

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



**APPLICATION FOR GRANTS
UNDER THE**

Preschool Development Grants - Expansion

CFDA # 84.419B

PR/Award # S419B150014

Grants.gov Tracking#: GRANT11760252

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.).

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="10/14/2014"/>	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="Office of the Governor"/>	
* b. Employer/Taxpayer Identification Number (EIN/TIN): <input type="text" value="41-6007162"/>	* c. Organizational DUNS: <input type="text" value="9335613180000"/>

d. Address:

* Street1: <input type="text" value="130 State Capitol"/>
Street2: <input type="text" value="75 Rev. Dr. Martin Luther King, Jr. Blvd."/>
* City: <input type="text" value="St. Paul"/>
County/Parish: <input type="text"/>
* State: <input type="text" value="MN: Minnesota"/>
Province: <input type="text"/>
* Country: <input type="text" value="USA: UNITED STATES"/>
* Zip/Postal Code: <input type="text" value="55155-1605"/>

e. Organizational Unit:

Department Name: <input type="text" value="Minnesota Department of Education"/>	Division Name: <input type="text" value="Early Learning Services"/>
---	---

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

Prefix: <input type="text" value="Ms."/>	* First Name: <input type="text" value="Bobbie"/>
Middle Name: <input type="text"/>	
* Last Name: <input type="text" value="Burnham"/>	
Suffix: <input type="text"/>	
Title: <input type="text" value="Director"/>	

Organizational Affiliation: <input type="text" value="Early Learning Services"/>
--

* Telephone Number: <input type="text" value="651-582-8414"/>	Fax Number: <input type="text"/>
---	----------------------------------

* Email: <input type="text" value="bobbie.burnham@state.mn.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.):

HNCongressionalDistricts.pdf

[Add Attachment](#)

[Delete Attachment](#)

[View Attachment](#)

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

Preschool Development Grant - Expansion Grant

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="56,893,756.00"/>
* b. Applicant	<input type="text" value="0.00"/>
* c. State	<input type="text" value="(b)(4)"/>
* 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:

Department of
Education

Minnesota Preschool Development Grants School Districts and Congressional Districts

School District Name	School District Number	County	Congressional District
Southern Minnesota Zone			
Albert Lea	241	Freeborn	1
Rochester	535	Olmstead	1
Austin	492	Mower	1
Suburban Transformation Zone			
Fridley	14	Anoka	5
Columbia Heights	13	Anoka	5
Northside Achievement Transformation Zone			
Minneapolis	0001	Hennepin	5
St. Paul Promised Neighborhood Transformation Zone			
St. Paul	0625	Ramsey	4
Itasca County Transformation Zone			
Deer River	0317	Itasca	8
White Earth Nation Transformation Zone			
Mahnomen	0432	Mahnomen	7
Wauben-Ogema-White Earth	0435	Mahnomen	7
Circle of Life	1435	Mahnomen	7
MDE	NA	Ramsey	4

Department of
Education

Minnesota Preschool Development Grants School Districts and Congressional Districts

School District Name	School District Number	County	Congressional District
Southern Minnesota Zone			
Albert Lea	241	Freeborn	1
Rochester	535	Olmstead	1
Austin	492	Mower	1
Suburban Transformation Zone			
Fridley	14	Anoka	5
Columbia Heights	13	Anoka	5
Northside Achievement Transformation Zone			
Minneapolis	0001	Hennepin	5
St. Paul Promised Neighborhood Transformation Zone			
St. Paul	0625	Ramsey	4
Itasca County Transformation Zone			
Deer River	0317	Itasca	8
White Earth Nation Transformation Zone			
Mahnomen	0432	Mahnomen	7
Wauben-Ogema-White Earth	0435	Mahnomen	7
Circle of Life	1435	Mahnomen	7
MDE	NA	Ramsey	4

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="Bobbie Burnham"/>	TITLE <input type="text" value="Director, Early Learning Services"/>
APPLICANT ORGANIZATION <input type="text" value="Office of the Governor"/>	DATE SUBMITTED <input type="text" value="10/14/2014"/>

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="US Dept. of Education and US Dept. of HR"/>	7. * Federal Program Name/Description: <input type="text" value="Elemental Development Grants"/> CFDA Number, if applicable: <input type="text" value="84.409"/>
---	---

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 # S419B150014

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.

