early Education & Care"/>	Division Name: <input type="text"/>
---	-------------------------------------

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

Prefix: <input type="text" value="Mr."/>	* First Name: <input type="text" value="Thomas"/>
Middle Name: <input type="text"/>	
* Last Name: <input type="text" value="Weber"/>	
Suffix: <input type="text"/>	
Title: <input type="text" value="Commissioner"/>	

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

* Telephone Number: <input type="text" value="617-988-6600"/>	Fax Number: <input type="text" value="617-988-2451"/>
---	---

* Email: <input type="text" value="Lox.weber@easstateil.state.ma.us"/>
--

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-081814-002

* Title:

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

13. Competition Identification Number:

S4 419B2015 1

Title:

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

14. Areas Affected by Project (Cities, Coun [Delete Attachment](#) [View Attachment](#)

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

Massachusetts Preschool Expansion Grant

Attach supporting documents as specified in agency instructions.

[Add 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="15,000,000.00"/>
* 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.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL <input type="text" value="William Concannon"/>	TITLE <input type="text" value="Commissioner"/>
APPLICANT ORGANIZATION <input type="text" value="Massachusetts Department of Early Education and Care"/>	DATE SUBMITTED <input type="text" value="10/15/2014"/>

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

1. * Type of Federal Action: <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	2. * Status of Federal Action: <input type="checkbox"/> a. bid/offer/application <input checked="" type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	3. * Report Type: <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:

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

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

Federal Use Only:	Authorized for Local Reproduction Standard Form - LLL (Rev. 7-97)
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PR/Award # S419B150023

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 and reference the OMB Control Number 1894-0005.

Optional - You may attach 1 file to this page.

YA_PEG_GEPA_427.docx

Delete Attachment

View Attachment

GEPA (General Education Provisions Act), Section 427

The work of the Massachusetts Department of Early Education and Care (DEEC) is steeped in the understanding that brain building is in progress for young children in enriching environments with caring adults and meaningful and engaging interactions. The Department serves a geographically, culturally, and socio-economically diverse population of children and families. The Department is committed to equal access and treatment for all students, families and employees.

DEEC is focused on strengthening the system of early education and care in Massachusetts as a critical element of the education pipeline from cradle to career. The system DEEC is building includes all children, not just those who are subsidized or in formal care. To that end, DEEC provides services for children in Massachusetts through a mixed delivery system which includes group and center based programs, out of school time programs, family child care homes, public preschool programs, private preschool programs, kindergarten, and Head Start programs.

DEEC strives to bring together a growing community of early education and care providers, educators, academic researchers, business leaders, and individuals to raise awareness of the critical importance of fostering the cognitive, social, and emotional development of young children. By giving a strong start to our youngest citizens we create a stronger, more prosperous future for all. Massachusetts is dedicated to increasing coordination in our system of early learning and development and aims to prepare children for school success, especially those with the highest needs.

To maximize the diversity of children to be enrolled in high quality preschool programming through this grant opportunity, DEEC has elected to use a model of block grant funding to local LEAs over a model based on state subsidized child care eligibility. In this way, low income children will be enrolled in high quality programs based solely on their need for an early education experience and not on the work or training needs of their parents. In Massachusetts children at 200% of federal poverty level would not have access to preschool based on state subsidy eligibility requirements. Therefore, this model expands the eligibility levels for low income families while it allows for blending of funding within programs. Children enrolled in services through this federal grant would have access to learning environments with other

children funded by Head Start, state-subsidy dollars as well as those paid for privately by parents. This flexibility will allow for a greater diversity of children of varied socioeconomic backgrounds, bound only by the demographic realities of the communities in which they live.

As outlined in this grant application, the diversity of populations to be served was carefully considered in the selection of the communities chosen for participation. DEEC was able to utilize various resources and data from other Massachusetts state agencies in choosing the high-needs communities to serve in the Preschool Expansion Grant. In total, there were six lists of specific communities that DEEC used: Mass Home Visiting communities, Gateway Cities, Level 4 Schools & Districts, Level 5 Schools and Districts, Birth-Third Grade Alignment Grant communities, and the most recent MCAS 3rd grade reading proficiency scores.

