**Arizona Early Childhood Development and Health Board**
**First Things First**
**100 East 24th Street, Suite 2**
**Yuma, Arizona 85364**

# Community-Based Training for Early Care and Education Professionals
**Yuma Regional Partnership Council**

**Request for Grant Application (RFGA)**
**FTF-RC023-10-0082-00**

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|---|---|
| **Deadline** | Grant Applications shall be submitted on or before 10:00 a.m. (Arizona MST) on May 20, 2009 at First Things First, 100 E. 24th Street, Suite 2, Yuma, Arizona 85364. |
| **Procurement Guidelines** | In accordance with A.R.S 41-2701, competitive sealed grant Applications for the services specified within this document will be received by First Things First at the above-specified location until the time and date cited. Grant Applications received by the correct time and date will be opened and the name of each Applicant will be publicly read.<br><br>**Grant Applications must be in the actual possession of First Things First on or prior to the exact time and date indicated above. Telefaxed, electronic, or late grant Applications shall not be considered.**<br><br>**Grant Applications must be submitted in a sealed envelope with the RFGA Number and the Applicant's name and address clearly indicated on the envelope.**<br><br>All Applications must be typewritten and a complete grant Application returned along with the offer by the time and date cited above. **Additional instructions for preparing a grant Application are included within this document.**<br><br>Applicants are strongly encouraged to read the entire Request for Grant Application document carefully.<br><br>**It is the sole responsibility of Applicants to check the First Things First website for any changes to this RFGA, http://azftf.gov.** |
| **Pre-Application Conference** | Prospective Applicants are encouraged to attend a Pre-Application Conference on April 28, 2008 at 8:30 a.m. – 12:00 p.m. at Vista South School 221 E. 26th Place Yuma, Arizona 85364. The purpose of the meeting is to discuss and clarify this Request for Grant Application. |
| **Special Accommodations** | Persons with a disability may request reasonable accommodation such as a sign language interpreter by contacting the Grants and Contracts Procurement Specialist at grants@azftf.gov or via Fax (602) 265-0009. Requests should be made as early as possible to allow time to arrange the accommodation. |
| **Contract Information** | Service: First Things First Regional Funding<br>Contract Type: Cost Reimbursement<br>Contract Term: The term of the contract shall commence on September 1, 2009 and shall remain in effect until June 30, 2010, unless terminated, cancelled or extended as otherwise provided herein. |
| **Contact Information** | Grants and Contracts Procurement Specialist<br>First Things First<br>Fax: (602) 265-0009<br>Email: grants@azftf.gov |

FIRST THINGS FIRST

*The right system for bright futures*

# CERTIFICATION

**TO THE STATE OF ARIZONA, ARIZONA EARLY CHILDHOOD DEVELOPMENT AND HEALTH BOARD:**

If awarded a grant, the Undersigned hereby agrees to all terms, conditions, requirements and amendments in this request for grant Application and any written exceptions, as accepted by the Arizona Early Childhood Development and Health Board in the Application.

## APPLICANT OFFER

Arizona Transaction (Sales) Privilege Tax License No.:

_____

Federal Employer Identification No.:

_____

Name of Point of Contact Concerning this Application:

Name: _____

Phone: _____ Fax: _____

E-Mail:_____

_____
Name of Applicant

_____
Address

_____
City State Zip

_____
Signature of Person Authorized to Sign Offer

_____
Printed Name

_____
Title

By signature in the Offer section above, the Applicant certifies:

1. The submission of the Application did not involve collusion or other anti-competitive practices.
2. The Applicant shall not discriminate against any employee or Applicant for employment in violation of Federal Executive Order 11246, State Executive Order 99-4 or A.R.S. §41-1461 through §1465.
3. The Applicant has not given, offered to give, nor intends to give at any time hereafter any economic opportunity, future employment, gift, loan, gratuity, special discount, trip, favor, or service to a public servant in connection with the submitted offer. Failure to provide a valid signature affirming the stipulations required by this clause shall result in rejection of the offer. Signing the offer with a false statement shall void the offer, any resulting contract and may be subject to legal remedies provided by law.

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## ACCEPTANCE OF APPLICATION

The Application is hereby accepted. The Applicant is now bound to perform as stated in the Applicant's grant Application as accepted by the Arizona Early Childhood Development and Health Board and the Request for Grant Application document, including all terms, conditions, requirements, amendments, and/or exhibits.

This grant shall henceforth be referred to as Grant No. _____

Arizona Early Childhood Development and Health Board,
Awarded this _____ day of _____, 20_____

_____
Jeanne Weeks, Grants and Contracts Procurement Specialist

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## What is the Arizona Early Childhood Development and Health Board (First Things First)?

In November 2006, Arizona voters passed Proposition 203, also known as **First Things First**, a citizen's initiative that funds quality early childhood development and health at the state and local level. The Proposition created a new state level board known as the Arizona Early Childhood Development and Health (AzECDH) Board, also known as the Board of First Things First, and the Regional Partnership Councils.

***First Things First Mission***

The mission of First Things First is to increase the quality of, and access to, early childhood programs that will ensure a child entering school arrives healthy and ready to succeed. This mission will principally be achieved through regional grants tailored to the specific needs and characteristics of the communities that the regions serve, with a focus on demonstrating improved outcomes around First Things First's six goal areas prioritized by the challenges the regions face. This mission is also accomplished through statewide initiatives that have been prioritized by the Board of First Things First.

This statewide policy and regional perspective are critical to the success of the First Things First mission. Early childhood development and health system initiatives from First Things First will be coordinated through statewide initiatives and regional priorities.

***First Things First Goal Areas***

The First Things First initiative specifies that programs undertaken by the Arizona Early Childhood Development and Health Board and the Regional Partnership Councils are to accomplish one or more of the following Goal Areas:

- Improve the quality of early childhood development and health programs.
- Increase the access to quality early childhood development and health programs.
- Increase access to preventive health care and health screenings for children through age five.
- Offer parent and family support and education concerning early childhood development and literacy.
- Provide professional development and training for early childhood development and health providers.
- Increasing coordination of early childhood development and health programs and provide public information about the importance of early childhood development and health.

## What is the Funding Source?

The First Things First initiative provides for the distribution of funding through both statewide and regional grants.

Of the monies expended in a fiscal year from the First Things First program account, no more than ten percent may be used to fund statewide grants or programs. Statewide programs are considered those implemented across regional boundaries and are designed to benefit Arizona's children as a whole.

This Request for Grant Application is specifically dedicated to funding regional programs. Regional funding is based on the approval of the Regional Partnership Council funding plans submitted to the

Board of First Things First. Funding is allocated to each Regional Partnership Council based on the population of children aged five or younger and the population of children aged five or younger whose family income does not exceed 100% of the Federal Poverty Level.

The Regional Partnership Council that is involved in the release of this Request for Grant Application includes the following:

- Yuma Regional Partnership Council

## Who is Eligible to Apply for this Funding Opportunity?

First Things First awards grants to:

- Non-profit 501 (c) (3) organizations providing services in Arizona (both secular and faith-based)
- Units of Arizona government (local, county and state entities as well as schools and school districts)
- Federally recognized Tribal governments or entities providing services within Arizona
- Arizona institutions of higher learning (colleges and universities)
- Private organizations providing services in Arizona

All potential Applicants must demonstrate organizational, fiscal and programmatic capacity to meet the requirements described in the scope of work listed in this RFGA.

## What is the Total Funding Amount Available in this Request for Grant Application?

This is a ten (10) month contract with an option for renewal for two (2) additional twelve (12) month periods. Total funds available are approximately $110,000 for the first funding period. First Things First reserves the right not to award the entire amount of available funds or to award an amount that is greater than the posted available funds. Renewal will be contingent upon satisfactory contract performance, evaluation and availability of funds.

## Scope of Work: What Will This Grant Fund?

The Yuma Regional Partnership Council (RPC) has identified the need for regional implementation of programs to provide high quality, best practice, and community-based professional development opportunities to enhance the skills of those working with children birth through age five.

The Yuma Regional Partnership Council serves, and Applications submitted in response to this RFGA must serve, the communities of Yuma County, including the Fort Yuma Quechan Tribe but not the portion of Fort Yuma Quechan Tribe in California and excludes the Cocopah Tribe from the Regional Partnership Council area. The programs should target the early care and education workforce, including providers, teachers, directors, and others working directly with children birth through age five and their families.

