

# Universal PreKindergarten Mixed Delivery Planning Grant – Round 3 Request for Data Overview and Instructions

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Administered by the Early Education Division

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## Introduction

### Background

Decades of research demonstrate that an early and strong foundation for learning matters. Children who have effective learning opportunities before kindergarten have an advantage in school and in life over children who do not, especially children with adverse childhood experiences. Children who attend quality educational Universal PreKindergarten (UPK) programs are more prepared for school in terms of their early literacy, language, and math skills, their executive function, and social- emotional development. In some cases, prekindergarten participants are less likely to be identified for special education services or to be held back in elementary school than children who do not attend developmentally informed prekindergarten programs that include strong educational components.

California is now positioning to plan for an expansion of high-quality UPK through the mixed-delivery system for all three- and four-year-old children through bold leadership and extensive investments starting in the Budget Act of 2022, with the UPK Mixed Delivery Planning Grant Round 1 and the subsequent Round 2 in the Budget Act of 2023, and Round 3 in the Budget Act of 2024.

The tumult of the Coronavirus Disease 2019 pandemic accelerated a call to action to ensure a strong educational foundation for all children, emphasizing the critical role of our education system in supporting children and families’ needs and how local flexibility fuels community capacity to meet their needs. California’s leaders responded with historic investments in family support, child development and care, and education. Yet, as the Master Plan for Early Learning and Care highlights, realizing the promise of early childhood investments will require all partners—across early learning and care, early education, and expanded learning and extended care communities—to work together to create a stronger system designed to meet the needs of the whole child.

California seeks to set children on a trajectory of lifelong success by investing in early and equitable learning experiences through the planned expansion of universal high-quality educational prekindergarten programs for three- and four- year-old children across the state in a mixed-delivery system funded through the UPK Mixed Delivery Planning Grant.

### Authorization

The California Department of Education (CDE) is authorized to administer the UPK Mixed Delivery Planning Grant through Chapter 2 of Part 6, Division 1 of Title 1 of the California *Education Code* (*EC*), Article 13.1,commencing with Section 8320. Full statutory language can be read in Appendix A.

## Grant Requirements

### Program Overview and Requirements

The CDE invites eligible applicants to apply for grant funding to:

* + 1. Provide ongoing planning in partnership with grantees who received funding from the UPK Planning and Implementation (UPK P&I) grant for the provision of high-quality UPK options for three- and four-year-old children, through a mixed-delivery system that ensures access to high-quality, full- and part-day learning experiences, coordinated services, and referrals for families to access health and social-emotional support services. UPK P&I grantees are county offices of education (COEs) and local educational agencies (LEAs). These programs shall meet the quality indicators codified in *EC* Section 8203 and regulated through Title 5.
    2. Provide ongoing planning in partnership with UPK P&I grantees (COEs and LEAs) for increasing inclusion of children with exceptional needs in UPK. UPK as defined in statute means “those programs that offer part-day or full-day, or both, educational programs for three- and four-year-old children and may be offered through a mixed-delivery system.”
    3. Provide ongoing planning in partnership with UPK P&I grantees (COEs and LEAs) in your county to assist aspiring UPK site supervisors, teachers, and other support staff to identify and access local workforce pathway programs with the goal of increasing the number of site supervisors, teachers, and other support staff who have the required credentials and degrees (identifying local financial support programs as part of the workforce pathway is an example).
    4. Conduct outreach services and enrollment support in partnership with UPK P&I grantees (COEs and LEAs) for families of three- or four- year- old children to enroll children in high-quality full and part-day learning experiences that meet the needs of families. High-quality is defined in statute as meeting the quality indicators in *EC* Section 8203 and being regulated by Title 5.
    5. Partner with Tribes, as sovereign nations, in the ongoing planning and implementation of the UPK mixed-delivery system to reflect Tribal family and community needs. The “mixed-delivery system” is defined in statute as “a system of early childhood education services that is delivered through a variety of providers, programs, and settings, including:
       1. Head Start agencies
       2. Public schools having prekindergarten
       3. Private programs having prekindergarten
       4. Community-based organizations (CBOs) having prekindergarten
       5. LEAs that offer center-based childcare and prekindergarten programs
       6. Tribal childcare and prekindergarten
       7. Family childcare through a family childcare home education network (FCCHEN) that has prekindergarten
    6. Form and maintain a local workgroup to help facilitate the ongoing planning and to carry out the activities of this grant, and consisting with the following entities as listed in statute:
* a single working group that shall include, but not be limited to, representatives from:
  + 1. COEs
    2. School districts
    3. Charter schools offering transitional kindergarten
    4. Resource and referral (R&R) programs
    5. Alternative payment programs (APPs) operating preschool programs
    6. First 5 county commissions
    7. Contracted state preschool programs - including both LEA and CBO programs
    8. General childcare programs serving preschool-age children
    9. Tribal preschool programs
    10. Private center-based childcare preschool providers
    11. Licensed family childcare providers
    12. Educators (transitional kindergarten [TK])
    13. Exclusive bargaining representatives
    14. Head Start
    15. Faculty at local institutions of higher education (IHEs) focusing on child development or early childhood education
    16. Early childhood education teacher preparation programs - including IHEs
    17. Commit to providing program data to the CDE annually including, but not necessarily limited to, plan development steps and participants engaged in the grant activities and planning, core needs of critical communities, including Tribal communities, and recipient information and participation in overall program evaluation.