In order to ensure that the supports are available to serve the diversity of populations represented by these communities, DEEC is requiring that grantees:

- Describe outreach methods - translation of materials, use of community based groups like CFCEs and CCR&Rs to connect with communities;
- Staffing- encourage programs to hire any new positions funded by this grant in a manner that reflects the racial, ethnic, cultural and language diversity of the communities being served;
- Inclusion- grantees required to provide support services to ensure that their enrollment figures represent children with identified special needs;
- Expansion of DEEC's current Flex Pool model of supports for inclusion of children with special needs will be encouraged. This model allows for 1:1 aids and adaptive materials and equipment for children in a manner that enhances inclusion without supplanting the services and materials required of the public school via an IEP;
- Professional development to include training on inclusion as well as cultural competency for participating staff;
- Coordinate local awareness efforts using established messaging; Build on family-specific outreach to include target cohorts in the natural community settings that they frequent (e.g., faith settings).

The design of this preschool program builds in a variety of supports for children with varying needs. Specifically, in addition to a high quality classroom experiences with highly qualified staff, this program requires that grantees offer a vast array of comprehensive services and supports including the delivery of, or referral to, the following comprehensive services: mental health, medical, dental, vision, hearing, nutrition and specialty therapies (e.g., speech and language; occupational therapy; physical therapy). Transportation services, while not universally provided to all children in this program design, are considered as an additional means of comprehensive support that, if identified by the local partners as necessary for a child to access the program, may be included in the delivery of services for that child.

To ensure that the needs for these services are identified and addressed by those at the local level, grantees are required to ensure that strong systems of communication and collaboration are in place between the public and community-based early education and care programs. These structures are inclusive of administrators, teachers and families and represent the diverse facets of early childhood education, including special education and support for English language learners (dual language learners). Joint professional development among early childhood leaders and educators is required as part of a strong system of collaboration and an important opportunity for ensuring that all children in the community have access to high quality preschool opportunities. Strong structures for collaboration and communication between public and community-based early education and care providers provide the opportunity to coordinate access to full-day, full-year preschool services, including comprehensive services for four year old children in the community.

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

Massachusetts Department of Early Education and Care

* PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE

Prefix: Mr. * First Name: Thomas Middle Name:

* Last Name: Weber Suffix:

* Title: Compliance Officer

* SIGNATURE: William Conacher

* DATE: 10/15/2014

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:

Massachusetts Preschool Expansion Program - Project Abstract

Five Commonwealth High-Need (HN) communities have enthusiastically agreed to partner with DEEC in this work: Boston, Holyoke, Lawrence, Lowell and Springfield. The public school district (LEA) in each community will serve as the Subgrantee, supported in the delivery of services by at least two Early Learning Providers in each community (12 total) and a DEEC-led statewide coalition of state agencies. In the first year of the grant, we will enroll ~(b) eligible four-year old children across the districts through a local investment of \$(b)(4) in Preschool Expansion grant funds. Over the four years of this grant award, we will serve a total of ~(b)(4) additional children ((b)(4) each year) living in families below 200% of the Federal Poverty Level (FPL).

While all Early Learning Providers (ELPs) serving these children will meet the 12 required HQPP standards, this funding will also significantly advance preschool quality and early education/public preschool partnerships within each of the five HN communities. It will enable the Commonwealth to better meet the needs of each community's vulnerable families through improved outreach, access and coordination of comprehensive services, assuring that young children's development is supported and advanced in their home environments, as well as in their preschool settings.

Specific Project Goals are:

- Expand Development of Mixed-Service Partnerships in the 5 High Need Communities
- Expansion of Preschool Access
- Support of Strong Family Engagement in Each LEA
- Delivery of Comprehensive Services.
- Program Quality and Child Outcome Improvement.
- Workforce Development.
- Responsibly manage the implementation of this \$15M process through improved Data Development and Use

As the Commonwealth continues to move to performance-based contracting, we will expand our use of evidence-based practice (EBP) while fostering innovation at the community level, and we will develop and share knowledge through continued formative assessment, as well as benchmarking outcomes through indicators such as attendance, preschool suspensions, school readiness, third grade reading proficiency, and family engagement.