YDRGEPA.pdf

Delete Attachment

View Attachment

Equitable Access Statement
Per Section 427 of the US DOE General Education Provisions Act (GEPA)

As part of its application for the US Department of Education (USDOE) and US Departments of Health and Human Services (USHHS) Preschool Development Grant - Expansion Grant (PDG) program, and in accordance with the provisions of Section 427 of the USDOE General Education Provisions Act (GEPA), the Minnesota Department of Education (MDE) will take steps to ensure the equitable access to and participation in its proposed Preschool Expansion Plan activities regardless of participants' gender, race, color, national origin, disability or age.

MDE has a longstanding commitment to promoting and facilitating equitable access in its programs, services and hiring practices. MDE is an Equal Opportunity Employer that strives to build and sustain a diverse and multicultural community by fostering an environment in which all groups are welcomed, encouraged to participate fully, and accorded respect. For all activities supported by Federal assistance under this application, MDE will observe all Federal, State and local laws and regulations designed to ensure equitable access to all program participants, and to overcome barriers to equitable participation.

The Preschool Expansion Plan was created, in part, to help the state to address inequities in educational outcomes between low-income children of color and those with special needs and their White, more affluent peers. As such this Plan focuses resources including staffing, facilities, instructional materials, outreach, family supports and other services, that are intended to support improved outcomes for low-income children of color and those with special needs. MDE's Plan calls for the creation of High-Quality Preschool programs that are inclusive, *e.g.*, that include children across a spectrum of needs, abilities and socio-economic status and thus increase the equitable access to effective teachers and quality instruction for low-income and

Equitable Access Statement
Per Section 427 of the US DOE General Education Provisions Act (GEPA)

high-need students. Participants in the High-Quality Preschool to be created by the Plan will reflect the state's broad racial, ethnic, language and cultural diversity. Further, the Plan includes outreach, engagement activities, leadership opportunities, and services provided to families of these children many of whom are traditionally underrepresented in the educational system because of refugee or immigrant status, language, socio-economic status and other disadvantage.

MDE will take all necessary measures to ensure equitable access and participation by gender, race, color, national origin, disability and age in the implementation of the Plan.

Working through Leadership Implementation Teams at the school-district (subgrantee) level, and in Building Implementation Teams at the preschool-site level, designated staff will conduct broad outreach to increase the likelihood that families and teachers who are members of traditionally under-represented groups are aware of the project and of the opportunities it offers. Outreach efforts will include informational meetings, emails, networking, referrals and other personal or electronic contact. Informational material will be developed and shared with all potential candidates and may be translated into multiple languages as necessary. Specifically:

- *Gender:* MDE will reach out to both gender groups for participation in the Plan, and the High-Quality Preschool and related comprehensive services, parent education, engagement and leadership opportunities.
- *Race, Color:* MDE will facilitate the recruitment, support and sustained participation of participants from persons of all races, color and ethnic groups and ensure that all have an equal opportunity to engage in all activities.
- *National Origin:* MDE will establish open lines of communication to facilitate intercultural communication in all project activities.

Equitable Access Statement

Per Section 427 of the US DOE General Education Provisions Act (GEPA)

- *Disability:* MDE will, wherever possible, utilize barrier-free environments to ensure that full access to persons with disabilities. Further, MDE will coordinate programs to ensure accommodation and response to the needs and requests of children with disabilities.
- *Age:* MDE will eliminate age barriers by including participants, regardless of age, in the project activities.

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

Office of the Governor

* PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE

Prefix: Ms.

* First Name: Robbie

Middle Name:

* Last Name: Burham

Suffix:

* Title: Director, Early Learning Services

* SIGNATURE: Robbie Burham

* DATE: 10/14/2014

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.]

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Minnesota Department of Education (Lead Agency), Preschool Expansion Plan Abstract

Minnesota seeks to work strategically with partners to create a statewide High-Quality Preschool system that promotes and sustains student access, achievement, and family engagement over a continuum from birth through 3rd grade (*i.e.*, birth-3). In doing so, we seek to create a firm foundation for children and communities with the highest needs: low-income 4-year-olds and children of color whose outcomes persistently lag behind that of their more affluent peers and make Minnesota's achievement gap among the worst in the nation.