Stakeholders in the region, inclusive of parents, identified continuing education for the early childhood development workforce as a high priority in the region. A needs and assets assessment of the region has shown that there are limited local opportunities for ongoing education and training for the early care and education professionals and the cost of travel outside of the region significantly limits individuals from accessing training opportunities. Often this is a cost incurred by these professionals as

continuing education is a requirement of state licensing and or certification entities and required trainings are often not available locally.

Support is also needed for additional skill development among early care and education providers who may be reluctant to return to school. Many of those caring for young children do not have the information or the experience they need to help children maximize learning, identify developmental delays, or address inappropriate behaviors. The Regional Council recognizes that community based trainings have the potential to entice and encourage professionals who have been away from school for some time or who have never been engaged in formal schooling to return to the classroom or to enter the classroom for the first time.

In addition to providing optimal professional development for early childhood teachers, assistants and caregivers, researchers and policy makers across the country are beginning to put more focus on enhancing leadership and administrative skills among child care administrators in order to enhance program quality. It is well documented that a wide variation in the professional development of the center administrator produces wide (positive and negative) variations in practical competence, program quality, and outcomes for children. Education and training of teachers and administrators is strongly related to early childhood program quality and program quality predicts developmental outcomes for children.

Formal professional development is related to increased quality care, however; experience without formal training has not been found to be related to quality care. Therefore, the value of applying theory to practice is a key element of this strategy. Research conducted by the National Association for the Education of Young Children (NAEYC) suggests a need to revitalize professional development for early childhood professionals through innovative strategies as recognized by the Yuma Regional Partnership Council. Suggestions from NAEYC for improving professional development opportunities include the following:

- Ongoing training and preparation opportunities that are structured to encourage and support all individuals working with young children to improve their knowledge and skills and that move individuals along a specific continuum of core competencies.
- Strengthening articulation mechanisms between various levels of preparation programs. Mechanisms that transform diverse training and learning experiences into academic credit, such as assessment of experiential learning, must be readily accessible to early childhood practitioners.

<u>Implementation Requirements:</u>
This Request for Grant Application is seeking Applicants to address these specific Goals and Key Measures:

**First Things First Goal Area to be addressed:**

- Professional Development

**First Things First Goals to be addressed:**

- First Things First will build a skilled and well-prepared early childhood development workforce.
- First Things First will increase retention of the early care and education workforce.

**First Things First Key Measures to be addressed:**

- Total number and percentage of professionals working in early childhood care and education settings with a credential, certificate, or degree in early childhood development.
- Total number and percentage of professionals working in early childhood care and education settings who are pursuing a credential, certificate, or degree in early childhood development.
- Retention rates of early childhood development and health professionals

As part of successful program implementation, Applicants should describe how they will increase the availability of, and participation in, high quality professional development opportunities through community based training for those working with or preparing to work with children ages birth through five. Applicants must demonstrate capacity to deliver best practice, high quality, and local trainings on topics related to early childhood development and health. Applicants must provide their plans for outreach, recruitment, engagement and retention of early care and education professionals and demonstrate their capacity and experience in working with culturally and ethnically diverse populations.

Applicants are to provide evidence of the effectiveness of the proposed approach in increasing professional competencies. Applicants must provide the frequency and sequence of training sessions, and identify, locate, and coordinate existing training opportunities within the region. Collaboration with existing professional development resources and opportunities, including local, and cross regional resources and state agencies such as the Department of Economic Security, is expected.

Trainings are to identify outcomes for participants and include methods to assess whether participants can successfully implement those outcomes. Assessments of professionals participating in professional development efforts, using an assessment such as the Program Administrative Scale (PAS) instrument are to be carried out by the Applicant.

The community based training must support and encourage participants' continuing education (i.e. through a Child Development Associate (CDA) certification and college coursework) by providing resources, information, and partnering with local community colleges and early childhood professional associations. The Regional Council is especially interested in partnerships, contracts and/or agreements with higher education institutions to offer credit hours for these community-based trainings. Community-based trainings should be designed so that they will ultimately be accepted towards course credit at local community colleges. Cultivating relationships with higher education institutions to facilitate the acceptance of credit for community-based trainings is essential. Given the complexity of ensuring college credit for community-based trainings, this component may not be realized until the second or third year of funding. The focus for this first year should be on the steps above to ensure that there are standards for community-based trainings that will meet requirements for transfer to colleges and universities. Similarly, trainer qualifications should be in place in the first year to ensure such transfers (the higher the level of coursework in the college program, the higher the educational level of the trainer must be -i.e. 100+ level courses must be taught by masters level instructors).

Applicants are to coordinate ongoing professional development opportunities to ensure continuity of training content and practical application of material. This may involve multi-day model conferences,

seminars, lectures, and creating cohorts of participants, as well as host subject matter experts (i.e. visiting faculty, published authors, researchers, etc.) during training sessions. Sessions may occur within early care and education settings to provide opportunities for on-site consultation. Applicants should demonstrate their capacity to provide creative training alternatives that may be able to provide effective and comprehensive programs to the largest number of service providers. Training sessions should be interactive, model desired behaviors, and address the multiple learning styles of adult learners.

For development of this program, Applicants must demonstrate compliance with the First Things First Professional Development Community-Based Training Standards of Practice (see Exhibit E).

Coordination and collaboration with all FTF grantees is critical to developing a seamless service delivery system for children and families. Services and programs cannot be implemented in isolation and coordination and collaboration must occur within a region and across regions. FTF staff and Regional Councils will identify opportunities for collaboration and coordination with successful Applicants that become grantees of First Things First. Successful Applicants will be required to attend meetings and workgroups in the region being served to identify, develop and implement mechanisms around coordination and collaboration. Successful Applicants will also be required to share data with First Things First and the Regional Partnership Council that will be used for cross-regional analysis. Successful Applicants will also participate in cross-regional and statewide work that may include additional workgroups and meetings. In order to accomplish these tasks, Applicants should plan the appropriate budget that would include travel for monthly meetings within the regional area, four cross-regional meetings/workgroups held in various locations, and one statewide meeting to be held in Phoenix, Arizona. All travel related costs for these trainings and meetings should be included in the Applicant's budget and calculated using the State of Arizona travel policy as described on the budget narrative worksheet.

Applicants must present a plan for further resource development and program sustainability, including coordination of activities with other First Things First funded programs in the regional area.

All trainings will need to show successful outcomes, either through an assessment process or a follow-up visit by a mentor or coach to determine if professional practice has been changed based upon what was learned in the training.

Any evaluation should be directly connected to the Goals, Key Measures, and Performance Measures and should determine the extent to which the program has accomplished the stated goals and key measures. The evaluation should also measure program fidelity by assessing which activities were implemented and the quality, strengths and weaknesses of the implementation. Successful Applicants agree to participate in the First Things First evaluation and will meet the requirements of the evaluation including, but not limited to, timely and regular reporting and cooperation with all First Things First evaluation activities. Timely and regular reporting of all performance and evaluation data includes the electronic submission (through the First Things First secure web portal) of performance measures and other evaluation data as proposed by the Applicant in this Request for Grant Application. Performance measure data must be submitted in its raw form (e.g., number of children served/proposed service number = 52 actual children served / 50 proposed service number).

Successful Applicants are also required to collaborate with the First Things First longitudinal evaluation. The provider must participate in child assessment activities associated with the longitudinal evaluation including tracking and reporting to First Things First data pertaining to participant attendance, enrollment, and demographic information, all of which must be maintained in a secure and anonymous manner. In addition, Applicants agree to allow First Things First and evaluation consultants of First Things First to observe program activities on site and obtain parent consent for data collection related to evaluation efforts.

Performance Measures are defined by First Things First to determine the key impacts of the strategies, programs and approaches being implemented. Applicants are expected to collect and report data to First Things First on the progress of achieving the Performance Measures. Performance Measures for purposes of this RFGA are as follows:

**Performance Measures:**

- Number of research based professional development, field trips, etc. offered/strategic target number
- Number of participants showing an increase in awareness and skills through a pre/post survey linked to evidence-based curricula, regulations, and QF standards (minimum questions provided by First Things First staff)/strategic target number
- Number of participants reporting satisfaction with provided services (minimum questions provided by First Things First staff)/actual service number
- Number of participants recruited/proposed service number
- Number of participants/number of participations recruited
- Number of participants progressing towards or completing educational goals/number of participants
- Rate of participant turnover/strategic target number
- Number of participants satisfied with professional development opportunities (minimum questions provided by First Things First staff)/strategic target number

## How Will Applications be Evaluated?

The review committee will evaluate Applications and recommend those for an award based on the following criteria:

- Capacity of the Applicant for Addressing Needs (20%)
- Addressing Goals and Key Measures (5%)
- Proposed Program or Strategy (25%)
- Implementation Activities (25%)
- Resource and Budget (10%)
- Evaluation Plan (15%)

Those Applicants not selected for funding will be notified in writing; however, pursuant to A.R.S. §41-2702 (E), all Applications shall not be open for public inspection until after grants are awarded. A.R.S.