The UPK Mixed Delivery Planning Grant is part of the overarching expansion of UPK in California, which is supported through several funding streams. This includes the UPK P&I grant, which has provided non-competitive apportionments to LEAs for UPK planning and implementation. The UPK P&I grant was established with the goal of expanding access to classroom based UPK programs at LEAs and to support costs associated with planning and implementing UPK. The UPK Mixed Delivery Grant Round 3 provides funding on a non-competitive basis to local planning councils (LPCs),R&Rs, and First 5 county commissions to partner with all LEAs in the county that received funding from the UPK P&I grant to plan for:

* their county’s expansion of UPK through the mixed-delivery system
* to create alignment and coordination of their county’s plans
* to conduct the required activities of this grant

### Allowable Activities and Costs

The UPK Mixed Delivery Grant Round 3 funds may be used for the purposes consistent with activities that directly support planning for universal access to high-quality educational prekindergarten programs for three- and four-year-old children across the state through a mixed-delivery system including, but not limited to, purposes specified in the California *EC* Section 8320 (e):

* Assessing the parental preferences and the need for access to available high-quality UPK through a mixed-delivery system as defined in statute for three- and four-year-old children in the county or region by program type.
* Establishing or strengthening partnerships with other providers of early childhood education services and FCCHENs within the county or region’s mixed-delivery system as defined in statute and with tribal partners to ensure that high-quality, defined as meeting the quality indicators in *EC* Section 8203 and being regulated by Title 5, options for UPK, including inclusive prekindergarten programs and multilingual programs, are available for three- and four-year-old children.
* Engaging in community-level coordination and planning with agencies participating in the county or region’s mixed-delivery system, as defined in statute in *EC* Section 8320, for the implementation of high-quality UPK options. This may include activities to coordinate the local workgroup required by statute in *EC* Section 8320 (found at the California State Legislature web page at: <https://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?sectionNum=8320&lawCode=EDC>).
* Planning and coordination with special education local and regional partners, including regional centers and LEAs, to plan for three- and four- year-old children with disabilities in the county or region to have access to UPK through the mixed-delivery system, as defined in statute in *EC* Section 8320, in the least restrictive environment.
* Partnering with the local Quality Counts California (QCC) to facilitate on-going planning for the support needed for workforce development, coaching, and other quality improvement activities to support the expansion of high-quality UPK in the mixed-delivery system, as defined in *EC* Section 8320
* Other costs, as pre-approved by the CDE. Some examples are:
  + Stipends for local workgroup members who represent the entities required for the workgroup in *EC* Section 8320, to be used as an incentive for participation in the workgroup.
  + Food and refreshments, specifically for the local workgroup meeting with the entities required for the workgroup in EC 8320, to be used as an incentive for workgroup members to attend meetings outside of regular working hours.
  + Advertising is allowed within certain parameters and must be preapproved via the budget submission. These parameters include that the grantee must use the definitions pertinent to this grant listed in *EC* Section 8320, and that the advertisement is for the whole UPK system not a particular, named program.

The UPK Mixed Delivery Planning Grant Round 3 funds must be used to supplement, not supplant, existing planning resources. The CDE has final discretion as to whether the use of funding is consistent with those expressed purposes.

Sample activities that can be funded through the UPK Mixed Delivery Planning Grant Round 3 include, but are not limited to, the following activities and are held to the standard of being necessary, reasonable and justifiable in cost:

* salaries for a staff position to carry out the coordination
* rental fees for spaces needed to hold the local working group meetings
* technical equipment for coordination efforts
* stipends for members sitting on the local workgroup if the workgroup meetings take place outside of normal business hours
* consumables during the local workgroup meetings
* enrollment events, subject to a preapproved budget, to facilitate enrolling children into UPK

All applicants must comply with the Uniform Administrative Requirements, Cost Principles, and Audits Requirements for Federal Awards, found in the Title 2 *Code of the Federal Regulations*, part 200, which can be found at US Government Publishing Office web page at: <https://www.govinfo.gov/app/details/CFR-2014-title2-vol1/CFR-2014-title2-vol1-> [part200/context](https://www.govinfo.gov/app/details/CFR-2014-title2-vol1/CFR-2014-title2-vol1-part200/context), in managing the grant.

In addition, all applicants must comply with the principles and standards specified in the most current California School Accounting Manual (CSAM), which can be found at the CDE CSAM web page for Definitions Instructions and Procedures found at: <https://www.cde.ca.gov/fg/ac/sa/documents/csam2019complete.pdf>.

The California State Audit Guide, which can be found on the Education Audit Appeals Panel web page at [https://eaap.ca.gov/audit-](https://eaap.ca.gov/audit-guide/current-audit-guide-booklet/) [guide/current-audit-guide-booklet/](https://eaap.ca.gov/audit-guide/current-audit-guide-booklet/).

Applicant budgets for the grant funds will be reviewed and approved but not scored. Any items that are determined to be non-allowable, excessive, or inappropriate will be requested to be removed prior to the submitted request for data (RFD) being accepted in its final form. Awarding funds pursuant to this RFD does not waive CDE's right to later disallow an expense that is not in line with the statutory uses of the money or the above guidance documents.

### Definitions Pertinent to this Grant

**“Mixed-delivery system”** means a system of early childhood education services that is delivered through a variety of providers, programs, and settings, including Head Start agencies or delegate agencies funded under the Head Start, public, private, or proprietary agencies, including CBOs, public schools, and LEAs that offer center-based child care and prekindergarten programs, Tribal childcare and prekindergarten and **family child care through a FCCHEN.**

**“Universal prekindergarten”** means those programs that offer part-day or full- day, or both, educational programs for three- and four-year-old children and may be offered through a mixed-delivery system.

**“High quality”** refers to programs those programs that meet the indicators of quality that are codified in *EC* Section 8203 and regulated through Title 5.

## Description

### Grant Information

This application covers the grant period beginning July 1, 2024, and ending June 30, 2026. The total available funding for the UPK Mixed Delivery Planning Grant Round 3 RFD is $18.3 million. Grant funding will be dispersed on a non-competitive basis to awarded LPCs, R&Rs, and First 5 county commissions with the LPCs having first priority and R&Rs having second priority based on a funding allotment per county. If a consortium is applying, the lead fiscal agency will receive the funding for all counties listed in the consortium.

