

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



**APPLICATION FOR GRANTS  
UNDER THE**

**Preschool Development Grants - Expansion**

**CFDA # 84.419B**

**PR/Award # S419B150008**

**Grants.gov Tracking#: GRANT11758006**

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

Closing Date: Oct 14, 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="10/13/2014"/>	4. Applicant Identifier: <input type="text" value="VT Agency of Education"/>
--	---

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

**State Use Only:**

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

**8. APPLICANT INFORMATION:**

\* a. Legal Name:

* b. Employer/Taxpayer Identification Number (EIN/TIN): <input type="text" value="03-6000264"/>	* c. Organizational DUNS: <input type="text" value="8849027010000"/>
--	---

**d. Address:**

* Street1:	<input type="text" value="219 N.Yain St."/>
Street2:	<input type="text" value="Suite 402"/>
* City:	<input type="text" value="Barre"/>
County/Parish:	<input type="text" value="Washington"/>
* State:	<input type="text" value="VT: Vermont"/>
Province:	<input type="text"/>
* Country:	<input type="text" value="USA: UNITED STATES"/>
* Zip / Postal Code:	<input type="text" value="05641-4129"/>

**e. Organizational Unit:**

Department Name: <input type="text" value="VT Agency of Education"/>	Division Name: <input type="text" value="Integrated Support for Learnin"/>
---	---

**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="Karin"/>
Middle Name: <input type="text"/>	
* Last Name: <input type="text" value="Edwards"/>	
Suffix: <input type="text"/>	
Title: <input type="text" value="Director ISL Division"/>	

Organizational Affiliation:

* Telephone Number: <input type="text" value="802-479-1407"/>	Fax Number: <input type="text" value="802-479-1829"/>
---	---

\* Email:

**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.):**

[Add Attachment](#)

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

Vermont PDG-Expansion Grant Project

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="33,392,282.00"/>
* 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:

## 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.

<p>SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL</p> <p>Kathy Flanagan</p>	<p>TITLE</p> <p>Secretary Agency of Education</p>
<p>APPLICANT ORGANIZATION</p> <p>Vermont Agency of Education</p>	<p>DATE SUBMITTED</p> <p>10/13/2014</p>

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

# DISCLOSURE OF LOBBYING ACTIVITIES

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

Approved by OMB  
0348-0046

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

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

Prime     SubAwardee

\* Name:

\* Street 1:     \* Street 2:

\* City:     \* State:     \* Zip:

Congressional District, if known:

<b>6. * Federal Department/Agency:</b> <input type="text" value="US Department of Education"/>	<b>7. * Federal Program Name/Description:</b> <input type="text" value="Elemental Development Grants"/> CFDA Number, if applicable: <input type="text" value="84.409"/>
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<b>8. Federal Action Number, if known:</b> <input type="text"/>	<b>9. Award Amount, if known:</b> \$ <input type="text"/>
--	--

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

Prefix  \* First Name  Middle Name

\* Last Name  Suffix

\* Street 1     \* Street 2

\* City     \* State     \* Zip

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

Prefix  \* First Name  Middle Name

\* Last Name  Suffix

\* Street 1     \* Street 2

\* City     \* State     \* Zip

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

\* Signature:

\* Name: Prefix  \* First Name  Middle Name

\* Last Name  Suffix

Title:     Telephone No.:     Date:

<b>Federal Use Only:</b>	Authorized for Local Reproduction Standard Form - LLL (Rev. 7-97)
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PR/Award # S419B150008



## 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.**

VTPD:GEXPANSTONGEPA.pdf

Delete Attachment

View Attachment

### **ED GEPA427 Form**

All activities under the Vermont PDG-Expansion grant will conform to relevant state and federal regulatory requirements, and local, state and federal rulemaking, that ensure equitable access to, and participation in, programs for students, teachers and other program beneficiaries with special needs. This will include all six types of barriers highlighted in the General Provisions Education Act (GEPA): gender, race, national origin, color, disability and age. It will also include sexual orientation.