§41-2702 (G) also states the evaluator assessments shall be made available for public inspection no later than thirty (30) days after a formal award is made.

## Application: Responding to the Scope of Work

To complete your Application, restate the question then provide a response to all numbered questions, one through 37. If the narrative response is accompanied by a completed attachment, please reference that attachment within your narrative response, where applicable.

**Executive Summary** (required – 1 page)

1. Provide a one (1) page narrative overview of the proposed project that includes a brief summary of the program or strategy, how it will be implemented, and the Applicant's capacity to implement this program and how success and outcomes will be measured.

**Capacity for Addressing the Needs (20%)**

This component creates a foundation for the proposal by focusing on: meeting the needs and building on assets; other individuals or groups who will play a role in the development or implementation of the program; and the capacity of the Applicant to meet the need and deliver the services.

Applicants must address Capacity for Addressing the Needs by completing the following questions:

2. In addition to the stated needs and assets information reported in the Scope of Work section, identify any additional needs and assets data that supports the need/gap in service for the proposed program/strategy. Identify the sources of the data and how that data was collected.
3. Complete the First Things First Standard Data Collection Form (Attachment A). No additional narrative is required.
4. Provide a brief narrative description of your organization's capacity to address the needs and improve assets with similar programs previously implemented in Arizona and in the Yuma region. Provide examples of experience in implementing related programs and the outcomes of those programs. It should be noted that past performance on any grants may be taken into consideration in evaluation of your proposals. (In addition to the narrative, please complete Applicant's Experience, Attachment B.)
5. What capacity or infrastructure building will be needed in order to implement the program or strategy? Describe any external agency partnerships, additional resources, establishing or strengthening relevant relationships with consultants or providers necessary to successfully implement the program or strategy. Provide evidence of collaboration with existing professional development resources and opportunities, including across regional areas when possible and state agencies such as Arizona Department of Economic Security (DES), as well as existing or planned partnerships with local higher education institutions.
6. Describe any current or planned linkages to and engagement of the Regional Partnership Councils or other First Things First funded programs in the implementation of the proposed strategy/program.
7. Provide a brief narrative description of staff accountabilities and qualifications and list how much time each person will spend on the project. Describe how the trainers that work under this grant opportunity will meet the minimum qualifications described in the scope of work section. Further, describe how staff recruited will be geographically, culturally and linguistically responsive to the settings in which they work. In addition, complete Attachment C, Key

Personnel Overview. You must also attach resumes for key individuals involved in the project or job descriptions for positions to be filled.

8. Provide a narrative description of how your organization coordinates and collaborates with other organizations and agencies to ensure seamless service delivery system is being established. In your description, include specific examples of coordination and collaboration that worked well and why.

**Addressing the Goal Area, Goal and Key Measures (5%)**

This component captures the broad statements of intent (Goal) and the more specific Key Measures for these Goals. First Things First has identified fifteen Goals within six Goal Areas and Key Measures that align with Goals and indicate what we want to change. For more information on First Things First Goal Areas, Goals and Key Measures, please visit: http://www.azftf.gov/WhatWeDo/Impacting/Documents/azftf_Strategic_Road_Map2008.pdf.

This Request for Grant Application is seeking Applicants to address these specific Goals and Key Measures:

**First Things First Goal Area to be addressed:**

- Professional Development

**First Things First Goals to be addressed:**

- First Things First will build a skilled and well-prepared early childhood development workforce.
- First Things First will increase retention of the early care and education workforce.

**First Things First Key Measures to be addressed:**

- Total number and percentage of professionals working in early childhood care and education settings **with** a credential, certificate, or degree in early childhood development
- Total number and percentage of professionals working in early childhood care and education settings who are **pursuing** a credential, certificate, or degree in early childhood development.
- Retention rates of early childhood development and health professionals

Applicants must address Goals and Key Measures by completing the following question:

9. Demonstrate your understanding of the Goal Area, Goal and Key Measures identified for the strategy by describing your organization's prior experience addressing similar goals and key measures. Please describe how the Goal Area, Goal, and Key Measures will be improved by the proposed strategy/program.

**Strategies (25%)**

This component identifies and describes the Applicant's program/strategy(ies) chosen to reach the stated Goals and Key Measures and also addresses the targeted individuals or groups to be reached.

The strategies chosen by the Yuma Regional Partnership Council to address the needs of the region is as follows:

- Expand continuing education for a well-educated and prepared early childhood development and health (ECDH) workforce.

- Provide high quality, best practice, and community-based professional development opportunities to enhance the skills of those working with children birth through age five.

Applicants must address Strategies by completing the following questions:

10. Describe how the proposed program/strategy (ies) will be implemented and how the proposed program/strategy (ies) addresses the Goal(s) and Key Measure(s) identified.
11. Describe how the training will be conducted and how the training requirements will be addressed including subject matter experts, topics to be covered, frequency of training sessions, interactive trainings, modeling desired behaviors, addressing multiple learning styles of adult learners, providing referrals to community resources, proposed coordination with existing training, and identification of outcomes.
12. Describe how the proposed training program will meet the First Things First Standards of Practice listed in the Scope of Work section and Exhibit E.
13. Describe how implementation of the training activities will include cultivating relationships with higher education institutions to facilitate the acceptance of credit for community-based trainings. Explain the process to begin to achieve community-based trainings being designed so that they will ultimately be accepted towards course credit at local community colleges.
14. Describe the model or philosophy associated with the training to be provided. If adapting a proven effective program, explain what the adaptations are and why they are being made. Describe the effectiveness of the proposed approach in increasing professional competencies.
15. Describe the target population to be served by the identified program, be as specific as possible, and include targeted service numbers.
16. Explain how the training strategy applies to the targeted population and explain how the selected strategies are culturally competent, age appropriate and gender responsive.
17. Describe how the target population will be recruited. Identify outreach, engagement and retention practices for participants. Describe how creative training alternatives will be provided which will provide effective and comprehensive programs to the largest number of service providers.
18. Describe the plan to provide services across the entire Yuma region.
19. Describe your organization's professional knowledge of the target population including your organization's capacity to address the needs and improve assets for this target population in the Regional Partnership Council Area.
20. You may attach relevant scientific research proving the effectiveness of the proposed program or strategy.

**Implementation**

This component focuses on the steps that must be taken to put the strategy(ies) into action. It should include all the elements that will be required to operationalize the program.

Applicants must address Implementation Activities and Budget by completing the following questions:

**Implementation Activities (25%)**

21. Sequentially list the activities needed to operationalize the strategy (ies), including timelines and responsibilities using Attachment D, Implementation Plan. No additional narrative is required.
22. Demonstrate how the program will coordinate ongoing professional development opportunities to ensure continuity of training content and practical application of material.
23. Describe any anticipated barriers to implementation and your plans to overcome those barriers.
24. Is there specific training that might be needed for existing and/or new staff. Describe how and when this training will be delivered and how the training will enhance professional development of staff specific to this project. This should also be included in the implementation plan (Attachment D).
25. Describe the organization's current or future plans to coordinate with other community agencies, higher education institutions, First Things First grantees and community resources to build a seamless service delivery system for early childhood professionals and young children.
26. Describe how the organization will sustain program implementation efforts after the duration of this grant

**Budget (10%)**

Each attached budget form is provided as an example to ensure that the line item budget and budget narrative provide a clear and concise explanation of the methods used to determine the amounts for each line item in the proposed program budget. All budget forms must be signed by an authorized agency representative.