The funding allotment available per county can be found below under the Final County Funding Allocations section. Only one agency per county may receive grant funding.

The county allocation is based on the county-level data available to the CDE using methodology pursuant to statutory language (*EC* Section 8320).

### Eligibility Requirements

To be eligible to apply for UPK Mixed Delivery Planning Grant Round 3 funding, the following must occur:

* The applicant must be the LPC, R&R, or First 5 county commission in the county or consortium region.
* The applicant must be one of the following:
  + An LPC, an R&R, or a First 5 county commission
  + A newly formed consortium of Round 1 or Round 2 grantees
* Individual counties who participated in a former consortium for Round 1 or Round 2 for this grant may disband from the original consortium and apply alone. Eligible applicants must submit a completed RFD for Round 3.
* Only one applicant per county may apply and be awarded funds, with the following order of priority:
  + LPC
  + R&R
  + First 5
    - First 5 county commissions applying for this grant must submit a certification signed by both the LPC and R&R relinquishing their priority to apply

Additional requirements for consortia:

* The Lead Agency for Round 3 must remain the lead for the length of the grant and entities cannot switch mid-grant (this would not affect the makeup for Round 1 and Round 2).
* The Lead Agency must act as the fiduciary agent, including compiling and submitting the consortium’s fiscal and programmatic information.
* The Lead Agency must collect and submit any data from all entities listed in the consortium as required by the CDE.

### Non-Allowable Activities and Costs

All expenditures must contribute to the activities listed above and be reasonable, necessary, and within the proposed activities described in the RFD application.

Funds provided under this grant may NOT be used for the following purposes:

* Supplanting of existing funding and efforts
* Planning for the expansion of the mixed-delivery system that does not meet standards in *EC* Section 8203 and is regulated by Title 5
* Hourly wage or salary increases for early learning and care teachers
* Stipends for entities not listed in statute and not attending the local workgroup
* The implementation of professional development or training of the local workforce
* Speakers at local events
* Food costs other than those for the local workgroup meetings, as required in statute, and de minimis consumables allowed for UPK enrollment events.
* Public relations campaigns, media, or communications to directly support a UPK contractor or individual
* Direct service of early learning and care (for example, funding of slots)
* Acquisition of furniture (for example, bookcases, chairs, desks, file cabinets, tables) unless an integral part of an equipment workstation and preapproved by the CDE
* Consumables, with the exception of food services and refreshments specifically for the local workgroup meetings (for example, alcoholic beverages, banquets, diapers are not allowed)
* Purchase of buildings
* Personal electronic devices
* **Purchase of promotional favors, items, or memorabilia, such as bumper stickers, pencils, pens, T-shirts, gifts, and souvenirs**
* Paying off bad debts, including losses (whether actual or estimated) arising from uncollectible accounts and other claims, related collection costs, and related legal costs
* Costs of advertising and public relations designed solely to promote the governmental unit, lead agency, or partners
* Entertainment, including amusement, diversion, and social activities and any expenses directly associated with such costs
* Goods or services for the personal use of the lead agency and partners employees, regardless of whether the cost is reported as taxable income to the employees
* Legal costs incurred in defense of any civil or criminal fraud proceeding;
* Legal expenses for prosecution of claims against the State of California
* Lobbying costs, whether direct or indirect
* Political activities
* Organized fundraising, including financial campaigns, solicitation of gifts and bequests, and similar expenses incurred to raise capital or obtain contributions
* Out-of-state travel and all travel costs that exceed state rates
* Materials and supplies for site-level distribution; approved materials and supplies are only those necessary for county-level planning, coordination, and enrollment of children into UPK programs
* Current year agreement funds to pay prior or future year obligations
* Capital assets such as equipment, land, buildings, vehicles, and so on
* All costs required to make the item serviceable (for example, taxes, freight, installation costs, site preparation costs, and so on)
* Facilities renovation, improvements, and repairs

Additionally, funds may not be used for implementation of the plan created unless otherwise stated by the CDE, nor to fund student capacity (spots or slots) or teacher salaries.

Funded applicants unsure of a particular expense must consult with the Early Education Division for technical assistance.

### Administrative Indirect Cost Rate

Indirect costs reflect general administration and overhead costs that cannot easily be charged as direct program costs of the programs or activities they benefit from and that are borne by a primary party because of activities it charges as direct costs. Indirect costs may not exceed 10 percent for the fiscal year (FY) in which the funds are spent. For a consortium, only the lead agency of a consortium can charge indirect costs. The grantee must limit total administrative indirect costs to 10 percent.

## Application Processes and Procedures

### Timeline\*

|  |  |
| --- | --- |
| **Key Events** | **Date** |
| Funding Awards posted | October 21, 2024 |
| RFD available | October 21, 2024 |
| RFD Informational Webinar | November 6, 2024 |
| Application due | November 22, 2024 |
| Grant Award Notification (GAN) sent to eligible applicants for review and  signature | February 2024 |
| Signed GANs due to CDE | 10 business days after GANs are released |
| Grant Award Funding Disbursement | Four to six weeks after date on signed  GAN |

\*Dates subject to change by the CDE.

### Application Process

Prior to applying, applicants are strongly encouraged to review the RFD Overview and Instructions and the RFD application template and consider all requirements for eligibility.

Each application submitted must include the following documents:

* **Section I:** Applicant Information
* **Section II:** Applicant Narrative
* **Section III:** Application Data
* **Section IV:** Application Budget
* **Section VI:** Application Agreement and Certification

All applicants must submit one application, containing all required documents, to the CDE via email to [UPKMixedDeliveryGrant@cde.ca.gov](mailto:UPKMixedDeliveryGrant@cde.ca.gov) on or before the application due date. Once the application is received, the applicant will receive a notification that their application was submitted successfully.