Subgrantee LEAs - The City of Boston, The City of Holyoke, The City of Lawrence, The City of Lowell and The City of Springfield.

Early Learning Providers -

- Boston - (YMCAs of Greater Boston, Action for Boston Community Development (ABCD), Nurtury)
- Holyoke - (Valley Opportunity Council, Holyoke-Chicopee-Springfield Head Start),
- Lawrence - (Greater Lawrence Community Action Council, Community Day)
- Lowell - (Little Sprouts, Community Teamwork)
- Springfield - (YMCA of Greater Springfield, Holyoke-Chicopee-Springfield Head Start, Square One)

Project Narrative File(s)

* **Mandatory Project Narrative File Filename:**

To add more Project Narrative File attachments, please use the attachment buttons below.



October 14, 2014

The Honorable Arne Duncan
U.S. Department of Education
400 Maryland Ave. SW
Washington, D.C. 20202

The Honorable Sylvia M. Burwell
The U.S. Department of Health and Human Services
200 Independence Ave., S.W.
Washington, D.C. 20201

Dear Secretaries Duncan and Burwell:

It is my honor to present the Massachusetts Federal Preschool Expansion Grant proposal. On behalf of the Commonwealth of Massachusetts, I wish to thank you and President Obama for the essential leadership that you have provided in establishing early learning as a top national priority.

Massachusetts is grateful for this opportunity, which would build on nearly a decade of progress under the Massachusetts Department of Early Education and Care and our Race to the Top - Early Learning Challenge Grant. Notwithstanding some of our successes in education and child well-being, Massachusetts is motivated by our recognition that achieving our ideal of providing all children with their full measure of opportunity is a constant pursuit from which we can never retire.

The Federal Preschool Expansion Grant has inspired Massachusetts to think boldly and to offer a plan that engages and leverages the strengths of the Massachusetts mixed-delivery system to reach more children and advances our goal of achieving a universally-accessible, high-quality system of early education and care.

Thank you for your consideration and for lending your powerful voices to our most powerless children.

Sincerely,

Thomas L. Weber
Commissioner
Massachusetts Department of Early Education and Care

SECTION A: EXECUTIVE SUMMARY

The Commonwealth of Massachusetts (MA) has long-recognized both the necessity and the wisdom of investing in its youngest residents. From John Adam's authoring of the right to a free public education in our State Constitution, Horace Mann's creation of the modern American public school model, our groundbreaking adoption of standards-based education in 1993, and the creation of the first-in-the-nation consolidated Department of Early Education and Care (DEEC) in 2005, Massachusetts has prioritized its children and committed to the ideals of constant innovation and perpetual improvement. We are proud of our #1 ranking among the states in child well-being as rated by the 2014 Annie E. Casey Foundation's KidsCount program. However, we are aware of, and motivated by, how much more progress remains if we are to provide all children with the full measure of opportunity that they deserve and we owe them as a Commonwealth.

Notwithstanding some of our successes, Massachusetts families face the same economic challenges as many other states, including the new economic realities of globalization and the slowness of our exit from the Great Recession (*The Cornerstones of Economic Security for Resilient Workers*, National Governors Association, April 2013; *Education and Workforce Preparedness*, MA Business Alliance for Education, August 14, 2014). Families with young children, especially those in high-need communities, face the acute challenge of accessing one of the nation's most expensive early education and care systems, and, once there, finding high-quality services (*Parents and the High Costs of Child Care*, Child Care Aware of America, 2013).

Our most vulnerable families include those living with limited income, some in deep multi-generational poverty, whose daily lives are characterized by significant housing instability, health and mental health needs, nutrition challenges and the now well-known impact of chronic trauma, toxic stress and adverse childhood experiences. Our military, refugee and immigrant families also face many of these same challenges. For all of these populations with young children, access to high-quality preschool represents both a common need and an immensely effective public policy to stabilize the family and advance both child and parent well-being.