27. Submit the Funds Requested Form (Attachment E). No additional narrative is required.
28. Submit the Line Item Budget (Attachment F). See Exhibit B for a sample line item budget. No additional narrative is required.
29. Submit the Budget Narrative (Attachment G). See Exhibit C for a sample budget narrative. No additional narrative is required.
30. Submit the Disclosure of Other Funding (Attachment H). This list should include all other sources of funding currently received from other State or public agencies, Federal agencies, non-profit organizations and other sources that will be applied to the proposed program/strategy(ies). Note that statute A.R.S. §8-1183 provides for a prohibition on supplanting of state funds by First Things First expenditures, meaning that no FTF monies expended are to be used to take the place of any existing state or federal funding for early childhood development and health programs. In addition, the intent of First Things First funding is to address gaps and needs in the community rather than to fulfill budget shortfalls that may exist in any given year at the state or local levels. No additional narrative is required.
31. Describe your organization's business management system by completion of the Financial Systems Survey. Attach the Financial Systems Survey (Attachment I) to capture basic financial system/operational information to assess financial capacity early in the process. No additional narrative is required. As noted in the financial system survey, you are required to submit a complete copy of the most recent audited, reviewed or compiled financial statements as well as a schedule showing the TOTAL federal funds (by granting agency) expended by your agency for the most recent fiscal year. NOTE THAT ONLY ONE COPY OF EACH OF THESE DOCUMENTS NEEDS TO BE INCLUDED WITH THE APPLICATION MARKED "ORIGINAL".

The following applies to requested funds:

- List all resources that will be needed to implement the program/strategy(ies) described. These financial resources may include, but are not limited to administrative expenses, when applicable, personnel (salary and employee related expenses), mileage, materials, supplies, meeting space, stipends/fees associated with expert speakers and participant incentives (i.e. child care).
- Funding shall be limited to those items specifically listed in the proposed budget. Total funding may not be modified following award of the grant/contract. Requests for line item modifications, which do not change the total program funding, shall be requested in writing and shall only be made following receipt of written authorization from First Things First.
- Successful Applicants will be required to attend meetings and workgroups in the region being served to identify, develop and implement mechanisms around coordination and collaboration. Successful Applicants will also be required to share data with First Things First and the Regional Partnership Council that will be used for cross regional analysis. Successful Applicants will also participate in cross regional and statewide work that may include additional workgroups and meetings. In order to accomplish these tasks, Applicants should plan the appropriate budget that would include travel for monthly meetings within the regional area, four cross regional meetings/workgroups held in various locations, and one statewide meeting to be held in Phoenix, Arizona. All travel related costs for these trainings and meetings should be included in the Applicant's budget and calculated using the State of Arizona travel rate for mileage, per diem and lodging as described on the budget narrative worksheet. For more information about the state requirements, visit http://www.gao.state.az.us/travel/.

**Evaluation Plan (15%)**

This component will address questions about how the program is working and what can be done to make the program more effective. The evaluation should be directly connected to the Goals, Key Measures, and the Performance Measures and should determine the extent to which the program has accomplished the stated goals and key measures. The evaluation should also measure program fidelity by assessing which activities were implemented and the quality, strengths and weaknesses of the implementation. Successful Applicants agree to participate in the First Things First evaluation and will meet the requirements of the evaluation including, but not limited to, timely and regular reporting and cooperation with all First Things First evaluation activities. Timely and regular reporting of all performance and evaluation data includes the electronic submission (through the First Things First secure web portal) of performance measures and other evaluation data as proposed by the Applicant in this Request for Grant Application. Performance measure data must be submitted in its raw form (e.g., number of children served/proposed service number = 52 actual children served / 50 proposed service number).

Successful Applicants are also required to collaborate with the First Things First longitudinal evaluation. The provider must participate in child assessment activities associated with the longitudinal evaluation including tracking and reporting to First Things First data pertaining to participant attendance, enrollment, and demographic information, all of which must be maintained in a secure and anonymous manner. In addition, Applicants agree to allow First Things First and evaluation consultants of First

Things First to observe program activities on site and obtain parent consent for data collection related to evaluation efforts.

Performance Measures are defined by First Things First to determine the key impacts of the strategies, programs and approaches being implemented. Applicants are expected to collect and report data to First Things First on the progress of achieving the Performance Measures. Performance Measures for purposes of this RFGA are as follows:

**Performance Measures:**

- Number of research based professional development, field trips, etc. offered/strategic target number
- Number of participants showing an increase in awareness and skills through a pre/post survey linked to evidence-based curricula, regulations, and QF standards (minimum questions provided by First Things First staff)/strategic target number
- Number of participants reporting satisfaction with provided services (minimum questions provided by First Things First staff)/actual service number
- Number of participants recruited/proposed service number
- Number of participants/number of participations recruited
- Number of participants progressing towards or completing educational goals/number of participants
- Rate of participant turnover/strategic target number
- Number of participants satisfied with professional development opportunities (minimum questions provided by First Things First staff)/strategic target number

Applicants must include a plan for Evaluation and Quality Improvement by completing the following questions.

32. Describe any additional Performance Measures that will be collected during the implementation of the proposed strategy.
33. Who will have overall responsibility for the data collection and reporting? Be sure to include this person in your Key Personnel Overview (Attachment C).
34. How will the required data be collected? Describe how you will ensure that data entered into the First Things First web-based database after it has been collected is accurate and timely. What procedures will be in place to assure the quality of your data (e.g. training for data collectors, data collection forms, timeliness for administering tools, etc)?
35. Complete the Evaluation Plan Overview table in Attachment J.
36. What resources (e.g. personnel, supplies, computer, etc) will be needed to complete necessary activities related to the quality data input and data collection of the program? In addition to a narrative description, the funds dedicated to evaluation should be reflected in the budget.

Quality Improvement

37. Describe the plan to use the results of First Things First evaluation efforts to improve the quality of the proposed program or strategy throughout the duration of this grant.

**Instructions to Applicants**

**A. Inquiries**

1. Duty to Examine It is the responsibility of each Applicant to examine the entire RFGA, seek clarification in writing (inquiries), and examine its' Application for accuracy before submitting the Application. Lack of care in preparing an Application shall not be grounds for modifying or withdrawing the Application after the Application due date and time, nor shall it give rise to any Contract claim.

2. RFGA Contact Person Any inquiry related to an RFGA, including any requests for or inquiries regarding standards referenced in the RFGA shall be directed solely to the RFGA contact person. The Applicant shall not contact or direct inquiries concerning this RFGA to any other State employee unless the RFGA specifically identifies a person other than the RFGA contact person as a contact.

3. Submission of Inquiries The Grants and Contracts Procurement Specialist identified in this RFGA, who is the contact for all inquiries except at the Pre-Application Conference, requires that an inquiry be submitted in writing. Any inquiry related to the RFGA shall refer to the appropriate RFGA number, page and paragraph. Do not place the RFGA number on the outside of the envelope containing that inquiry, since it may then be identified as an Application and not be opened until after the Application due date and time. Electronic inquires are acceptable. First Things First shall consider the relevancy of the inquiry but is not required to respond in writing.

4. Timeliness Any inquiry or exception to the RFGA shall be submitted as soon as possible and should be submitted at least seven days before the Application due date and time for review and determination by First Things First. Failure to do so may result in the inquiry not being considered for an RFGA Amendment.

5. No Right to Rely on Verbal Responses An Applicant shall not rely on verbal responses to inquiries. A verbal reply to an inquiry does not constitute a modification of the RFGA.

6. RFGA Amendments The RFGA shall only be modified by a formal written RFGA amendment. Formal written amendments are posted on the First Things First website, www.azftf.gov. It is the sole responsibility of the Applicant to check the website regularly.

7. Pre-Application Conference A Pre-Application Conference has been scheduled for this RFGA for April 28, 2008 at 8:30 a.m. – 12:00 p.m. at Vista South School 221 E 26th Place Yuma, Arizona 85364. Applicants should raise any questions about the RFGA at that time. The Pre-Application Conference will clarify the contents of the RFGA in order to prevent any misunderstanding of First Things First's position. Any doubt as to the requirements of the RFGA or any apparent omission or discrepancy should be presented to First Things First at the Conference. An Applicant may not rely on any verbal responses to questions at the Conference. Material issues raised at the Conference that result in changes to the RFGA shall be answered solely through a formal written RFGA amendment. **Attendance at the Pre-Application Conference is strongly encouraged, but not mandatory**.

8. Persons with Disabilities Persons with a disability may request a reasonable accommodation, such as a sign language interpreter, by contacting the RFGA contact person. Requests shall be made as early as possible to allow time to arrange the accommodation.