### Application Checklist Screening Review

Complete applications will be reviewed by the CDE. Incomplete applications and applications not completed in accordance with the instructions and timelines will delay funding disbursement.

The CDE will review all applications for completeness. For those applications that are incomplete, applicants will be informed in writing and must provide a correction within two business days. All eligible applications not passing the screening process will be notified in writing within 10 days of submittal and given the process for corrections.

If applicants have inquiries as to their applications, they may contact the CDE at [UPKMixedDeliveryGrant@cde.ca.gov](mailto:UPKMixedDeliveryGrant@cde.ca.gov).

### Awarding of Funding

The total allocation of funding for the UPK Mixed Delivery Grant Round 3 is $18.3 million in FY 2024–25. The funding will be released to successful applicants from funds appropriated by *EC* Section 8320 for the goal of expanding access universally to prekindergarten programs for three- and four-year-old children across the state through a mixed-delivery system. Allocations may be adjusted.

Funds for the UPK Mixed Delivery Planning Grant Round 3 are allocated based on a formula specified in *EC* Section 8320 and will remain identical to funding awarded in Round 1. Funds allocated to counties that did not apply will be redistributed to other successful applicants. Funds will be allocated using a methodology for determining the amount of funds in each county that accounts for all of the following:

1. Base grant funding that reflects the number of three- and four-year-old children in the county or region.
2. Add-on funding that reflects both of the following:
   * + 1. The number of three- and four-year-old children in the county or region who are currently eligible for, but not enrolled in, subsidized prekindergarten programs as part of the mixed-delivery system for UPK, as determined by the Superintendent.
       2. The number of three- and four-year-old children with exceptional needs in the county or region.

The CDE has the right to check the accuracy of the information provided in this RFD to ensure accuracy prior to making any awards.

Funds that are allocated for this grant shall be expended by June 30, 2026. The CDE will then initiate collection proceedings for unexpended funds.

#### Final County Funding Allocation

Recipients and funding amounts are subject to budget and administrative adjustments.

| County | Funding |
| --- | --- |
| Alameda | $487,055.00 |
| Alpine | $30,009.00 |
| Amador | $62,596.00 |
| Butte | $187,651.00 |
| Calaveras | $65,348.00 |
| Colusa | $61,558.00 |
| Contra Costa | $446,410.00 |
| Del Norte | $62,373.00 |
| El Dorado | $179,045.00 |
| Fresno | $565,270.00 |
| Glenn | $64,958.00 |
| Humboldt | $176,418.00 |
| Imperial | $213,882.00 |
| Inyo | $61,528.00 |
| Kern | $530,790.00 |
| Kings | $194,689.00 |
| Lake | $65,359.00 |
| Lassen | $61,667.00 |
| Los Angeles | $3,243,104.00 |
| Madera | $191,505.00 |
| Marin | $180,444.00 |
| Mariposa | $57,212.00 |
| Mendocino | $72,992.00 |
| Merced | $226,028.00 |
| Modoc | $56,739.00 |
| Mono | $57,335.00 |
| Monterey | $349,184.00 |
| Napa | $178,861.00 |
| Nevada | $70,907.00 |
| Orange | $924,103.00 |
| Placer | $230,520.00 |
| Plumas | $58,713.00 |
| Riverside | $870,945.00 |
| Sacramento | $609,842.00 |
| San Benito | $74,619.00 |
| San Bernardino | $850,342.00 |
| San Diego | $1,046,070.00 |
| San Francisco | $290,854.00 |
| San Joaquin | $493,152.00 |
| San Luis Obispo | $197,986.00 |
| San Mateo | $368,705.00 |
| Santa Barbara | $353,788.00 |
| Santa Clara | $514,191.00 |
| Santa Cruz | $202,008.00 |
| Shasta | $192,598.00 |
| Sierra | $40,292.00 |
| Siskiyou | $63,538.00 |
| Solano | $362,391.00 |
| Sonoma | $352,699.00 |
| Stanislaus | $425,275.00 |
| Sutter | $176,895.00 |
| Tehama | $69,707.00 |
| Trinity | $55,661.00 |
| Tulare | $374,350.00 |
| Tuolumne | $61,380.00 |
| Ventura | $477,178.00 |
| Yolo | $189,274.00 |
| Yuba | $172,007.00 |
| Total | **$18,300,000.00** |

### Technical Assistance

Questions regarding the application and its process can be submitted to [UPKMixedDeliveryGrant@cde.ca.gov](mailto:UPKMixedDeliveryGrant@cde.ca.gov) with the county name in the subject line.

The CDE will conduct an RFD informational webinar session after the release of the RFD to provide an overview of the RFD and offer potential applicants an opportunity to ask clarifying questions.

### Grant Award Notification

Applicants selected for funding will receive a grant award notification (GAN). Grantees must sign and return the GAN to the CDE before funds are disbursed. A signature on the GAN indicates that the awardee will comply with all the grant requirements.

### Accountability – Reporting Requirements

Ongoing communication with the CDE is an integral part of the reporting requirements. Grantees will be made aware of technical assistance webinars to attend. The CDE team will conduct individual meetings with grantees upon request or as needed based on grantee performance.

The following regular reporting must be completed and submitted by each grantee:

* A semiannual fiscal activity report
* A semiannual programmatic narrative progress report that includes a description of accomplishments, challenges, identified resources, effective practices, and next steps to be developed
* The Annual Data Collection (ADC) survey, including data on the implementation of the goals and activities described in statute and submitted via Snap Survey annually in October

If the required reports are not provided in a timely manner or program activities are not timely completed, the CDE may suspend funding to the grantee and, unless satisfactorily remedied, may terminate funding altogether. The department shall initiate collection proceedings for grant funds used by grantees in a manner inconsistent with the requirements of this section, including, but not limited to, failing to submit all required data pursuant to statute.