Toward this end, the Minnesota Department of Education (MDE) will build on our Race to the Top-Early Learning Challenge grant work, which has accelerated efforts to align standards, expand our Parent Aware Tiered Quality Rating and Improvement System, enhance parent engagement, broaden culturally competent practice, and strengthen comprehensive assessments, data-informed practices, evidence-based curriculum, cross-sector B-3 coordination, preschool through 3rd grade alignment (P-3), and professional development (PD), coaching, and technical assistance. Partner Human Capital Research Collaborative will provide PD based on the Child-Parent Center's strong evidence of large and enduring effects on student achievement, high school graduation, and child well-being. World-Class Instructional Design and Assessment (WIDA) will provide training to support effective classroom strategies to support English Learning Language and skills acquisition. Minnesota Reading Corps will provide a literacy innovation that extends the capacity of preschools to laser in on literacy as a key domain, and for which there is strong evidence of accelerating literacy acquisition among struggling readers. Other supporters include the Minnesota Early Learning Council, Minnesota Head Start Association, Child Care Aware of Minnesota, Greater Twin Cities United Way, Start Early Funders Coalition, and the Chicano Latino Affairs Council, McKnight Foundation, and others.

Our RTTT-ELC work has proven that better outcomes are achieved within Transformation Zones that focus on innovations *and* infrastructure development across a vertical slice of the educational system. These Transformation Zones unite administrators, teachers, parents and partners from High-Need Communities to ensure collaboration and effective implementation of a mixed-delivery system and comprehensive supports. In implementing our High-Quality Preschool program, MDE seeks to achieve four goals:

1. Increase Access for Eligible Children. Over four years, MDE will increase the number of Eligible Children served in High-Quality Preschool programs by 5,634, including more than

3,438 (more than 60%) new slots. These slots will be created in High-Need Communities that include a cross-section of Minnesota's greatest challenges: urban, suburban and rural areas, high rates of poverty, low rates of school readiness, low rates of academic performance, high rates of English Learners (ELs), and high rates of children with special needs.

2. *Implement High-Quality Preschools.* MDE has preliminary agreements subgrantees that are the LEAs in each High-Need Community: Albert Lea, Austin, Columbia Heights, Fridley, Itasca County, Rochester, Minneapolis, St. Paul, and White Earth Reservation. MDE will provide these subgrantees with the management, training, and tools (*i.e.*, Program Criteria, assessments, data systems, standards, policies, coaches, and funding) to create or improve preschool spaces for Eligible Children. MDE will oversee a structured implementation that will extend our state's successful Transformation Zone model to coordinate cross-sector planning, build capacity, implement, improve, and embed a mixed-delivery system of early education enhanced with family engagement, comprehensive services, and school-community partnerships. Each Transformation Zone will have at least one Parent Liaison who is culturally competent and bilingual (if possible) to ensure family engagement, and at least one Community Coordinator to mobilize and ensure the connection of preschool programs to community services.

3. *Build Infrastructure for a Birth-3 System.* MDE, our subgrantees, the Early Learning Council, and community partners are working to create a continuum of B-3 services and supports. This includes community partners that bring comprehensive services to preschool sites and refer families, home visits and parent education that train parents to support educational transitions, professional learning communities and Building Implementation Teams that align curriculum and practice from preschool to kindergarten, and a P-3 Institute that promotes dialog, alignment, and coordination across the early learning continuum. This will be supported with our longitudinal data system, which will link key data across agencies by 2015.

And 4. *Improve Student Outcomes.* MDE's Preschool Expansion Plan seeks to increase the number of Eligible Children served in High Quality Preschool programs and in state preschool programs overall; increase the number and percentage who become school-ready and maintain those skills; improve teachers' competencies to implement evidence based-practices; help ELs accelerate math and reading proficiency; and reduce the number of Eligible Children needing special education assignment K-3. Ultimately, MDE seeks to close Minnesota's achievement gap for the children served in the proposed High-Quality Preschool program.