**B. Application Preparation**

1. Forms No facsimile or electronic mail Applications shall be accepted. An Application shall be submitted using the forms provided in this RFGA or on their substantial equivalent. Any substitute document for the forms provided in this RFGA must be legible and contain the same information requested on the forms, unless the RFGA indicates otherwise.

2. Technical Requirements Applications will be reviewed initially for compliance with technical requirements. Noncompliance with these requirements may result in the Application being deemed non-responsive, and therefore, not susceptible to award.
   - Responses should be typed, single-spaced with one-inch margins or wider with a twelve (12)-point font used.
   - Applications are not to be bound in spiral binders or in 3-ring notebooks. Please submit your Applications either stapled in the upper left-hand corner or use a binder clip.
   - Applications should be single sided, NOT duplexed.
   - Number all pages and include a table of contents that follows the underlined categories in the "Application: Responding to the Scope of Work" Section. Enclose one (1) original (clearly marked "ORIGINAL") and nine (9) additional copies.
   - All Attachments must be completed as instructed.
   - The organization name and the Request for Grant Application Number (**FTF-RC023-10-0082-00**) must be clearly marked on the outside of the sealed envelope/package.

   Please refer to the Checklist on Page 33 to verify inclusion of all required documentation and use of the proper format.

3. Evidence of Intent to be Bound The Applicant Offer and Acceptance Form within the RFGA shall be submitted with the Application and shall include a signature by a person authorized to sign the Application. The signature shall signify the Applicant's intent to be bound by the Application, the terms of the RFGA and that the information provided is true, accurate and complete. Failure to submit verifiable evidence of intent to be bound, such as an original signature, shall result in rejection of the Application.

4. Exceptions to Terms and Conditions All exceptions included with the Application shall be submitted in a clearly identified separate section of the Application in which the Applicant clearly identifies the specific paragraphs of the RFGA where the exceptions occur. Any exceptions not included in such a section shall be without force and effect in any resulting Contract unless such exception is specifically accepted by the Grants and Contracts Procurement Specialist in a written statement. The Applicant's preprinted or standard terms will not be considered by First Things First as a part of any resulting Contract. All exceptions that are contained in the Application may negatively affect First Things First's proposal evaluation based on the evaluation criteria stated in the RFGA or result in rejection of the Application.

5. Subcontracts Applicant shall clearly list any proposed subcontractors and the subcontractor's proposed responsibilities in the Application.

6. Cost of Application Preparation First Things First will not reimburse any Applicant the cost of responding to an RFGA.

7. RFGA Amendments Each RFGA Amendment shall be signed with an original signature by the person signing the Application, and shall be submitted no later than the Application due date and time. Failure to return a signed copy of a RFGA Amendment may result in rejection of the Application.

8. Additional Materials Additional materials such as promotional brochures or examples of other programs should not be submitted unless they directly relate to the information required in the Application.

9. Provision of Tax Identification Numbers Applicants are required to provide their Arizona Transaction Privilege Tax Number and/or Federal Tax Identification number in the space provided on the Offer and Acceptance Form.

10. Disclosure If the firm, business or person submitting this Application has been debarred, suspended or otherwise lawfully precluded from participating in any public procurement activity, including being disapproved as a subcontractor with any Federal, state or local government; or if any such preclusion from participation from any public procurement activity is currently pending, the Applicant shall fully explain the circumstances relating to the preclusion or proposed preclusion in the Application. The Applicant shall include a letter with its Application setting forth the name and address of the governmental unit, the effective date of this suspension or debarment, the duration of the suspension or debarment, and the relevant circumstances relating to the suspension or debarment. If suspension or debarment is currently pending, a detailed description of all relevant circumstances including the details enumerated above shall be provided.

11. RFGA Order of Precedence In the event of a conflict in the provisions of this RFGA, the following shall prevail in the order set forth below:
    - 11.1 First Things First Special Terms and Conditions
    - 11.2 State of Arizona Uniform Terms and Conditions
    - 11.3 Scope of Work
    - 11.4 Attachments
    - 11.5 Exhibits
    - 11.6 Instructions to Applicants
    - 11.7 Other documents referenced or included in the RFGA

**C. Submission of Application**

1. Sealed Envelope or Package One (1) original (clearly marked "original") Application and nine (9) copies shall be submitted to the submittal location identified in this RFGA. Applications must be submitted in a sealed envelope or container. The envelope or container should be clearly identified with name of the Applicant and RFGA number. First Things First may open envelopes or containers to identify contents if the envelope or container is not clearly identified.

2. Late Applications An Application submitted after the exact Application due date and time shall be rejected. Applications **must** be received by First Things First at the designated due date and time.

3. Application Amendment or Withdrawal An Application may not be amended or withdrawn after the Application due date and time except as otherwise provided under applicable law.

4. Application Opening Applications shall be opened publicly at the time and place identified in this RFGA. The name of each Applicant shall be read publicly and recorded.

5. Disqualification An Applicant (including each of its principals) who is currently debarred, suspended or otherwise lawfully prohibited from any public procurement activity shall have its Application rejected.

6. Public Record All Applications submitted and opened are public records and must be retained by First Things First. Applications shall be open to public inspection no later than 30 days after Contract award pursuant to A.R.S. §41-2702 (E), except for such Applications deemed to be confidential by First Things First. If an Applicant believes that information in its Application should remain confidential, it shall indicate as confidential the specific information and submit a statement with its Application detailing the reasons that the information should not be disclosed. Such reasons shall include the specific harm or prejudice which may arise. First Things First, pursuant to A.C.R.R. R2-7-104, shall review all requests for confidentiality and provide a written determination. If the confidential request is denied, such information shall be disclosed as public information, unless the person utilizes the "Protest" provision as noted in A.R.S. §41-2611 through §41-2616.

7. Application Acceptance Period Applications shall be irrevocable for 120 days after the RFGA due date and time.

8. Non-collusion, Employment, and Services By signing the Offer and Acceptance Form, the Applicant certifies that:
    a. The Applicant did not engage in collusion or other anti-competitive practices in connection with the preparation or submission of its Application; and
    b. The Applicant does not discriminate against any employee or applicant for employment or person to whom it provides services because of race, color, religion, sex, national origin, sexual orientation or disability, and that it complies with all applicable Federal, state and local laws and executive orders regarding employment.

9. Budget Limitations In the event that the Applications received exceed the budget limitations, First Things First reserves the option to request a reduction in the scope of the Applicant's proposed program. If such an option is exercised by First Things First, funds shall be recommended for funding consideration according to the priority scores. Revised budget documents will be required. First Things First reserves the right to award contracts for less than the proposed amount and/or less than the available funds or make awards that exceed the posted available funds as additional funds become available.

10. Waiver and Rejection Rights Notwithstanding any other provision of the RFGA, the State reserves the right to:
    - 10.1 Waive any minor informality,
    - 10.2 Reject any and all Applications or portions thereof, or
    - 10.3 Cancel the RFGA.

**D. Award**

1. Multiple Awards In order to ensure adequate coverage of First Things First requirements, multiple awards may be made, but a single award may be considered.

2. Contract Inception An Application does not constitute a Contract nor does it confer any rights on the Applicant to the award of a Contract. A Contract is not created until the Application is accepted in writing by the First Things First designee's signature on the Offer and Acceptance Form. A notice of award or of the intent to award shall not constitute acceptance of the Application.

3. Effective Date The effective date of this Contract shall be the date that the First Things First designee signs the Offer and Acceptance form or other official contract form, unless another date is specifically stated in the Contract.

**E. Protests**

1. A protest shall comply with and be resolved according to A.R.S. §41-2611. Protests shall be in writing and filed with the Executive Director, Arizona Early Childhood Development and Health Board. A protest of an RFGA shall be received by the Grants and Contracts Procurement Specialist before the Application due date. A protest of a proposed award or of an award shall be filed within ten (10) days after the protester knows or should have known the basis of the protest. A protest shall include:
    - 1.1 The name, address and telephone number of the protester,
    - 1.2 The signature of the protester or its representative,
    - 1.3 Identification of the RFGA or Contract number,
    - 1.4 A detailed statement of the legal and factual grounds of the protest including copies of relevant documents, and
    - 1.5 The form of relief requested.