The CDE will provide, in Word document form, the required ADC data elements in advance of the ADC submission deadline to allow grantees time to gather information and prepare their survey responses.

## UPK Mixed Delivery Planning Grant Application Instructions

Prior to submission, applicants are strongly encouraged to read the entire UPK Mixed Delivery Planning Grant Program RFD Overview and Instructions. The UPK Mixed Delivery Planning Grant application consists of the following sections:

1. Section I: Applicant Information (Required)
2. Section II: Application Program Narrative (Required)
3. Section III: Application Budget
4. Budget Summary (Required)
5. Budget Narrative (Required)
6. Section IV: Application Agreement and Certification (Required)

As a reminder, only eligible applicants that submit all required sections will be considered for Round 3 funding. The CDE will notify counties that have not submitted an RFD to allow them the opportunity to do so.

### Section I: Applicant Information

| **Application Field** | **Instructions** |
| --- | --- |
| **Applicant Agency or Lead Agency applying on behalf of the consortium** | Provide the name of the entity applying for the grant |
| **Type of Entity Applying** | Select “Local Planning Council (LPC)”, “Resource and Referral Agency (R&R)”, “First 5 county commission”, “LPC Consortium,” “R&R Consortium,” or “First 5 consortium” |
| **If applying on behalf of a consortium, list all counties involved** | If applicable, insert the names of the entities that are a part of the consortium, separated by a comma in between each agency |
| **If applying on behalf of a consortium – list all LPCs in the counties** | All LPCs must be made aware that a consortium is formed, whether of LPCs or R&Rs – list the LPC agency names |
| **Programmatic Point of Contact Name** | Insert the name of the person who is responsible for programmatic content related to this grant |
| **Programmatic Point of Contact’s Office Telephone Number and Extension (If Applicable)** | Insert the office telephone number and extension number (if applicable) of the Programmatic Point of Contact |
| **Programmatic Point of Contact’s Email Address** | Insert the email address of the Programmatic Point of Contact |
| **Fiscal Contact Name** | Insert the name of the person who is responsible for fiscal content related to this grant |
| **Fiscal Contact’s Office Telephone Number and Extension (If Applicable)** | Insert the office telephone number and extension number (if applicable) of the Fiscal Point of Contact |
| **Fiscal Point of Contact’s Email Address** | Insert the email address of the Fiscal Point of Contact |
| **County** | Provide the applying entity’s county of service |
| **Commit to Submit Data [type yes]** | Tick the box next to “yes” to ensure you commit to providing program data to the CDE, as specified by the State Superintendent of Public Instruction, including, but not limited to, plan development steps and participants engaged in the grant activities and planning, core needs of critical communities, including tribal communities, and recipient information and participation in overall program evaluation |

### Section II: Application Narrative

The written narratives are subject to the following requirements:

1. The information included in the application must be relevant to the program being administered by the applicant.
2. Applicants are welcome to use responses developed for their county’s LEA or COE UPK P&I Template to answer the questions raised in the narrative section. The template can be found on the CDE Elementary UPK and TK web page at <https://www.cde.ca.gov/ci/gs/em/index.asp>.
3. Inclusion of false or misleading information will not be accepted.

#### Required Activities Questions

1. Describe in detail how the Lead Agency will partner with the COE and other LEAs in the county on the work required under the UPK P&I Grant to ensure activities conducted under this grant meet community needs for UPK in a mixed-delivery system not already addressed in the LEA or COE UPK plans. The requirements for the UPK Mixed Delivery Grant can be found in *EC* Section 8320 on the California State Legislature Information web page at <https://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill_id=202120220AB185>.
2. Describe in detail how the Lead Agency will achieve the task of partnering to plan for, align and coordinate the plans, and conduct the activities required for this grant with all LEAs in the county that received funding pursuant to the California Prekindergarten Planning and Implementation Grant Program (*EC* Article 13.2 [commencing with Section 8281.5]).
3. Describe in detail the Lead Agency’s plan to partner with LEAs in the county to plan for the provision of high-quality UPK options for three- and four-year-old children through a mixed-delivery system that ensures access to high-quality full- and part-day learning experiences, coordinated services, and referrals for families to access health and social-emotional support services. Indicators of quality shall meet *EC* Section 8203 and be regulated by Title 5.
4. Describe in detail the Lead Agency’s plan to partner with the LEAs in the county to plan for increasing inclusion of children with exceptional needs in UPK.
5. Describe in detail the Lead Agency’s plan to partner with LEAs in the county to assist aspiring UPK site supervisors, teachers and other support staff to identify and access local workforce pathway programs with the goal of increasing the number of site supervisors, teachers, and other support staff who have the required credentials and degrees (identifying local financial support programs as part of the workforce pathway is an example).
6. Describe in detail the Lead Agency’s plan to conduct, in coordination with the local LEA UPK P&I grantees, outreach services and enrollment support for families of three- or four-year-old children to meet family needs and provide those children with high-quality full- and part-day learning experiences (indicators of quality shall meet *EC* Section 8203 and be regulated by Title 5).
7. Describe in detail how the Lead Agency will achieve the task of partnering with Tribes to reflect family and Tribal community needs, as sovereign nations, in the planning and implementation of the county UPK mixed-delivery system.
8. Will the Lead Agency be subgranting funds to the county’s R&R or LPC? If so, please list the names of the R&R(s) or LPC and state the activities that the R&R or LPC will be responsible for.
9. Describe in detail the Lead Agency’s plan for forming and maintaining a local workgroup to help facilitate the on-going planning and to carry out the activities of this grant, and consisting with the following entities as listed in statute:

* A single working group that shall include, but not be limited to, representatives from:
  1. COEs
  2. School districts
  3. Charter schools offering TK
  4. Resource and referral programs
  5. Alternative payment programs operating prekindergarten programs
  6. First 5 county commissions
  7. Contracted state prekindergarten programs - including both local education agency and community-based organization programs
  8. General childcare programs serving prekindergarten -age children
  9. Tribal prekindergarten programs
  10. Private center-based childcare prekindergarten providers
  11. Licensed family childcare providers
  12. Educators (TK)
  13. Exclusive bargaining representatives
  14. Head Start
  15. Faculty at local institutions of higher education focusing on child development or early childhood education
  16. Early childhood education teacher preparation programs - including institutions of higher education

#### Optional Questions

If you plan to use grant funds for any of the activities below, please answer the respective question. These questions are optional.

1. Describe the Lead Agency’s plan and how funds will be used to assess the parental preferences and the need for access to available high-quality UPK through a mixed-delivery system for three- and four-year-old children in the county or region by program type (indicators of quality shall meet *EC* Section 8203 and be regulated by Title 5).
2. Describe the Lead Agency’s plan and how funds will be used to establish or strengthen partnerships with other providers of early childhood education services and FCCHENs within the county’s mixed-delivery system and with Tribal partners, to ensure that high-quality options for UPK, including inclusive prekindergarten programs and multilingual programs, are available for three- and four-year-old children.
3. Describe the Lead Agency’s plan and how funds will be used to engage in community-level coordination and planning with agencies participating in the county mixed-delivery system for the implementation of high-quality UPK options.
4. Describe the Lead Agency’s plan and how funds will be used to coordinate with special education local and regional partners, including regional centers and LEAs, to ensure three- and four-year-old children with exceptional needs in the county or region have access to UPK through the mixed-delivery system in the least restrictive environment in accordance with Section 1412(a)(5)(A) of Title 20 of the United States Code.
5. Describe the Lead Agency’s plan and how funds will be used to partner with the county’s local QCC to plan for supporting workforce development with the goal of supporting the UPK mixed-delivery system.

### Section III: Documents to Submit: Application Narrative, Application Budget Summary, Budget Narrative

A projected budget for Round 3 funding for FYs 2024–25 and 2025–26 is required upon RFD submission. Applicants must use the UPK Mixed Delivery Planning Grant Round 3 Proposed Budget Summary and Narrative templates provided by the CDE.

The CDE will review the budget documents for completion, cost-effectiveness, and the level of detail provided, and to ensure that all planned activities are allowable. The awarding of funding does not mean that all proposed costs have been approved, and applicants may be requested to revise budgets and grant activities to align with statutory and regulatory authority.

#### Proposed Budget Summary (Required)

Applicants must fill out the Budget Summary Template (Excel) indicating totals for each object code for each FY. Applicants should not alter the Budget Summary Template’s formatting or formulas. Indirect up to 10 percent may be included.

#### The Proposed Budget Narrative (Required)

Applicants must fill out the Budget Narrative Template (Word) indicating the details of all charges for each object code for each FY of the grant. The Budget Narrative should align with the Budget Summary submitted.

### Section VI: Application Agreement and Certification

The applicant will sign to certify that the information provided in the application is correct and complete.

## Appendix A: Statutory Language

California *Education Code* ARTICLE 13.1. California Universal Preschool Planning Grant Program [8320–8320. (Article 13.1 added by Stats. 2022, Ch. 62, Sec. 11.) 8320].

(a) The California Universal Preschool Planning Grant Program is hereby established with the goal of expanding access universally to preschool programs for three- and four-year-old children across the state through a mixed-delivery system.

(b) As used in this section, the following definitions shall apply:

(1) “Children with exceptional needs” has the same meaning as defined in Section 8205.

(2) “Mixed-delivery system” means a system of early childhood education services that is delivered through a variety of providers, programs, and settings, including Head Start agencies or delegate agencies funded under the Head Start Act (42 U.S.C. Sec. 9831, et seq.), public, private, or proprietary agencies, including community-based organizations, public schools, and local educational agencies that offer center-based childcare and preschool programs, tribal childcare and preschool, and family childcare through a family childcare home education network.

(3) “Three- and four-year-old children” has the same meaning as “three-year-old children” and “four-year-old children,” as those terms are defined in Section 8205.

(4) “Universal preschool” means those programs that offer part-day or full-day, or both, educational programs for three- and four-year-old children, and may be offered through a mixed-delivery system.

(c) (1) (A) Pursuant to an appropriation in the annual Budget Act, for each of the 2022–23, 2023–24, and 2024–25 fiscal years, the Superintendent shall consult with the Director of Social Services and shall create an application to award grant funds to one designated lead agency within each county, as set forth in this section. Each county shall submit a single planning grant application.

(B) The county grant submission shall contain a signed agreement from the resource and referral agencies in the county and the local planning council.

(2) (A) (i) A local planning council established pursuant to Article 2 (commencing with Section 10485) of Chapter 31 of Part 1.8 of Division 9 of the Welfare and Institutions Code shall have first priority for grant awards from their county’s allocation of funds calculated for each county, as described paragraph (1) of subdivision (d).

(ii) A local planning council shall express interest by submitting a letter of intent to the department on a template developed by the Superintendent in consultation with the State Department of Social Services.

(iii) If a local planning council wishes to partner with other counties in their region pursuant to subdivision (j), the local planning council shall indicate this intent in their letter of intent.

(B) (i) In counties where the local planning council does not submit a letter of intent to receive an award, a resource and referral agency established pursuant to Chapter 2 (commencing with Section 10217) of Part 1.8 of Division 9 of the Welfare and Institutions Code that operates in the county may submit a joint letter of intent with the local planning council to the Superintendent, on a template developed by the Superintendent in consultation with the State Department of Social Services, indicating interest in conducting the activities of this grant in their county.