All Vermont state agencies are committed to a policy of equal opportunity employment. Policies and practices prohibit discrimination on the basis of race, color, religion, ancestry, national origin, sex, sexual orientation (as provided by 21 V.S.A. .495), place of birth, age, or physical or mental condition (a person with a qualifying disability) in all employment practices. In recruiting project staff and participating teachers, every effort will be made to encourage employment of people traditionally underrepresented.

In Vermont, more than 73% of preschool children with disabilities participate in inclusive early learning and development programs with typically developing peers. The Vermont Agency of Education Part B Annual Performance Report (2012) states that 73.68% - or 1,349 of the total population of 1,831 children age three to five with IEPs in Vermont - attended a regular early childhood program and received the majority of special education and related services in the regular early childhood program. This is a 2.10% increase from 2011, and exceeds Vermont's target for this indicator of 71.78%. Only 4.81% - or 88 of the total population of 1,831 children age three to five with IEPs - attended a separate special education class, separate school or residential facility. This is a 1.58% decrease from 2011 and exceeds Vermont's target for this indicator of 6.19%.

Vermont has a variety of programs and structures in place that provide culturally and linguistically appropriate outreach and communication related to early learning and development programs.

The Vermont Early Childhood Action Plan, in Result #3, targets cultural and linguistic competence as a key goal. It articulates a variety of specific action steps to build increased cultural and linguistic competency into workforce development activities.

In rural communities, neighbors and local service providers know where isolated families live. Vermont will ensure outreach to isolated or hard-to-reach families through its extensive network of local partners including LEAs and Head Start programs.

Vermont received a LAUNCH (Linking Actions for Unmet Needs in Children's Health) grant from the federal Substance Abuse and Mental Health Services Administration (SAMHSA) in 2012. A collaboration between Vermont Department of Health and the Building Bright Futures Council to enhance the quality and availability of existing programs and services for children birth through eight, Vermont's Project LAUNCH is being piloted in Chittenden County, which includes Vermont's most concentrated areas of diversity. The project has built a strong partnership among community partners in the Chittenden region working together to employ innovative cross sector strategies to engage and support families that are New Americans and others of diverse cultural backgrounds.

Vermont's LEAs – supervisory unions and supervisory districts – and Head Start programs are subgrantees under this application. Public schools provide outreach and services to linguistically and culturally diverse children and families, including in our state preschool program. Examples include the provision of licensed ESL (English as a Second Language) teachers, translators and culturally sensitive and responsible curricula. Targeted family engagement activities and community events are provided to culturally and linguistically diverse families. These activities are in addition to the daily check-ins and regular meetings scheduled with all families of children enrolled in the public school based PreK classes.

In a rural state like Vermont, local community partners are critical to disseminating information and outreach for new and existing initiatives. All of these partners provide services in culturally and linguistically appropriate manner, or assure appropriate referrals.

Vermont has seven federally funded Head Start programs serving children and families living in poverty across the state. All seven Head Start programs will be subgrantees under the PDG-Expansion grant. All seven Head Start programs engage parents in governance decisions through parental participation on Policy Councils. This includes cultural and linguistic competence.

At least ten percent (10%) of the total number of children actually enroll by each Head Start grantee must consist of children with disabilities who are determined to be eligible for special education and related services.

As part of their activities in Professional Learning Communities, subgrantees will be encouraged to create diverse leadership and will also be encouraged to identify and work with local stakeholders who have expertise in the cultural strengths, challenges, and needs in their communities. This would include, among others, military families, refugees from a variety of countries, migrant families, LGBTQ families and youth, and rural youth.

## 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

Vermont Agency of Education

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

Prefix: Ms.

\* First Name: Rebecca

Middle Name:

\* Last Name: Holcombe

Suffix:

\* Title: Secretary-Agency of Education

\* SIGNATURE: Kathy Flanagan

\* 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:

## Abstract

The state of Vermont requests \$ (b)(4) in Preschool Development Grants-Expansion Grant (PDG-Expansion) first year funds for the Vermont PDG-Expansion Initiative (the Program or Project), an ambitious but achievable plan including 498 new PreK slots and improving 795 existing slots for low-income four-year-olds in the first year of funding. These 1,293 PreK slots represents an expansion of access to a total of 49.90% of Vermont's eligible four-year-olds. By the end of the fourth year of funding, this number will rise to 1,818 or 70.17% of eligible four-year-olds statewide.