**F. Comments Welcome**

1. First Things First periodically reviews the Instructions to Applicants and welcomes any comments you may have. Please submit your comments to the Grants and Contracts Procurement Specialist, grants@azftf.gov

**FIRST THINGS FIRST SPECIAL TERMS AND CONDITIONS**

1. Term of Contract The term of the contract shall commence September 1, 2009 and shall remain in effect until June 30, 2010.

2. Contract Renewal/Contract Amendment This Contract shall not bind nor purport to bind First Things First for any contractual commitment in excess of the original contract period. First Things First shall have the right, with consult of the awardee, to issue a written contract

amendment to expand services and increase funding awarded to compensate for the agreed upon service expansion. First Things First shall have the right, at its sole option, to renew the contract for two (2) one-year periods or a portion thereof. Contract awards may be increased, decreased, or not renewed based on evaluation, programmatic and fiscal performance, the availability of funds, or the discretion of First Things First. If First Things First exercises such rights, all terms, conditions and provisions of the original contract shall remain the same and apply during the renewal period.

3. Reporting At a minimum grantees shall submit quarterly programmatic progress reports due by the 20th of the month following the quarter and will submit evaluation data reports and enter data into the FTF data system as determined by FTF evaluation staff. Failure to submit timely reports will result in suspension of reimbursement. The report shall contain such information as deemed necessary by First Things First.

   Programmatic reports and requests for program and budget changes must be sent to:
   First Things First
   Regional Division – Yuma Regional Partnership Council
   4000 N. Central Avenue, Suite 800
   Phoenix, AZ 85012

4. Reimbursement/Payment The Grantee shall be paid on a cost-reimbursement basis, at a maximum of monthly or a minimum of quarterly for those items submitted and approved in the budget inclusively. Reimbursement requests shall be submitted monthly or quarterly. **Grantee shall submit a final reimbursement request for expenses obligated prior to the date of contract termination no more than forty-five (45) days after the contract end.** Requests for reimbursement received later than forty-five (45) days after the contract termination will not be paid. **If awarded a contract, your organization must have sufficient funds to meet obligations for at least sixty- (60) days while awaiting reimbursements**. If an exception is requested to this requirement, it must be provided in writing in your Application describing the justification and need for alternative considerations.

   Financial reimbursement requests must be sent to:
   First Things First
   Finance Division - Yuma Regional Partnership Council
   4000 North Central Avenue, Suite 800
   Phoenix, Arizona 85012

5. Confidentiality of Records The Grantee shall establish and maintain procedures and controls that are acceptable to First Things First for the purpose of assuring that no information contained in its records or obtained from First Things First or from others in carrying out its functions under the contract shall be used by or disclosed by it, its agents, officers, or employees; except as required to efficiently perform duties under the contract. Persons requesting such information shall be referred to First Things First. Grantee also agrees that any information pertaining to individual persons shall not be divulged other than to employees or officers of the Grantee as needed for the performance of duties under the contract, unless otherwise agreed to in writing by First Things First.

6. Key Personnel It is essential that the Grantee provide an adequate staff of experienced personnel, capable of and devoted to the successful accomplishment of work to be performed under this contract. The Grantee must assign specific individuals to the key positions, when possible or submit an official position description for which candidates must qualify. **Once assigned to work under the contract, if key personnel are removed or replaced, written notification shall be sent to First Things First.**

7. Orientation A mandatory Orientation Meeting will be scheduled during the first quarter after awards are made and will provide all awarded grantees the information required to manage the contract.

8. Capital Expenditures Items over $5,000 with a life of more than one (1) year are allowable.

9. Working with Tribal Regional Partnership Council(s) A grantee must comply with requirements set forth by the Tribal Government in relation to essential functions of the grants operation including data collection. It is the responsibility of the grantee to follow appropriate policy and procedures, complete IRB, parent consent, and appropriate tribal approvals as designated by tribal authorities.

10. Geographic Distribution If Applications are not received from geographic areas within the region or if an Application submitted is not deemed applicable to funding by the review committee or falls below a review-scoring threshold, all funding may not be awarded or could be awarded to meet disparate geographic need for services. First Things First also reserves the right to fund more than one program in an area, to not award the entire amount of available funds, or to award an amount that is greater than the posted available funds.

**STATE OF ARIZONA UNIFORM TERMS AND CONDITIONS**

**1. Contract Interpretation**

1.1 Arizona Law This Contract shall be governed and interpreted by the laws of the State of Arizona. The venue for any proceedings, actions, or suits arising from this Contract shall be in Maricopa County, Arizona.

1.2 Implied Contract Terms Each provision of law and any terms required by law to be in this Contract are a part of this Contract as if fully stated in it.

1.3 Contract Order of Precedence In the event of a conflict in the provisions of the Contract, as accepted by First Things First and as they may be amended, the following shall prevail in the order set forth below:

1.3.1. First Things First Special Terms and Conditions
1.3.2. State of Arizona Uniform Terms and Conditions
1.3.3. Statement or Scope of Work
1.3.4. Attachments/Exhibits
1.3.5. Documents referenced or included in the RFGA

1.4 Severability The provisions of this Contract are severable. Any term or condition deemed illegal or invalid shall not affect any other term or condition of the Contract.

1.5 No Parole Evidence This Contract is intended by the parties as a final and complete expression of their contract. No course of prior dealings between the parties and no usage of the trade shall supplement or explain any terms used in this document and no other understanding either oral or in writing shall be binding.

1.6 No Waiver Party's failure to insist on strict performance of any term or condition of the Contract shall not be deemed a waiver of that term or condition even if the party accepting or acquiescing in the nonconforming performance knows of the nature of the performance and fails to object to it.

**2. Contract Administration and Operation**

2.1 Records Pursuant to A.R.S. §35-214 and §35-215, the Grantee shall retain and shall contractually require each subcontractor to retain all data and other "records" relating to the acquisition and performance of the Contract for a period of five years after the completion of the Contract. All records shall be subject to inspection and audit by First Things First at reasonable times. Upon request, the Grantee shall produce a legible copy of any or all such records.

2.2 Non-Discrimination The Grantee shall comply with State Executive Order No. 99-4 and all other applicable Federal and State laws, rules and regulations, including the Americans with Disabilities and all applicable provisions and regulations relating to Executive Order No. 13279 – Equal Protection of the Laws for Faith-based and Community Organizations.

2.3 Audit Pursuant to A.R.S. §35-214, at any time during the term of this Contract and five (5) years thereafter, the Grantee's or any subcontractor's books and records shall be subject to audit by First Things First and, where applicable, the Federal Government, to the extent that the books and records relate to the performance of the Contract or subcontract.

2.4 Financial Audit In compliance with the Federal Single Audit Act (31 U.S.C. par., 7501-7507), as amended by the Single Audit Act Amendments of 1996 (P.L. 104 to 156), grant sub-recipients, as prescribed by the President's Council on Integrity and Efficiency Position #6, expending Federal Grants from all sources totaling $500,000 or more, must have an annual audit conducted in accordance with OMB Circular #A-133, "Audits of States, Local Governments and Non-profit Organizations." **If you have expended more than $500,000 in federal dollars, a copy of your audit report for the previous fiscal year must be submitted with your Application.**

2.5 Audit Trails Grantee shall maintain proper audit trails for all reports related to this contract. First Things First reserves the right to review all program records.

2.6 Fund Management The Grantee must maintain funds received under this contract in separate ledger accounts and cannot mix these funds with other sources. Grantee must manage funds according to applicable regulations for administrative requirements, cost principles and audits.

The Grantee must maintain adequate business systems to comply with State requirements. The business systems that must be maintained are:

a. Financial Management
b. Procurement
c. Personnel
d. Property
e. Travel

A system is adequate if it is: 1) written; 2) consistently followed – it applies in all similar circumstances; and 3) consistently applied – it applies to all sources of funds.

2.7 Notices All notices, requests, demands or communications by either party to this Agreement, pursuant to or in connection with this Agreement shall be in writing and shall be delivered in person or shall be sent by the United States Postal Service, certified mail, return receipt requested, to the respective parties at the following addresses:

**Program:**
First Things First
Regional Division – Yuma Regional Partnership Council
4000 N. Central Avenue, Suite 800
Phoenix, AZ 85012

**Finance:**
First Things First
Finance Division – Yuma Regional Partnership Council
4000 N. Central Avenue, Suite 800
Phoenix, AZ 85012

2.8 Advertising, Publishing and Promotion of Contract The Grantee shall not use, advertise or promote information for commercial benefit concerning this Contract without the prior written approval of the Grants and Contracts Procurement Specialist.