The National Center for Children in Poverty reports that in 2012 there were 317,692 families with 429,609 children ages five and younger in the Commonwealth, 32% of whom lived in families with income below 200% of the federal poverty level. Six in ten of these children (61%) lived with a single parent and four in ten (39%) had at least one parent who is employed either part-year or part-time. More than eight in ten (85%) of MA young children whose mothers and/or fathers have not completed high school live in low-income families. Even among young children whose parents have a high school degree but no post-secondary education, more than six in ten (63%) live in low-income families. These same data point out troubling inequities by race and ethnicity as well. Twenty percent (20%) of young white children and 25% of Asian children live in low-income families, as compared with 57% of African American and 67% of Hispanic families.

These trends carry over into children's educational performance as well. Massachusetts recently released results from the 2013 Massachusetts Comprehensive Assessment System (MCAS), our statewide student assessment program. The overall third grade reading performance is troubling enough, with 43% of children scoring below proficient, but the performance of low-income children is even more alarming with a staggering 61% below proficiency. Massachusetts can, and must, do more to engage and support children, especially vulnerable populations, during the critical years preceding kindergarten.

A recent report by the MA Budget and Policy Center estimates that one third of MA families living below 200% of the federal poverty level "receive no public support for their preschool children." The Center reports that statewide, about 51,000 preschoolers live in low-income families and 19,000 receive no public support. Lacking data on only four-year olds, we estimate that three and four-year olds constitute an equal part of these 19,000 children, suggesting that the total cohort of four-year olds eligible for enrollment in a High Quality Preschool Program would be about 9,500.

With this grant award, DEEC will take an additional, significant step forward to advancing access to Eligible Children (EC) in High Quality Preschool Programs (HQPPs) in MA. The plan builds upon other investments in early education and care, made over time and as recently as the present State Fiscal Year (FY). Most importantly, the plan engages all elements of the Massachusetts mixed-delivery system of early education and care, an unprecedented coordination of partners and resources that builds on momentum achieved at both the state and community levels over the past decade.

Our Plan in Brief

Five Commonwealth High-Need (HN) Communities have enthusiastically agreed to partner with DEEC in this work: Boston, Holyoke, Lawrence, Lowell and Springfield. [D(1-3)] The public school district (LEA) in each community will serve as the Subgrantee, supported in the delivery of services by at least two Early Learning Providers (ELPs) in each community (12 total) and a DEEC-led statewide coalition of state agencies. In the first year of the grant, we will enroll ~[b]₄₃ eligible four-year old children across the districts through a local investment of \$[b](4) in Preschool Expansion grant funds. Over the four years of this grant award, we will serve a total of ~[b]₄₃ additional children ([b]₄₃ each year) living in families below 200% of the Federal Poverty Level (FPL).

While all ELPs serving these children will meet the 12 required HQPP standards, this funding will also significantly advance preschool quality and early education/public preschool partnerships within each of the five HN Communities. It will enable the Commonwealth to better meet the needs of each community's vulnerable families through improved outreach, access and coordination of comprehensive services, assuring that young children's development is supported and advanced in their home environments, as well as in their preschool settings. As the state continues to move to performance-based contracting, we will expand our use of evidence-based practice (EBP) while fostering innovation at the community level, and we will develop and share knowledge through continued formative assessment, as well as benchmarking outcomes through indicators such as attendance, preschool suspensions, school readiness, third grade reading proficiency, and family engagement.

Finally, DEEC and our state agency and local partners will continue to make community and systems-wide improvements that advance the effectiveness and efficiency of the MA Birth-Third Grade (B-3) policy agenda and provide a comprehensive service continuum for all children. Strategies supported through this grant opportunity will include data development and sharing, continued refinement and expansion of our Quality Rating and Improvement System (QRIS), systematic improvements in workforce development and support, and expanded cross-agency co-training. Developing innovative strategies to assure both sustainability and continued expansion of this work will begin immediately (e.g., through ongoing FY16 state budget planning, related grant management and alignment activities, and Social Innovation Financing (SIF) opportunities that will become available this fall).

In order to ensure that this initiative is not solely supported by the federal government, MA is able to devote almost \$(b), the equivalent of almost (b)% of our possible award, to support our effort to expand high quality preschool opportunities. In each case we have worked to adhere to federal guidelines regarding criteria for matching and as a result we can offer state funding shown below to support this initiative.