Project Narrative File(s)

* Mandatory Project Narrative File Filename:

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

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Chart 1. Guide to Selected Acronyms Used in the Minnesota Preschool Expansion Plan

B-3	Birth through 3rd Grade
BIT	Building (program-level) Implementation Team
CLASS	Classroom Assessment Scoring System
CPC	Child-Parent Center
CCAP	Child Care Assistance Program
DHS	Minnesota Department of Human Services
ECFE	Early Childhood Family Education
ECSE	Early Childhood Special Education
ECIPs	Early Childhood Indicators of Progress (<i>i.e.</i> , early learning standards)
ECLDS	Early Childhood Longitudinal Data System
EL	English Learners
ELLCO	Early Language and Literacy Classroom Observation
FPL	Federal Poverty Level
KEA	Kindergarten Entry Assessment
KCF	Minnesota's Knowledge and Competency Framework for Early Childhood Educators
LEP	Limited English Proficiency
I3	Investing in Innovation
IDEA	Individuals with Disabilities Education Act
IEIC	Interagency Early Intervention Committee
IEP	Individual Educational Plan
LIT	Leadership Implementation Team
MARSS	Minnesota Automated Reporting Student System
MCA	Minnesota Comprehensive Assessments
MDE	Minnesota Department of Education
MDH	Minnesota Department of Health
MNAFEE	Minnesota Association of Family and Early Educators
OSEP	US Department of Education Office of Special Education Programs
LEA	Local Educational Agencies
MPS	Minneapolis Public Schools
NAEP	National Assessment of Educational Progress
P-3	Preschool through 3rd Grade
PD	Professional Development
RTI	Response to Intervention
RTT-ELC	Race to the Top-Early Learning Challenge Grant
SISEP	State Implementation and Scaling of Evidence-Based Practices Center
SIT	State Implementation Team
SLEDS	Minnesota's Statewide Longitudinal Education Data System
SPPS	St. Paul Public Schools
TPOT	Teaching Pyramid Observation Tool
TQRIS	Tiered Quality Rating and Improvement System
UMN	University of Minnesota
WIDA	World-Class Instructional Design and Assessment

Minnesota Preschool Expansion Plan (2015-2018)

A. Executive Summary. In the last decade, Minnesota has been the birthing ground for big ideas that have inspired educational reform here and across the nation. The Minneapolis Federal Reserve and the University of Minnesota's landmark research (Rolnick & Grunewald, 2003) showed that investment in early childhood education can yield among the highest returns to taxpayers: more than \$7 for each \$1 invested. These findings were included in President Obama's 2013 State of the Union Address. The Early Childhood Family Education (ECFE) program, piloted in 1974, was among the first programs in the country to provide parenting and family education to support children's learning and development. Our state's Tiered Quality Rating and Improvement System (TQRIS), Parent Aware, continues that unique focus by educating parents to be the drivers of a market for High-Quality Preschool programs. State-funded Early Learning Scholarships leveled the playing field for low-income families by providing them with resources to choose quality preschool programs, and incentivizing providers to achieve, promote, and maintain quality. Additionally, Minnesota is one of the few states to offer universal health and development screenings to ensure that all preschoolers who need services and interventions have the quickest access to these supports.

Minnesota has expanded on this strong foundation with funding from the US Department of Education (USDOE) Race to the Top-Early Learning Challenge (RTT-ELC) grant. Through the RTT-ELC since 2011, we have accelerated efforts to align standards, expand the Parent Aware TQRIS, enhance parent engagement, broaden culturally competent practice, and strengthen comprehensive assessments, data-informed practices, evidence-based curriculum, cross-sector coordination from birth through 3rd grade (B-3), preschool through 3rd grade alignment (P-3), and professional development (PD), coaching, and technical assistance, as described below. Minnesota's ambitious and achievable plan builds on these developments to introduce High-Quality Preschool for 4-year-olds living at or below 200% of the Federal Poverty Level (FPL) (*i.e.*, Eligible Children) and their families. This Preschool Expansion Plan reflects Minnesota Governor Mark Dayton's commitment to educational excellence and lays the groundwork for a statewide preschool system beginning with the children and communities with the greatest need. As Governor Dayton said during his State of the State address (April, 2014),

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"Let us commit that by 2018, all 3- and 4-year olds in Minnesota will have access to quality, affordable early childhood education." With this plan, Minnesota has started down that path.