The portion of funds for administrative purposes (5%) will be used to hire Program and Fiscal Managers who will manage the PDG-Expansion implementation statewide; to fund a contract for external program evaluation; and limited expenses relating to travel and equipment.

The Grant Coordinator (who will serve as the program manager) will also provide technical assistance to subgrantees and facilitate and support a Professional Learning Community to enable subgrantees to share best practices, collaborate on training and professional development and support each other in developing high-quality preschool programs. This specific assistance was requested by the subgrantees during the proposal development process. The Fiscal Manager will provide technical assistance to subgrantees to properly braid various funding streams to enhance the sustainability of their PreK programs.

Private philanthropic dollars - part of Vermont's (b) % match of requested funds - will support mentoring to increase the number of licensed early education teachers in Vermont.

Vermont has defined "high-needs communities" as Supervisory Unions (SUs) and Supervisory Districts (SDs) (LEAs) that have 25% or more of their children at or below 200% of the Federal Poverty Level (FPL). A total of 33 subgrantees (all seven of Vermont's Head Start

programs and 26 of Vermont's Supervisory Unions and Districts) in approximately 150 high-needs communities statewide have formally agreed to participate. Thus, Vermont's PDG-Expansion project will have statewide reach.

Proposed Program outcomes will target children, families, and high-quality preschool programs.

Vermont has demonstrated a strong and enduring commitment to the early learning and development of young children and a record of accomplishment in providing high-quality early learning programs, and other programs and services, for children from birth to age five. Yet, work remains to be done. Vermont ranks high in access but does not fully achieve the quality defined as high quality preschool programs (HQPP), and that quality varies across individual programs in a mixed delivery model. Act 166, Vermont's universal PreK legislation, has been enacted but is primarily focused on access and equity. With universal voluntary access achieved, increasing quality and dosage in the state preschool program for four-year-olds under 200% FPL will be significantly accelerated with the resources requested in this proposal. This will help to close the achievement gap for poor children.



## Project Narrative File(s)

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\* Mandatory Project Narrative File Filename:

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

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## **A. Executive Summary**

### **A1. How the project will build on the state's progress to date.**

The state of Vermont has demonstrated a strong and enduring commitment to the early learning and development of young children and a record of accomplishment in providing high-quality early learning programs, and other programs and services, for children from birth to age 5.

- Vermont is one of only three states plus the District of Columbia providing and funding universal prekindergarten (PreK) to all four-year-olds (Allen, 2014). States such as Georgia and New York are described as having a universal PreK program, but state funding in these states is insufficient to serve all eligible children (Allen, 2014).
- Vermont ranks second (after the District of Columbia) in access for three-year-olds (Barnett, et al., 2013). Most states primarily provide PreK only for at-risk four-year-olds (and only serve other three- and four-year-olds who qualify for special education services).
- Through Vermont's Act 166 (see B3, page 23) there is no means testing for PreK and all of Vermont's school districts must provide PreK funding for all three-, four-, and five-year-olds (not enrolled in kindergarten).
- Vermont is one of only three states and the District of Columbia that serve more than 70% of their state's four-year-olds with PreK programs, in spite of an "unprecedented" downward trend in enrollment totals nationwide (Barnett, et al., 2013).
- Vermont ranks fourth in the nation in PreK access for four-year-olds (Barnett, et al., 2013).
- Vermont is focused on increasing capacity of its high quality early learning and development programs (ELDP) – an outcome advanced in many of the projects funded through its Race to the Top-Early Learning Challenge (RTT-ELC) grant. Vermont's preschool program mandates a mixed delivery model creating strong partnerships between local education agencies and private providers. (See A4, page 10).
- The level of inclusion of children with disabilities in PreK is very high in Vermont (see B4, page 35) and there is significant income diversity among participating children (see E7, page 118).