(ii) The joint letter submitted pursuant to clause (i) shall designate a lead fiscal agency and describe the partnership the resource and referral agencies will use to meet the requirements of the grant.

(iii) If a resource and referral agency wishes to partner with other counties in their region pursuant to subdivision (j), the resource and referral agency shall indicate this intent in their letter of intent.

(C) Once letters of intent have been submitted, the Superintendent shall require the designated lead agency from each county to submit an application that includes, but is not limited to, all of the following information:

(i) A description of how it will allocate funds and achieve tasks described in subdivision (f).

(ii) A description of how the applicant will partner with the county office of education and other local educational agencies in the county on the work required pursuant to Section 8281.5, to ensure activities conducted under this grant meet community needs for universal preschool in a mixed-delivery system not already addressed.

(D) All grantees shall be required to coordinate with the county office of education on the work required pursuant to Section 8281.5. In counties where the county office of education operates the resource and referral agency or the local planning council, the staff responsible for those activities at the county office of education shall be included and financially supported to participate in the activities of this grant.

(E) The grantee shall form a single working group that shall include, but not be limited to, representatives from the county offices of education, school districts, charter schools offering transitional kindergarten, resource and referral programs, alternative payment programs operating preschool programs, First 5 county commissions, contracted state preschool programs, including both local educational agency and community-based organization programs, general childcare programs serving preschool-age children, tribal preschool programs, private center-based childcare preschool providers, licensed family childcare providers, educators, exclusive bargaining representatives, Head Start, faculty at local institutions of higher education focusing on child development or early childhood education, and early childhood education teacher preparation programs, including institutions of higher education.

(d) The Superintendent shall develop and administer a grant process and award grant funds to each county that applies for funding for the 2022–23 fiscal year if the application conforms with the requirements of this section. Funds shall be allocated using a methodology for determining the amount of funds in each county that accounts for all of the following:

(1) (A) Base grant funding that reflects the number of three- and four-year-old children in the county or region.

(B) Add-on funding that reflects both of the following:

(i) The number of three- and four-year-old children in the county or region who are currently eligible for, but not enrolled in, subsidized preschool programs as part of the mixed-delivery system for universal preschool, as determined by the Superintendent.

(ii) The number of three- and four-year-old children with exceptional needs in the county or region.

(2) To the extent funds are available in the Budget Act of 2023, existing grantees shall be eligible to apply for a renewal grant subject to terms and conditions developed by the Superintendent.

(3) (A) To the extent funds are available in the Budget Act of 2024, the following entities shall be eligible to apply for a grant subject to terms and conditions developed by the Superintendent:

(i) Existing grantees.

(ii) Newly formed consortia.

(iii) Individual counties that participated in a former consortium for this grant, with the first priority for the funds going to the local planning council, pursuant to the process described in subdivision (c), as appropriate.

(B) Notwithstanding subparagraph (A), in a county that previously received funds from this grant, where the previous grantee or consortia of grantees does not intend to reapply for funding pursuant to subparagraph (A), the following entities shall be eligible to apply as part of an existing or newly formed consortia, with the following priority order:

(i) The local planning council.

(ii) Resource and referral agencies.

(iii) First 5 county commissions.

(C) If an entity applies for the grant pursuant to subparagraph (B), the grant submission shall include a signed statement, from all entities within the county with a higher priority and within the same priority, that acknowledges their intent not to apply for the funds.

(D) An entity receiving funds pursuant to this paragraph shall complete all activities of the grant pursuant to subparagraph (D) of paragraph (2) of subdivision (c), subparagraph (E) of paragraph (2) of subdivision (c), and subdivision (f).

(E) The entity applying for funds in each county pursuant to this paragraph shall express interest by submitting a letter of intent to the department on a template developed by the Superintendent, before submitting the request for data.

(F) Each county shall submit a single planning grant application for the relevant fiscal year.

(G) If funds are awarded pursuant to this paragraph to a First 5 county commission, the First 5 county commission shall collaborate with, and subgrant funds, where appropriate, to local planning councils and resource and referral agencies to implement the activities of this section.

(e) Grant funds may be used for costs associated with any of the following:

(1) Assessing the parental preferences and the need for access to available high-quality universal preschool through a mixed-delivery system for three- and four-year-old children in the county or region by program type.

(2) Establishing or strengthening partnerships with other providers of early childhood education services and family childcare home education networks within the county or region’s mixed-delivery system and with tribal partners, to ensure that high-quality options for universal preschool, including inclusive preschool programs and multilingual programs, are available for three- and four-year-old children.

(3) Engaging in community-level coordination and planning with agencies participating in the county or region’s mixed-delivery system to implement high-quality universal preschool options.

(4) Coordinating with special education local and regional partners, including regional centers and local educational agencies, to ensure three- and four-year-old children with exceptional needs in the county or region have access to universal preschool through the mixed-delivery system in the least restrictive environment in accordance with Section 1412(a)(5)(A) of Title 20 of the United States Code.

(5) Partnering with the regional agency responsible for the system described in Section 8203.1 to fund and support workforce development, coaching, and other quality improvement activities to support the universal preschool mixed-delivery system.

(6) Other costs, as specified by the Superintendent.

(f) Entities receiving grants pursuant to this subdivision shall do all of the following:

(1) Plan for the provision of high-quality universal preschool options for three- and four-year-old children, through a mixed-delivery system that ensures access to high-quality full- and part-day learning experiences, coordinated services, and referrals for families to access health and social-emotional support services. Indicators of quality shall be determined by the Superintendent pursuant to Section 8203.

(2) Plan for increasing inclusion of children with exceptional needs in universal preschool.