A(1) Progress to Date. *Minnesota's revision of our early learning and development standards will support seamless transitions across an early learning continuum.* As part of our RTT-ELC efforts, we are revising Minnesota's Early Childhood Indicators of Progress (ECIPs) for birth through age 3, and for age 3 through kindergarten entry (age 5). Originally created as two sets of developmentally-appropriate standards, the ECIPs did not always connect well to each other, or promote a seamless transition for children or educators. Early education content experts, teachers, and stakeholders are now working to create our state's first seamless continuum of developmental growth targets from birth to kindergarten entry. These ECIPs are being aligned to the state's Kindergarten Academic Standards and Common Core English Language Arts (ELA) K-3 standards in two domains: language and literacy, and social and emotional development. When ECIPs revisions are completed in 2015 they will usher in a process of coordinated revisions that will continue annually, led by the state's early childhood content experts, practitioners, and stakeholders. This annual process will (1) focus on revising one domain at a time to enable reviews of greater depth and more significance, (2) ensure that ECIPs remain aligned to K-12 standards as those are revised, and (3) support transitions with standards that intentionally build to 3rd grade (P-3).

Minnesota has made new financial investments in education totaling \$660 million, including funding for the introduction of full-day kindergarten. In the 2014-2015 biennium (*i.e.*, two-year legislative session), the state increased education funding to enable Local Educational Agencies (LEAs) to offer voluntary full-day kindergarten that began this school year; increased the number of Eligible Children who can attend Parent Aware highly-rated preschool programs via State Early Learning Scholarships; increased the per-pupil aid formula; and expanded special education funding in underserved communities. The state also invested \$(b)(4) to ensure that Minnesota Reading Corps is offered in new full-day kindergarten programs and as a key component of P-3 literacy strategies statewide. A nonprofit partner in this proposal, Minnesota Reading Corps is a literacy innovation that extends the capacity of preschools to laser in on literacy as a key domain. Rigorous evaluations (Markovitz et. al., 2014) have proven Reading Corps' effectiveness in accelerating literacy acquisition among struggling readers.

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Minnesota makes progress on pending legislation, policies, and other practices.

Governor Dayton has committed to expanding educational access and opportunity for all children as part of his administration's "7-Point Plan: Better Schools for a Better Minnesota" (See Appendix 5). The Preschool Expansion Plan reflects and supports all seven points and shares a commitment to closing the state's significant achievement gap between low-income children of color and their more affluent, White peers. As detailed in Criterion D, Minnesota's achievement gap is among the worst in the nation, and can be attributed to inequities in access to high-quality early childhood education, health care, and community resources that will be addressed in this Preschool Expansion Plan. Among Governor Dayton's legislative achievements is a voluntary full-day kindergarten program for 5-year-olds. Last year (2013-2014) only 62% of Minnesota's kindergarten students attended full-day kindergarten. This year, with the introduction of full-day kindergarten in every LEA in the state (except one charter school), 98.8% of eligible 5-year-olds are enrolled in full-day kindergarten this fall.

Legislation passed since 2012 advances the state's commitment to create seamless transitions across an early learning continuum. Updates to the ECFE statute allow LEAs to extend parenting and family education and services P-3 to facilitate parent engagement and children's transitions across the early learning continuum, encourage ECFE programs to develop strategic partnerships, and provide a parenting education liaison to other public and nonpublic early learning and care programs to foster coordination. The 2014 Learning for English Academic Proficiency and Success (LEAPS) Act is the nation's most comprehensive legislation in support of English Learners (ELs). The law has three goals for all EL students: (1) academic English proficiency, (2) grade-level content knowledge, and (3) multilingual skills development. Chief among the mandates is the requirement that **all** teachers be skilled in teaching ELs. Delivering these goals will require action at every level of the educational system: state agencies and the Board of Teaching, teacher preparation programs at institutions of higher education, school districts and charter schools, and classroom teachers and school staff. At its heart, LEAPS considers multilingualism as an asset that is linked with such desirable outcomes as stronger executive control systems in the brain and the delayed onset of dementia and other aging-related illnesses. The World's Best Workforce statute requires teacher PD to support student outcomes in five goal areas, including school readiness; requires that LEAs create a plan and a pathway of

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training and career development; and enables MDE to provide training and tools to help LEAs assess teacher strengths and gaps to improve student performance.