- The teacher licensure standard in Vermont's state preschool program includes an endorsement in early childhood education or in early childhood special education. This standard is higher than that established under the requirements for the PDG-Expansion RFP in that Vermont requires not only an undergraduate degree but also educator licensure.
- Vermont's Ready Kindergarten Survey (RKS) is one of the strengths of Vermont's early childhood statewide assessment system. Since 2000, Vermont has gathered information on the readiness of children entering kindergarten by annually surveying all kindergarten teachers about the "readiness" of their students within the first six to ten weeks of school (see C3, page 80).
- Vermont's TQRIS, Vermont STARS, is robust (see C2a, page 65).
- Vermont requires state-funded PreK providers to braid (rather than blend) Act 166 state-funded PreK, federal Head Start, and Title I funding streams. This involves using a cost allocation approach similar to that required of all Head Start programs with a major caveat that the first 10 hours per week of PreK education but must be paid for with Act 166 dollars.
- Systems for providing supports for children birth through age five and their families are robust and well coordinated (see B5, page 54).
- For the second year in a row, Vermont ranks second among the 50 states in the overall well-being of its children (KidsCount, 2014). It ranks eighth overall for economic well-being, third overall for education, sixth overall for health, and third overall for the strength of its families and communities. WalletHub (2014) ranked Vermont first among U.S. states as the best in which to have a baby.

Yet, work remains to be done.

- Lessened outcomes for children and barriers to access to PreK are linked to low-income and rurality (see D2, page 97). Childhood poverty has risen 25% in Vermont since 2007 (KidsCount, 2014).
- Vermont's Act 166 (see B3, page 23) funds part-time (10 hours per week) PreK free of charge to all four-year-olds in Vermont and established minimum quality standards. This state preschool program, though indicative of a major commitment to early education as part of the K-12 system, does not meet the quality standards defined for a HQPP in the

PDG-Expansions RFP. Funding through this application would enable Vermont to significantly improve SPP services for low-income children in our state (see D4, page 108).

- Act 166 also requires monitoring and developmentally appropriate curriculum aligned with Vermont's Early Learning Standards (VELS). Using funds from its Race to the Top-Early Learning Challenge (RTT-ELC) grant, Vermont proposes to implement a robust PreK monitoring system that includes the 33 subgrantees funded through this application in the first wave of included programs (see C2, page 62).
- PreK in Vermont is voluntary. Approximately 10% or more of Vermont's children arrive for Kindergarten without prior participation in Vermont's PreK system. Philanthropic dollars will be used for outreach to identify and enroll Eligible Children in HQPP as a part of this proposal.
- In 2012-2013, Vermont met only four out of 10 National Institute for Early Education Research (NIEER) (Barnett, et al., 2013) benchmarks for PreK program quality. These four benchmarks consist of comprehensive early learning standards, at least fifteen hours per year of teacher in-service, class sizes of 20 or lower, and staff to child ratios of 1:10 or better. Work identified in this proposal will help Vermont meet additional quality benchmarks and create a state preschool program ranked among the best in the nation for both access and quality.
- Acts 62 and 166 have created an increased demand for licensed early childhood teachers in Vermont. Private philanthropic dollars have been obtained to fund a program to provide mentoring and support from highly qualified childhood educators to provisionally licensed early childhood educators in community early learning and development programs across the state. These mentors will also work with provisionally licensed educators to ensure they complete the work required to become fully licensed within two years. The goal of this mentoring program is to increase the supply of qualified early childhood teachers in Vermont.

Funding through this PDG-Expansion grant will enable Vermont to build on its existing record of success, and improvements currently being implemented through its Race to the Top-Early Learning Challenge (RTT-ELC) grant and other funds, to further improve its quality and expand access to high-quality early learning and development programs.

Vermont's recent governors – particularly the current governor, Peter Shumlin – have made major commitments to Vermont's children. Governor Shumlin stated in 2013 in his Second Inaugural Address:

The evidence is overwhelming: the earlier we invest in our children, the healthier, more productive lives they will have. Taxpayers win too, since every dollar we invest in early childhood education saves seven dollars in the future.