(3) Assist existing and aspiring universal preschool site supervisors, teachers, and other support staff in identifying and accessing local workforce pathway programs, including financial support programs, to increase the number of site supervisors, teachers, and other support staff who have required credentials and degrees.

(4) Provide outreach services and enrollment support for families of three- or four-year-old children, to meet family needs and provide those children with high-quality full- and part-day learning experiences.

(5) Partner to plan for, align and coordinate the plans, and conduct the activities described in paragraphs (1) to (4), inclusive, with all local educational agencies in the county or region that received funding pursuant to the California Prekindergarten Planning and Implementation Grant Program (Article 13.2 (commencing with Section 8281.5)).

(6) Partner with tribes to reflect family and tribal community needs, as sovereign nations, in the planning and implementation of the universal preschool mixed-delivery system.

(7) Commit to providing program data to the department, as specified by the Superintendent, including, but not limited to, plan development steps and participants engaged in the grant activities and planning, core needs of critical communities, including tribal communities, and recipient information and participation in overall program evaluation.

(8) Develop a plan for consideration by the county board of education at a public meeting on or before June 30, 2023, for how all four-year-old children and an increased number of at-promise three-year-old children in the county may access full-day learning programs before kindergarten that meet the needs of parents, including through partnerships with the universal preschool programs in the mixed-delivery system and expanded learning offerings.

(g) If the entity receiving the grant in a county is a local planning council, the local planning council shall collaborate with, and subgrant funds where appropriate to, local resource and referral agencies to implement the activities of this section.

(h) If the entity receiving the grant in a county is a resource and referral agency, the resource and referral agency shall collaborate with, and subgrant funds where appropriate to, the local planning council to implement the activities of this section.

(i) (1) Funds that are allocated or awarded pursuant to this section shall be expended on or before June 30, 2026. The department shall then initiate collection proceedings for unexpended funds.

(2) The department shall initiate collection proceedings for grant funds used by grantees in a manner inconsistent with the requirements of this section, including, but not limited to, failing to submit all required data pursuant to subdivision (f).

(j) This section does not prohibit counties from joining together to address regional needs with their funding and developing regional plans.

(k) The Superintendent shall provide a report to the Department of Finance and the appropriate policy and fiscal committees of the Legislature on or before October 1, 2026, on the expenditure of funds and relevant outcome data in order to evaluate the impact of the grants awarded under this section.

(l) For purposes of this section, the State Department of Education may enter into exclusive or nonexclusive contracts with nongovernmental entities on a bid or negotiated basis. A contract entered into or amended pursuant to this section shall be exempt from Chapter 6 (commencing with Section 14825) of Part 5.5 of Division 3 of Title 2 of the Government Code, Section 19130 of the Government Code, and Part 2 (commencing with Section 10100) of Division 2 of the Public Contract Code, and shall be exempt from the review or approval of any division of the Department of General Services.

(m) Notwithstanding any other law, a contracted nongovernmental entity described in subdivision (l) may subcontract as necessary in the performance of its duties, subject to approval of the Superintendent.

## Appendix B: Key Terms and Acronyms

| **Terms and Acronyms** | **Definition** |
| --- | --- |
| **Applicant** | An LPC or R&R that requests funding from a grant program administered by the CDE. |
| **CBO** | Community-based organization |
| **CDE** | California Department of Education |
| **Children with Special Needs** | “Children with exceptional needs” has the same meaning as defined in *EC* 8205. |
| **COE** | County office of education |
| ***EC*** | California *Education Code* |
| **EED** | The Early Education Division of the California Department of Education. |
| **Expanded Learning** | Before-school, after-school, summer, or intersession learning programs that focus on developing the academic, social, emotional, and physical needs and interests of pupils through hands-on, engaging learning experiences. It is the intent of the Legislature that learning programs are pupil-centered, results- driven, include community partners, and complement, but do not replicate, learning activities in the regular school day and school year. |
| **Grantee** | An applicant who is funded pursuant to an approved award notification. |
| **High-Quality** | Meeting the standards pursuant to *EC* Section 8203 and regulated by Title 5. |
| **Inclusion** | The right of every eligible child, regardless of ability, to participate as full members in high-quality early learning and care programs through access, participation, and support. |
| **LEA** | A local educational agency. For purposes of this RFD, LEA may include school districts, COEs, and charter schools. |
| **LPC** | A local planning council established pursuant to Article 2 (commencing with Section 10485) of Chapter 31 of Part 1.8 of Division 9 of the Welfare and Institutions Code. |
| **Mixed-Delivery System** | “Mixed-delivery system” means a system of early childhood education services that is delivered through a variety of providers, programs, and settings, including Head Start agencies or delegate agencies funded under the Head Start Act (42 U.S.C. Sec. 9831, et seq.), public, private, or proprietary agencies, including community-based organizations, public schools, and local education agencies that offer center-based childcare and prekindergarten programs, tribal childcare and prekindergarten, and family childcare through a family childcare home education network |
| **RFD** | Request for Data |
| **R&R** | A resource and referral agency established pursuant to Chapter 2 (commencing with Section 10217) of Part  1.8 of Division 9 of the Welfare and Institutions Code. |
| **SSPI** | State Superintendent of Public Instruction, California Department of Education |
| **Three- and four-year-old children** | “Three- and four-year-old children” has the same meaning as “three-year-old children” and “four-year-old children,” as those terms are defined in Section 8205. |
| **Universal prekindergarten** | “Universal prekindergarten” means those programs that offer part-day or full-day, or both, educational programs for three- and four-year-old children and may be offered through a mixed-delivery system. |
| **UPK** | Universal PreKindergarten, which is inclusive of CSPP, Head Start, TK, Expanded Learning, and CBO prekindergarten programs. |