Minnesota makes progress on the quality of preschool programs. Minnesota's voluntary TQRIS, Parent Aware, continues to expand both in numbers of providers and numbers of highly-rated providers. According to the Minnesota Department of Human Services (DHS) Parent Aware Quarterly Progress Report (Aug 2014), since its launch in 2007, Parent Aware has expanded to more than 1,638 child care and early learning programs statewide. While all types of child care are eligible for ratings, some types are rated more frequently than others, providing opportunities for system growth: 75% of school-based and 90% of Head Start and Early Head Start programs are rated as are 73% of accredited child care centers and 63% of accredited family child care. Since 2013, when non-accredited programs and Individuals with Disabilities Education Act (IDEA) programs became eligible for ratings, 11% of non-accredited child care centers, 6% of non-accredited family child care centers and 5% of IDEA programs have been rated. These providers are increasingly joining the system: From January to June 2014, non-accredited child care centers increased from 6% to 11%, non-accredited family child care increased from 3% to 6%, and IDEA programs increased from <1% to 5%.

MDE continues to work with DHS and the state's child care resource and referral network, Child Care Aware of Minnesota, to implement and promote the widespread use of Parent Aware among parents and providers. MDE, DHS, Child Care Aware, and Parent Aware for School Readiness, a nonprofit organization that uses private sector strategies such as marketing to improve school readiness in Minnesota, have collaborated to launch www.parentaware.org. This website is a tool to help parents make informed decisions about early childhood program options for their young children. As part of our RTT-ELC work, MDE and DHS established a plan to monitor and continuously improve the rating tool and process. Parent Aware quality measures and indicators are currently being strengthened; revisions will be completed by the end of 2015 and implemented in 2016.

Minnesota continues to coordinate its preschool programs with other resources, create alignment, and channel stakeholder voices. The State Advisory Council on Early Childhood Education and Care, known as the Early Learning Council, is comprised of 30 citizens and early childhood advocates, including four elected officials and four named state agency positions. They meet as a council six times a year and more frequently in committees to advise the

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Governor, state agencies, and the Legislature on strategies and legislation to improve the state's preschool system. They also hold listening sessions and community conversations throughout the state to gather input from diverse stakeholders and hard-to-reach communities. The Council supports the state's Preschool Expansion Plan (See Appendix 4, Letters of Support), as it did the successful RTT-ELC application that enabled Minnesota to establish a firm foundation for the creation of a statewide High-Quality Preschool system. The Council has advocated for additional funding for Early Learning Scholarships to increase Eligible Children's access to child care and early education programs. Additionally, the Council has recommended the development of a Common PreK-3 Framework, a series of research-based recommendations to align early educational experiences from preschool through 3rd grade (otherwise referred to as P-3).

Minnesota promotes the coordination of preschool programs and services with other sectors that support children's early learning and development. In 2011, Governor Dayton created a Children's Cabinet comprised of the Commissioners of DHS, the Department of Health (MDH), and MDE - the three agencies responsible for serving young children and their families. This Cabinet meets monthly to coordinate state agency work that impacts Minnesota children from birth to 12th grade. Policies and programs that have been influenced by this collaboration include improved licensing requirements and training to reduce child mortality in child-care settings; using home visiting services to outreach to isolated or hard-to-reach populations; working with the Minnesota Department of Health (MDH) on early identification and referral for maternal depression; and requiring testing of newborns for severe immune system disorders and serious heart defects. Within MDE, the creation of the Office of Early Learning has increased the visibility of work around early education reform, alignment across P-3, and cross-sector collaboration B-3. Updates to the ECFE statute allow Minnesota to leverage state-funded parenting education and outreach efforts to promote coordination. LEAs can now use ECFE funding to provide a parenting education liaison to Head Starts, child care providers, Early Childhood Special Education (ESCE), other early learning programs, local public health programs, and health care providers.

A(2) Preschool Expansion Plan. Minnesota's Preschool Expansion Plan is designed to work through strategic partnerships to create a voluntary statewide High-Quality Preschool system that promotes and sustains student access, achievement, and family engagement over a continuum from B-3. To implement this plan, MDE has created partnerships with LEAs

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(subgrantees) in nine High-Need Communities. These High-Need Communities have high rates of poverty, low rates of school readiness, low rates of academic performance, high rates of ELs, and high rates of children with special needs. The Preschool Expansion Plan aims to increase access for Eligible Children and implement High-Quality Preschool in these communities while building an infrastructure for a B-3 system that improves student outcomes. Specifically, High-Quality Preschool will be implemented in Transformation Zones, which allow for the simultaneous implementation of innovations and infrastructure across a vertical slice of the education system. That is, Transformation Zones serve to unite stakeholders, service providers, administrators, teachers, parents, representatives from cultural communities, and early learning providers across multiple settings to plan, coordinate services, and ensure that the implementation of High-Quality Preschool meets local needs. (See Criterion D and F.)