Vermont defines early childhood as a critical period of life beginning at birth but also with an emphasis on healthy pregnancy, and continuing through third grade. We view early childhood learning and development as multi-dimensional and understand these dimensions are intertwined. We prioritize a unified approach that addresses the relationship among all domains of development and strives to integrate the diversity of programs, services and supports that surround young children and their families in our communities. We target resources and investments to promote resiliency, build protective factors and reduce achievement gaps for children with high needs.

NIEER's State Preschool Yearbook (Barnett, et al., 2013) summarizes Vermont's historical commitment to early education, prior to the passage this year of Act 166, Vermont's universal PreK legislation (see B3, page 23):

The Vermont Early Education Initiative (EEI) was established in law in 1987 as an annual competitive grant program to finance early education opportunities for at-risk 3- to 5-year-olds. Eligible children must meet one of the following criteria: family income below 185 percent of the federal poverty level, a developmental delay, limited English proficiency, a history of mistreatment or neglect, or social isolation. EEI grant proposals must be from partnerships of at least one school district and one community early care and education program; either partner may be the grantee. Over the past few years, EEI financial support has remained relatively constant. EEI is not the state's designed PreK program; however, because EEI funds can be used to provide preschool education services to 3- and 4-year-olds, it is included as a program in this report.

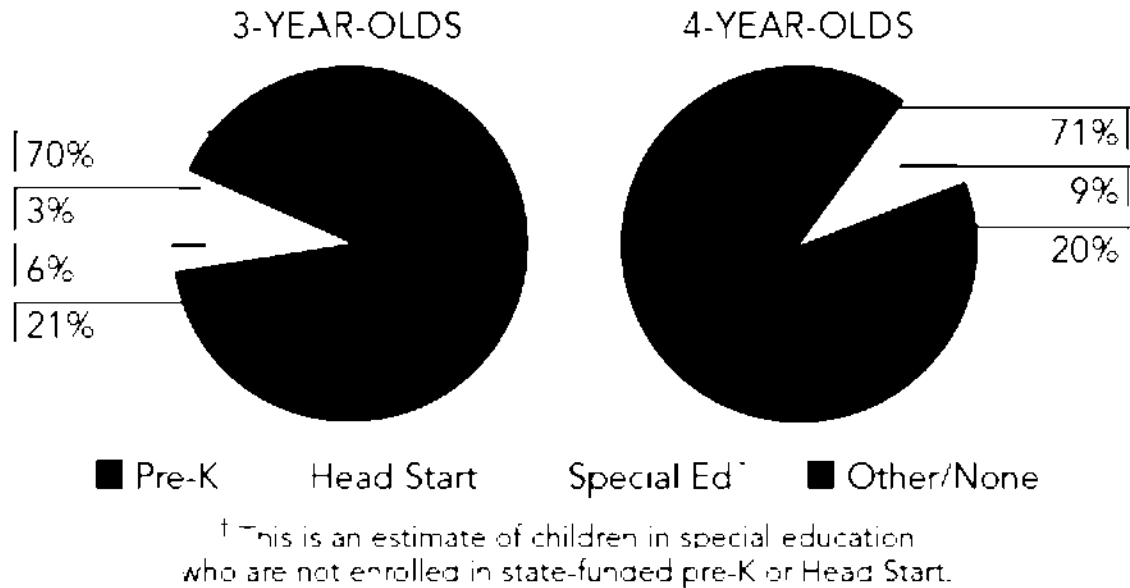
Vermont established its designated preschool program in 2003. It allows school districts to subsidize PreK education by including 3-to 5-year-olds in their school



census. Initially called the Publicly Funded PreK using Average Daily Memberships (PFP-ADM), the program underwent significant changes in 2007, with the passage of Vermont PreK Education-Act 62. Before 2007 local education agencies could include 3- to 5-year-olds in their school census, but there were few policies for implementing services. Under Act 62, PreK programs are supported through the state's Education Fund in the same way K-12 education is funded. Child enrollment is voluntary, and districts are not required to provide the program, though roughly 80 percent of Vermont's local education agencies (LEAs) are able to provide it through an arrangement of school-based programs and partnerships with private family-based or center-based providers, private preschools, and/or with Head Start programs. "Publicly funded PreK education" is defined in Act 62 as 6 to 10 hours per week of preschool education services for children ages 3 to 5 and "full-time" PreK is 10 hours per week during the school year. Public schools may contract with other preschool providers, including Head Start agencies and family child care homes for service provision, and private child care to provide PreK. The state originally limited the number of PreK children a district could count in its school census, but limitations were lifted in all towns effective in the 2011-2012 school year.