2.9 Ownership of Information/Printed Material First Things First reserves the right to review and approve all publications and/or media funded or partially funded through this contract. All publications funded or partially funded through this contract shall recognize First Things First as the funding source. First Things First shall have full and complete rights to reproduce, duplicate, disclose, perform, and otherwise use all materials prepared under this Agreement.

**3. Funding/Payments**

3.1. Funding Requested funding must be submitted in an all-inclusive basis. The State will not reimburse any item other than the all-inclusive funding contained on the budget forms.

3.2. Tax Indemnification Grantee and all subcontracts shall pay all Federal, state and local taxes applicable to its operation and any persons employed by the Grantee. Grantee shall, and require all subcontractors to hold First Things First harmless from any responsibility for taxes, damages and interest, if applicable, contributions required under Federal, and/or state and local laws and regulations and any other costs including transaction privilege taxes, unemployment compensation insurance, Social Security and Worker's Compensation.

3.3. IRS Substitute W9 Form In order to receive payment the Grantee shall have a current IRS Substitute W9 Form on file with State of Arizona, unless not required by law.

3.4. Availability of Funds for the Next Fiscal Year Funds are not presently available for performance under this contract beyond the current fiscal year. Every payment obligation of First Things First under this Contract is conditioned upon the availability of funds appropriated or allocated for the payment of such obligation. If funds are not allocated and available for the continuance of this Contract, this Contract may be terminated by First Things First at the end of the period for which funds are available. No liability shall accrue to First Things First in the event this provision is exercised, and First Things First shall not be obligated or liable for any future payments or for any damages as a result of termination under this paragraph.

**4. Contract Changes**

4.1 Amendments Any change in the contract including the scope of work and budget described herein, whether by modification or supplementation, must be accomplished by a formal written contract amendment signed and approved by and between the duly authorized representatives of the Grantee and First Things First. Any such amendment shall specify an effective date, any increases or decreases in the Grantee's compensation, if applicable, and entitled as an "Amendment" and signed by the parties identified in the preceding sentence. The Grantee expressly and explicitly understands and agrees that no other method and/or no other document, including correspondence, acts, and oral communications by or from any person, shall be used or construed as an amendment or modification or supplementation to the contract.

4.2 Subcontractors The Grantee agrees and understands that no subcontract that the Grantee enters into with respect to performance under this contract shall in any way relieve the Grantee of any responsibility for performance of its duties. It is highly recommended by First Things First that a Memorandum of Understanding or some other type of contract is in place between the Grantee and a Subcontractor for services to be performed, and in which a payment amount has been negotiated and approved, to avoid any misunderstanding between both parties. The Subcontract shall incorporate by reference the terms and conditions of this Contract.

4.3 Assignment and Delegation The Grantee shall not assign any right nor delegate any duty under this Contract without the prior written approval of the Grants and Contracts Procurement Specialist. First Things First shall not unreasonably withhold approval.

**5. Risk and Liability**

5.1. Indemnification (Not Public Agency) The parties to this Contract agree that First Things First, its departments, Board and Councils shall be indemnified and held harmless by the Grantee for the vicarious liability of First Things First as a result of entering into this contract. However, the parties further agree that First Things First, its departments, Board and Councils shall be responsible for its own negligence. Each party to this contract is responsible for its own negligence.

5.2 Indemnification Language for Public Agencies Only Each party (as 'indemnitor') agrees to indemnify, defend, and hold harmless the other party (as 'indemnitee') from and against any and all claims, losses, liability, costs, or expenses (including reasonable attorney's fees) (hereinafter collectively referred to as 'claims') arising out of bodily injury of any person (including death) or property damage but only to the extent that such claims which result in vicarious/derivative liability to the indemnitee, are caused by the act, omission, negligence, misconduct, or other fault of the indemnitor, its officers, officials, agents, employees, or volunteers.

5.3 Insurance Requirements Grantee and subcontractors shall procure and maintain until all of their obligations have been discharged, including any warranty periods under this Contract, are satisfied, insurance against claims for injury to persons or damage to property which may arise from or in connection with the performance of the work hereunder by the Grantee, his agents, representatives, employees or subcontractors.

The *insurance requirements* herein are minimum requirements for this Contract and in no way limit the indemnity covenants contained in this Contract. First Things First in no way warrants that the minimum limits contained herein are sufficient to protect the Grantee from liabilities that might arise out of the performance of the work under this contract by the Grantee, its agents, representatives, employees or subcontractors, and Grantee is free to purchase additional insurance.

A. MINIMUM SCOPE AND LIMITS OF INSURANCE: Grantee shall provide coverage with limits of liability not less than those stated below.

1. **Commercial General Liability – Occurrence Form**
   Policy shall include bodily injury, property damage, personal injury and broad form contractual liability coverage.
   - General Aggregate $2,000,000
   - Products – Completed Operations Aggregate $1,000,000
   - Personal and Advertising Injury $1,000,000
   - Blanket Contractual Liability – Written and Oral $1,000,000
   - Fire Legal Liability $50,000
   - Each Occurrence $1,000,000

   a. The policy shall be endorsed to **include coverage for sexual abuse and molestation**.
   b. The policy shall be endorsed to include the following additional insured language: ***"The State of Arizona, its departments, agencies, boards, commissions, universities and its officers, officials, agents, and employees shall be named as additional insureds with respect to liability arising out of the activities performed by or on behalf of the Grantee".***
   c. Policy shall contain a waiver of subrogation against the State of Arizona, its departments, agencies, boards, commissions, universities and its officers, officials, agents, and employees for losses arising from work performed by or on behalf of the Grantee.

2. **Business Automobile Liability**

Bodily Injury and Property Damage for any owned, hired, and/or non-owned vehicles used in the performance of this Contract.

- Combined Single Limit (CSL) $1,000,000

a. The policy shall be endorsed to include the following additional insured language: ***"The State of Arizona, its departments, agencies, boards, commissions, universities and its officers, officials, agents, and employees shall be named as additional insureds with respect to liability arising out of the activities performed by or on behalf of the Grantee, involving automobiles owned, leased, hired or borrowed by the Grantee".***

b. Policy shall contain a waiver of subrogation against the State of Arizona, its departments, agencies, boards, commissions, universities and its officers, officials, agents, and employees for losses arising from work performed by or on behalf of the Grantee.

3. **Worker's Compensation and Employers' Liability**
   - Workers' Compensation Statutory
   - Employers' Liability
     - Each Accident $ 500,000
     - Disease – Each Employee $ 500,000
     - Disease – Policy Limit $1,000,000

   a. Policy shall contain a waiver of subrogation against the State of Arizona, its departments, agencies, boards, commissions, universities and its officers, officials, agents, and employees for losses arising from work performed by or on behalf of the Grantee.
   b. This requirement shall not apply to separately, EACH Grantee or subcontractor exempt under A.R.S. §23-901, AND when such Grantee or subcontractor executes the appropriate waiver (Sole Proprietor/Independent Contractor) form.

4. **Professional Liability (Errors and Omissions Liability)**
   - Each Claim $1,000,000
   - Annual Aggregate $2,000,000

   a. In the event that the professional liability insurance required by this Contract is written on a claims-made basis, Grantee warrants that any retroactive date under the policy shall precede the effective date of this Contract; and that either continuous coverage will be maintained or an extended discovery period will be exercised for a period of two (2) years beginning at the time work under this Contract is completed.
   b. The policy shall cover professional misconduct or lack of ordinary skill for those positions defined in the Scope of Work of this contract.

B. <u>ADDITIONAL INSURANCE REQUIREMENTS:</u> The policies shall include, or be endorsed to include, the following provisions:

1. The State of Arizona, its departments, agencies, boards, commissions, universities and its officers, officials, agents, and employees wherever additional insured status is required such

additional insured shall be covered to the full limits of liability purchased by the Grantee, even if those limits of liability are in excess of those required by this Contract.

2. The Grantee's insurance coverage shall be primary insurance with respect to all other available sources.
4. Coverage provided by the Grantee shall not be limited to the liability assumed under the indemnification provisions of this Contract.

C. NOTICE OF CANCELLATION: Each insurance policy required by the insurance provisions of this Contract shall provide the required coverage and shall not be suspended, voided, canceled, or reduced in coverage or in limits except after thirty- (30) days prior written notice has been given to the State of Arizona. Such notice shall be sent directly to (First Things First, Grants and Contracts Procurement Specialist, 4000 N. Central, Suite 800, Phoenix, AZ 85012) and shall be sent by certified mail, return receipt requested.