As such, subgrantees in these communities will oversee the creation and improvement of preschool slots through a mixed-delivery system to include school-based, charter school-based, center-based (both private and faith-based), licensed child care, and Head Start providers. The Preschool Expansion Plan will build the capacity of these providers to deliver High-Quality Preschool that advances Minnesota's efforts to align standards, expand the Parent Aware TQRIS, enhance parent engagement, broaden culturally competent practice, and strengthen comprehensive assessments, data-informed practices, evidence-based curriculum, cross-sector B-3 coordination, P-3 alignment, and PD, coaching and technical assistance.

A(3) Increased Enrollment of Eligible Children. With funding from this grant, MDE will increase the number and percentage of Eligible Children served in High-Quality Preschool in each year, and year-to-year. Our ambitious and achievable state plan calls for serving 1,143 (3.78% of) Eligible Children in Year One, 1,373 (4.54%) in Year Two, 1,529 (5.05%) in Year Three, and 1,589 (5.25%) in Year Four. In total, MDE will create 5,634 slots in High-Quality Preschool, including 3,428 new slots (60%). We anticipate that the implementation of this plan also will result in High-Quality Preschool slots for non-Eligible Children through the creation of economically-diverse classrooms across a mixed-delivery system of early learning providers.

A(4) Characteristics of High-Quality Preschool. MDE's State Criteria for High-Quality Preschool (See Appendix 2) aligns with the federal program standards as articulated in the Preschool Development Grant - Expansion Grant, and builds from the firm foundation created in our state by Parent Aware, Minnesota's School Readiness Statute, and the Head Start Child

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Development and Early Learning Framework. The State Criteria also draws on the Child-Parent Center (CPC) model that is being expanded in 29 schools in Minnesota and Illinois (*i.e.*, Midwest Expansion) through a USDOE Investing In Innovations (i3) Validation grant. The CPC Midwest Expansion is directed by Dr. Arthur Reynolds at the University of Minnesota's Human Capital Research Collaborative. Co-Principal Investigators include Dr. Art Rolnick and Dr. Judy Temple (UMN), and Barbara Bowman (Erikson Institute). Established in 1967, CPC is the second-oldest publicly funded preschool (after Head Start) and was the first Title I-funded preschool program of the Elementary and Secondary Education Act of 1965. CPC's central features are: (1) the provision of comprehensive services, (2) parental involvement in school to enhance parent-child interactions and engagement, and (3) a child-centered curriculum intended to build academic understanding and skills in essential domains. The model features small class sizes with low staff-student ratios to promote individualized attention. Human Capital Research Collaborative is partnering with MDE to provide PD based on CPC's strong evidence of large and enduring effects on student achievement, high school graduation, and child well-being (Reynolds, Magnuson & Ou, 2010). Dr. Reynolds will provide CPCs tools and PD modules, as well as coaching and technical assistance to ensure the effective implementation of High-Quality Preschool to Minnesota's Program Criteria (See Letter of Support, Appendix 4).

A(5) School Readiness. Minnesota defines school readiness as the skills, knowledge, behaviors, and accomplishments that children know and can do as they enter kindergarten in key areas of child development (See Appendix 3, Set of Expectations for School Readiness). Minnesota's definition of school readiness includes and extends the five Essential Domains of School Readiness as identified in the National Academies Press's (NAP) *Early Childhood Assessment Why, What and How* and the 1995 National Education Goals Panel (NEGP), including Social and Emotional Development; Approaches to Learning; Language and Literacy; Cognitive Development (including mathematical and scientific thinking); and Physical and Motor Development. Minnesota also includes a sixth domain, Creativity and the Arts, which aligns our standards with the Head Start Early Learning Framework. Since 2006, MDE has assessed school readiness based on eight weeks of standards-based observation by teachers using a modified Work Sampling System tool on a representative sample of students. To determine school readiness, MDE calculates a composite score for each child, with an overall proficiency standard of 75% or more in total points across all the observed indicators.