Since the 2008-2009 school year, Act 62 programs operating in nonpublic locations require one teacher per center to have a ECE or ECSE [early childhood education or early childhood special education] license, rather than requiring one such teacher in each preschool classroom. Most classrooms, however, do have a lead teacher with a BA and early childhood or early childhood special educator license, in both the public and private settings. Act 62 requires all PreK programs, including those operated by public schools, to attain at least 4 out of 5 stars in Vermont's Step Ahead Recognition Systems (STARS), Vermont's quality rating system, or to hold NAEYC accreditation. Both EEI and Act 62 use Teaching Strategies GOLD to track child outcomes.

Act 166, Vermont’s universal PreK legislation, requires school districts to provide access through prequalified PreK programs operated by a public school, Head Start or a private provider for 10 hours a week, 35 weeks a year, for all Vermont three, four, and five-year-olds not enrolled in kindergarten. The bill applies to enrollments beginning on July 1, 2015 (see B3, page 23).



**Figure 1: Vermont PreK and Head Start Enrollment as Percentage of Total Population of 3- and 4-Year-Olds (Barnett, et al., 2013)**

Data presented throughout this application, in selection criteria B and elsewhere, suggest a record of accomplishments in Vermont in early learning and development (ELD). These data support Vermont’s ambitious but achievable plan to expand ELD services to more Vermont low-income four-year-olds and their families.

**A2. Provide high-quality preschool programs in two or more high-need communities**

Through PDG-Expansion funds, Vermont will provide high-quality preschool programs in approximately 150 high-need communities through its 33 subgrantees.

In a white paper on poverty in Vermont, Blalock and Lumbert (2010) noted that one of the key differences between patterns of poverty in Vermont and in the United States as a whole is that individuals in deep poverty in the state “live in much more rural areas.” Because it is one of the most rural states in the country, poverty in Vermont exists in pockets scattered throughout its geography rather than being concentrated in urban and suburban environments.

To reflect the scattered nature of poverty in the state, Vermont has defined “high need communities” as Supervisory Unions (SUs) and Supervisory Districts (SDs) that have 25% of their children at or below 200% of the Federal Poverty Level (FPL). There are 64 SUs and SDs in Vermont. All (100%) of Vermont’s SDs and SUs are high needs communities as defined above. (See D1, page 84).

In Vermont, there are three forms of public authorities legally constituted for the administrative control and direction of public elementary and secondary schools. These are “Supervisory Unions” (SUs) and “Supervisory Districts” (SDs), and within them, “school districts.” (Vermont Gen. Laws ch 16 V.S.A. § 11, no date).

A “Supervisory Union” is an administrative, planning, and educational service unit created by the state board under section 261 of Title 16, which consists of two or more school districts; if the context clearly allows, the term may also include a supervisory district.

A “Supervisory District” is a supervisory union that consists of only one school district, which may be a unified union district.

A “School District” is a town school district, union school district, interstate school district, city school district, unified union district, and incorporated school district, each of which is governed by a publicly elected board. Vermont currently has 251 school districts.

The subgrantees in these high needs communities (see D1, page 84) will be LEAs (Supervisory Unions (SU) and Supervisory Districts (SD)) and Head Start programs. These subgrantees will provide IIQPP services directly and also through partnerships with prequalified prekindergarten education programs.

### **A3. Increase the number and percentage of eligible children served in high-quality preschool programs**

Through PDG Expansion funding, Vermont would increase the number and percentage of eligible children served in high-quality preschool programs (see G1, page 155) to 70.14% of all eligible four-year-olds statewide by the end of year four.

### **A4. Characteristics of high-quality preschool programs**

Vermont’s offerings will fully conform to, and in some respects exceed, the definition of high-quality preschool programs as defined in the Preschool Development Grants-Expansion Grants Application for Initial Funding (see B4, page 35).