\$(b)(4) from new, state-funded K-1 grant program [B(2)] designed to support the establishment and improvement of preschool programs. These funds will be used both to fund new preschool classrooms and to improve quality in existing classrooms.

\$(b)(4) from the state's Child Care Quality Grant Program which is directly funded by receipts from the Commonwealth's "Invest in Children" license plates. This grant funds a number of quality improvements at programs in the Commonwealth.

\$(b)(4) as a result of state funded preschool age placements in our income eligible subsidy program which is a targeted effort to reduce our waitlist. This is the preschool aged portion of a \$(b) increase in funding to support placements for children awaiting subsidies.

\$(b)(4) as a result of state-funded preschool age placements in our supportive program for

children involved with the state's Department of Children and Families (DCF). This is the preschool portion of new supportive placements for these children.

Each of these sources (with the exception of the citizen-funded Child Care Quality Grant Program) have seen increases with support from both Governor Patrick and the MA Legislature in recent years. These funds represent Competitive Priority #1.

Seven goals along with a first set of Year I core activities serve as the foundation for our plan. These are summarized below and are woven throughout this application.

Goal #1: *Expand Development of Mixed-Service Partnerships in the 5 High Need*

Communities in an unprecedented effort to deliver high-quality preschool programming, and inform and advance state and local policies and programming.

Key Activities (Year I):

- Within 90 days of grant award, establish signed DEEC-LEA MOUs, present to community stakeholders, and create individual community plans for DEEC approval;
- Inform key legislative, policy leaders across branches of government at the state and community levels. Establish the statewide Preschool Expansion Program (PEP) interagency guiding group; and
- With each LEA, present the PEP plan to community providers, including those funded by DEEC, and others that provide comprehensive services to vulnerable families.

Responsible Parties: DEEC, the LEA, identified DEEC-licensed ELPs, and any other programs identified in the community plan.

Goal #2: *Expand Preschool Access* as outlined in this Plan

Key Activities (Year I):

- Establish LEA-ELP leadership and program team members: review and accept community plans; and
- Expand preschool access to accommodate the September 2015 entry of the first cohort

of 750 four-year olds across the five communities.

Responsible Parties: DEEC, the LEA, identified DEEC-licensed ELPs, and any other programs identified in the community plan.

Goal #3: *Support Strong Family Engagement in Each LEA Community*

Key Activities (Year 1):

- Prioritize and enhance time and resources to support parents and families as their children's first teachers and as critical stakeholders in the work of child development, school readiness and early school success; and
- Explicitly identify the family engagement goals and strategies that align with, and leverage, ongoing DEEC-sponsored community and family engagement activities, in both the MOUs and community plans.

Responsible Parties: DEEC, the LEA, and identified DEEC-licensed ELPs.

Goal #4: *Comprehensive Services* to assure that these children and their families receive the services that they need to support the children's health development, school readiness, and early school success, including housing, nutrition, and employment training and opportunities.

Key Activities (Year 1):

- Explicitly identify in the community plans how the LEAs, DEEC-licensed ELPs, and related programs will deliver comprehensive services to the children and families served by the MA Preschool Expansion plan; and
- Begin direct service delivery of comprehensive services by September 2015 or no later than December 2015.

Responsible Parties: DEEC, the LEA, identified DEEC-licensed ELPs, and any other programs identified in the community plan.

Goal #5: *Program Quality and Child Outcome Improvement* to improve and sustain the quality of early education and care programs in accord with the 12 components of High Quality Preschool Programs (HQPPs) and develop knowledge linkages between program performance and child outcomes.

Key Activities (Year 1):

- DEEC will hire a Preschool Expansion Project Director and establish an Interagency Advisory Group, led by DEEC and comprised of representatives of DESE and DHE, that will oversee development of, and establish procedures for, HQPP [C(2)] ;
- LEAs and ELPs will self-assess to identify systemic changes that can be made to better support program quality [C(2)];
- PEP Director will begin convening Professional Learning Communities to identify challenges, problem-solve, and identify and disseminate best practices [C(2)];
- DEEC will work with LEAs and ELPs to assign State Student Identification numbers (SASIDs) to participating children [C(2)];
- DEEC Program Quality Specialists will support LEAs and ELPs through the MA QRIS program quality standards and verification process [C(2)]; and
- Building on the SASID assignment, DEEC, LEAs, and ELPs will commence formative and direct assessment of participating children and initiate a jointly-funded longitudinal study of the Preschool Expansion Program [C(3)].

Responsible Parties: DEEC, the LEA, and identified DEEC-licensed ELPs.

Goal #6: *Workforce Development* to support the recruitment and retention of a highly skilled early education workforce with competitive compensation and opportunities for co-training with professionals from other sectors also serving these families.

Key Activities (Year 1):

- Identify and, if necessary, hire BA-credentialed and state certified lead educators for Preschool Expansion classrooms;
- As part of the community plan, establish an educator compensation package comparable to the local LEA; and
- Jointly identify and hire Master Teachers to provide preschool teachers with coaching, mentoring, curriculum guidance and support.

Responsible Parties: DEEC, the LEA, and identified DEEC-licensed ELPs.

Goal #7: *Responsibly manage the implementation of this \$15M process through improved Data Development and Use*

DEEC will develop and use data to; (a) Inform strategic planning; (b) Expand continuous quality improvement; (c) Track children's age-appropriate development B-3, school readiness and elementary school success (including the incidence of suspensions and expulsions, changes in attendance, and improvements in reading proficiency at the end of 3rd grade); (d) Improve family engagement, and (e) Provide for regular public reporting and accountability.

Key Activities (Year 1):

- Assess the data capabilities of the five communities and ensure capacity to meet the program quality and child outcome requirements of the MA Preschool Expansion Plan;
- Standardize to the greatest extent possible across the five communities the manner and method of data collection, leveraging the DEEC Early Childhood Information System (ECIS), the MA State Longitudinal Data System (SLDS), and supplementing these systems as necessary [F(1-2)];
- Improve data collection and practice in the community plan and ensure that data plays a critical role in the five LEA-ELP Learning Communities [E(2)];
- Assess and share best practices across the DEEC-licensed system of more than 10,000 programs as well as the Commonwealth's community of LEAs through DEEC and community reporting requirements [I(4)]; and
- Provide comprehensive reports to stakeholders and policymakers through, but not limited to, the DEEC annual legislative report and monthly updates to the Board of Early Education and Care.

Responsible Parties: DEEC, the LEA, and identified DEEC-licensed ELPs.

To accomplish these goals, we will employ a set of cross-cutting processes, tools and investments developed over the past decade and coordinate them at unprecedented levels for the maximum benefit of children and families served. These include:

- Massachusetts Early Learning and Development Standards
- Birth through Third Grade Framework to guide transitions and alignment

- An Early Learning Assessment Framework for Children, including school readiness and third grade reading expectations
- The Massachusetts QRIS, DEEC Licensing, and related Program Quality Standards
- Massachusetts Early Education Workforce Initiative
- Family and Community Engagement Supports and Investment
- Inclusion Standards and Outreach Strategies
- Strong Cross-Agency Partnerships and resource collaboration
- The Massachusetts Early Childhood Information System
- Massachusetts *Brain Building in Progress* public education and advocacy campaign.

(A)(1) Progress to Date

Massachusetts is one of just three states with an early childhood education department. The MA Department of Early Education and Care (DEEC) was established in law in 2005 with the statutory charge of creating a comprehensive early education and care system to advance the well-being of Massachusetts’ children, with a special lens on those most vulnerable. Over the last three years (2011-2014), the Department’s accomplishments have resulted in increased budgetary resources, rising from \$(b)(4) in 2011 to the current budget of \$(b)(4) for the current state fiscal year [B(2)]. Evidence of the Commonwealth’s commitment to investing in the early years can be seen in a (b)(4)% increase in funding categories specific to purposes of this Preschool Expansion Grant Application over the period SFY11-15.