Public PreK in Vermont is a mixed delivery model. Various types of programs use different curricula and have different philosophical approaches. However, under Act 166 (see B3, page 23), and the previous Act 62 (see B3, page 23), all programs must meet the same program standards, child care licensing regulations, staff qualifications, and ensure that their programs align with Vermont's Early Learning Standards (VELS) (see B1, page 17). Act 166 in particular, which becomes fully operational on July 1, 2015, mandates "developmentally appropriate early development and learning experiences based on Vermont's early learning standards." It prequalifies both public and private providers based on minimum quality standards, and requires adherence to evidence-based practices that "create a developmentally appropriate environment and support the delivery of an engaging program that support the social, emotional, intellectual, language, literacy, and physical development of PreK children."

Act 166, Vermont's universal PreK legislation, is primarily focused on access and equity. Act 166 did not increase quality standards but it did include an intent to address increasing quality by instructing the Vermont AOE and AHS to review existing standards and recommend changes by 2016. "designed to ensure that programs are based on intentional, evidence-based practices that create a developmentally appropriate environment and support the delivery of an engaging program that supports the social, emotional, intellectual, language, literacy and physical development of PreK children." With universal voluntary access achieved, increasing quality and dosage in the state preschool program will be exponentially accelerated with the resources requested in this proposal.

Of the 12 structural elements identified in the PDG-Expansion RFP as ensuring program quality as defined in a HQPP, Vermont's current state preschool program requires or fully incorporates five, approaches or substantially includes five more, and plans to fully incorporate the two remaining elements into the HQPP created through funding from this proposal. For a longer discussion of quality standards (see B4, page 35).

#### **A5. Set expectations for school readiness.**

The *Vermont Early Learning Standards: Guiding the Development and Learning of Children Entering Kindergarten* (VELS) (2003) (see B1, page 17, and Appendix, page 390) articulate the expectations for school readiness, and what three to five year olds know and can do. The VELS were informed by and aligned with *Vermont's Framework of Standards and Learning Opportunities* (learning standards for K-12) and the *Head Start Child Outcomes Framework*.

These learning standards are based on a set of principles that view the child holistically and developmentally, include readiness domains, and recognize the importance of play.

A recent analysis of Vermont's Ready Kindergarten Survey (RKS), which aligns with VELs, found a significant positive correlation between Vermont children eligible for free or reduced lunch who attended PreK and readiness for kindergarten (see C3, page 80).

While the Ready Kindergartners Survey (KRS) has served Vermont well, there is some work to be done to ensure that it reflects the latest research on predictors of school success and to verify that it is appropriate for all subgroups of kindergartners. The methods currently used to collect the readiness data need to be improved so that kindergarten teachers can easily and securely submit child level ratings that include children's identifying information. Further, kindergarten teachers need to engage in professional development experiences to assure reliability and that they know how to interpret the data to use it to inform their instruction.

Using RTT-ELC funds, Vermont is contracting with a consultant to create two interactive e-learning modules and a one-credit course on the enhanced RKS. Vermont is also contracting with a national research group to analyze the results of the enhanced RKS pilot.

#### **A6. Supported by a broad group of stakeholders**

As evidenced by the letters of support and MOUs appended to this application (see Appendix, page 69), there is substantial support among a broad group of stakeholders for Vermont's ambitious and achievable plan for expanding access to high-quality preschool programs as proposed in this application.

The Funders Collaborative, a consortium of private philanthropists, has invested millions of private dollars both individually and collectively into early learning and development in Vermont. Collaborative projects include the Vermont Community Preschool Collaborative (VCPC), which has invested over \$2M in efforts to ensure universal access to high-quality PreK since 2005. The recently launched Birth Through Three Project has assembled over \$1M from a range of private and corporate foundations to impact developmentally beneficial services for younger children over the next several years (see E9, page 121). These funders provided support to the development of this proposal.

The Permanent Fund, Vermont Business Roundtable, Vermont Businesses for Social Responsibility, Vermont Community Loan Fund, Vermont Community Foundation, A.D. Henderson Foundation, and the Turrell Foundation have all been highly supportive of early