The DEEC is also part of a newly-aligned, B-20 Massachusetts Education Secretariat. In 2008, MA established the Executive Office of Education (EOE) to “...improve achievement for all students, close persistent achievement gaps, and to create a 21st century public education system that prepares students for higher education, work and life in a world economy and global society.” Included within EOE are the Departments and Boards of DEEC, Elementary and Secondary Education (DESE) and Higher Education (DHE), as well the University of Massachusetts and its Board of Trustees.

In recognition of the Commonwealth's commitment to education reform, DEEC was awarded a Race to the Top (RTTT) grant in 2010, while DEEC received \$50 M federal Race to the Top Early Learning Challenge (RTTT-ELC) funds in the first round (2013). Even more recently, DEEC has been engaged with the National Governors Association (NGA) and five other states as part of an Early Learning Policy Academy to create a Birth through Grade Three policy agenda. Our products to date include a report entitled *Building the Foundation for College and Career Success from Birth through Grade 3*. [Appendix A.1.1.] This core document identifies the knowledge, skills and essential qualities that characterize students who are truly college and career ready, beginning with early education.

Partnerships and Shared Responsibility. No agency in the Commonwealth, at the state or community level, could do this work effectively without the direct engagement and support of families and the community leaders and organizations in which they live. DEEC proudly continues to expand its robust investment in structures and processes that support communities to serve the state's vulnerable children and families across sectors. [F(1-2)] In addition, DEEC has developed a strong record of inter-agency partnerships across state government, including but not limited to the Departments of Public Health (DPH), Mental Health (DMH), Transitional Assistance (DTA), Children and Families (DCF) and Housing and Community Development (DHCD), and the Office of Refugees and Immigrants (ORI) [B(6)].

A Birth-3 grade Framework. In this context, we are especially focused on the years between birth and 3 grade with attention to birth outcomes, age-appropriate early growth benchmarks, readiness for preschool and for kindergarten, and what should be, for all children, a world-class elementary school experience and the essential accomplishment of reading proficiency as children exit the 3rd grade [C(3)].

(A)(2) Provide High-Quality Preschool Programs (HQPPs) in High-Need Communities

With this application, DEEC will engage further with the federal Department of Education to advance access to and improve the quality of state preschool programs, family engagement, comprehensive community services, and interagency collaborative service systems in five HIN

Communities: Boston, Holyoke, Lawrence, Lowell and Springfield. Together, these communities are home to more than 15% of the Commonwealth's four-year olds.

Individually and jointly, these communities face considerable economic and educational challenges, as revealed in the DPH Maternal Infant and Early Childhood Home Visiting (MIECHV) needs assessment and grant application, Gateway Cities economic status data, and DESE public school district reform and performance data. [D(1)] They are also communities in which DEEC has made considerable financial and human capital investments and where the communities themselves have organizational, family and community assets to further build upon. These assets include two or more Early Learning Programs (ELPs) in each participating community who have agreed to participate in the work of this grant [E(1)].

(A)(3) Increasing Preschool Access for Eligible Children in Partner Communities

By statute, MA operates a "mixed service model" for the delivery of state-supported preschool programs. This model was established to support parental choice to the greatest extent possible and provide high quality programs to choose from, including family-based and center-based early education and care programs, Head Start, those supported through the state's Universal Pre-Kindergarten (UPK) program, and state-supported public school operated (LEA) preschool programs and classrooms. In Year 1 of this grant, the Commonwealth will increase the number of Eligible Children attending HQPPs in five communities by ~(b)
(6) and will sustain this number annually over the four years of this grant, therefore serving at least ~(b)(6) Eligible Children.

(A)(4) Achieving High Quality Status based on the 12 Elements of a HQPP

The Commonwealth will continue to advance high quality, aligned with federal HQPP standards, by building on our strong foundation of licensing regulations, expanding provider enrollment and upward movement in the MA QRIS, with continued supports for workforce development. Our voluntary QRIS is a four-tiered model [*Appendix A.1.4.*], with all UPK programs achieving a Level 3 status aligned with the HQPP elements. This structure has been cross-walked with Head Start Performance Standards, UPK Grantee requirements, and with quality elements of programs offered by LEAs at the community level [B(4), *Appendix B.4.1.*, *Appendix B.4.2.*]. Because in