D. ACCEPTABILITY OF INSURERS: Insurance is to be placed with duly licensed or approved non-admitted insurers in the state of Arizona with an "A.M. Best" rating of not less than A-VII. The State of Arizona in no way warrants that the above-required minimum insurer rating is sufficient to protect the Grantee from potential insurer insolvency.

E. VERIFICATION OF COVERAGE: Grantee shall furnish the State of Arizona with certificates of insurance (ACORD form or equivalent approved by the State of Arizona) as required by this Contract. The certificates for each insurance policy are to be signed by a person authorized by that insurer to bind coverage on its behalf.

F. All certificates and endorsements are to be received and approved by the State of Arizona before work commences. Each insurance policy required by this Contract must be in effect at or prior to commencement of work under this Contract and remain in effect for the duration of the project. Failure to maintain the insurance policies as required by this Contract, or to provide evidence of renewal, is a material breach of contract.

G. All certificates required by this Contract shall be sent directly to (First Things First, Grants and Contracts Procurement Specialist, 4000 N. Central, Suite 800, Phoenix, AZ 85012). The State of Arizona project/contract number and project description shall be noted on the certificate of insurance. The State of Arizona reserves the right to require complete, certified copies of all insurance policies required by this Contract at any time. DO NOT SEND CERTIFICATES OF INSURANCE TO THE STATE OF ARIZONA'S RISK MANAGEMENT SECTION.

H. SUBCONTRACTORS: Grantees' certificate(s) shall include all subcontractors as insureds under its policies or Grantee shall furnish to the State of Arizona separate certificates and endorsements for each subcontractor. All coverages for subcontractors shall be subject to the minimum requirements identified above.

I. APPROVAL: Any modification or variation from the *insurance requirements* in this Contract shall be made by the Department of Administration, Risk Management Section, whose decision shall be final. Such action will not require a formal Contract amendment, but may be made by administrative action.

J. EXCEPTIONS: In the event the Grantee or sub-contractor(s) is/are a public entity, then the Insurance Requirements shall not apply. Such public entity shall provide a Certificate of Self-Insurance. If the Grantee or sub-contractor(s) is/are a State of Arizona agency, board, commission, or university, none of the above shall apply.

5.4 Force Majeure If either party hereto is delayed or prevented from the performance of any act required in this Agreement due to acts of God, strikes, lockouts, labor disputes, civil disorder, or other causes without fault and beyond the control of the party obligated, performance of or payment for such act will be excused for the period of the delay.

5.5 Third Party Antitrust Violations The Grantee assigns to First Things First any claim for cover charges resulting from antitrust violations to the extent that those violations concern materials or services supplied by third parties to the Grantee, toward fulfillment of this Contract.

**6. Compliance**

6.1 Compliance with Applicable Laws The services supplied under this Contract shall comply with all applicable Federal, state and local laws, and the Grantee shall maintain all applicable licenses and permit requirements.

6.2 Sectarian Requests Funds may not be expended for any sectarian purpose or activity, including sectarian worship or instructions.

6.3 Restrictions on Lobbying The Grantee shall not use these funds to pay for, influence, or seek to influence any officer or employee of First Things First, state government or the federal government if that action may have an impact, of any nature, on this contract.

6.4 Licenses Grantee shall maintain in current status all federal, state and local licenses and permits required for the operation of the business conducted by the Grantee.

6.5 Fingerprinting Pursuant to A.R.S. §41-1758 Grantee will obtain fingerprint cards and/or background checks as applicable.

This Contract may be cancelled or terminated if the fingerprint check or the certified form of any person who is employed by a provider, whether paid or not, and who is required or allowed to provide services directly to children, discloses that a person has committed any act of sexual abuse of a child, including sexual exploitation or commercial sexual exploitation, or any act of child abuse or that the person has been convicted of or awaiting trial on any criminal offenses in this state or similar offenses in another state or jurisdiction.

**7. State's Contractual Remedies**

7.1 Right to Assurance If First Things First in good faith has reason to believe that the Grantee does not intend to, or is unable to perform or continue performing under this Contract, the Grants and Contracts Procurement Specialist may demand in writing that the Grantee give a written assurance of intent to perform. Failure by the Grantee to provide written assurance within the number of Days specified in the demand may be, at First Things First's discretion,

the basis for terminating the Contract under the First Things First Uniform Terms and Conditions or other rights and remedies available by law or provided by the contract.

7.2 Cancellation for Failure to Perform Failure by the Grantee to adhere to any provision of this Agreement or its Attachments in the time and manner provided by this Contract or its Attachments shall constitute a material default and breach of this Contract and First Things First may cancel, at its option, this Agreement upon prior written notice.

First Things First may issue a written ten (10) day notice of default to the Grantee for acting or failing to act including but not limited to any of the following:

- The Grantee provides personnel that do not meet the requirements of this Agreement or are of an unacceptable quality.
- The Grantee fails to perform adequately the services required in this Agreement.
- The Grantee fails to furnish the required product or services within the time stipulated in this Agreement.
- The Grantee fails to make progress in the performance of the requirements of the Agreement and/or gives a positive indication that the Grantee will not or cannot perform to the requirements of this Agreement.

If the Grantee does not correct any problem(s) within ten (10) days after receiving the notice of default, First Things First may cancel the Contract. If First Things First cancels the Contract pursuant to this clause, First Things First reserves all rights or claims to damage for breach of the Contract and the Grantee agrees to a general release in favor of First Things First for any claim for reimbursement.

7.3 Non-Exclusive Remedies The rights and the remedies of First Things First under this Contract are not exclusive.

**8. Contract Termination**

8.1 Cancellation for Conflict of Interest. Pursuant to A.R.S. §38-511, First Things First may cancel this Contract within three (3) years after Contract execution without penalty or further obligation if any person significantly involved in initiating, negotiating, securing, drafting or creating the Contract on behalf of First Things First is or becomes at any time while the Contract or an extension of the Contract is in effect an employee of or a consultant to any other party to this Contract with respect to the subject matter of the Contract. The cancellation shall be effective when the Grantee receives written notice of the cancellation unless the notice specifies a later time. If the Grantee is a political subdivision of the State of Arizona, it may also cancel this Contract as provided in A.R.S. §38-511.

8.2 Suspension or Debarment First Things First may, by written notice to the Grantee, immediately terminate this Contract if First Things First determines that the Grantee has been debarred, suspended or otherwise lawfully prohibited from participating in any public procurement activity, including but not limited to, being disapproved as a subcontractor of any public procurement unit or other governmental body. Submittal of an Application or execution of a contract shall attest that the Grantee is not currently suspended or debarred. If the Grantee becomes suspended or debarred, the Grantee shall immediately notify First Things First.

8.3 Termination for Convenience First Things First reserves the right to terminate the Contract, in whole or in part at any time, when in the best interests of First Things First without penalty or recourse. Upon receipt of the written notice, the Grantee shall stop all work, as directed in the notice, notify all subcontractors of the effective date of the termination and minimize all further costs to First Things First. In the event of termination under this paragraph, all documents, data and reports prepared by the Grantee under the Contract shall become the property of and be delivered to First Things First upon demand. The Grantee shall be entitled to receive just, equitable compensation for work in progress, work completed, and materials accepted before the effective date of the termination. The cost principles and procedures provided in A.A.C. R2-7-701 shall apply.

8.4 Termination for Default In addition to the rights reserved in the contract, First Things First may terminate the Contract in whole or in part due to the failure of the Grantee to comply with any term or condition of the Contract, to acquire and maintain all required insurance policies, bonds, licenses and permits, or to make satisfactory progress in performing the Contract. The Grants and Contracts Procurement Specialist shall provide written notice of the termination and the reasons for it to the Grantee. Upon termination under this paragraph, all materials, documents, data and reports prepared by the Grantee under the Contract shall become the property of and be delivered to First Things First on demand. Upon termination of this Contract, First Things First may procure, on terms and in the manner that it deems appropriate, materials or services to replace those under this Contract. The Grantee shall be liable to First Things First for any excess costs incurred by First Things First in procuring services in substitution for those due from the Grantee.

**9. Contract Claims**

9.1 Arbitration The parties to this Contract agree to resolve all disputes arising out of or relating to this contract through arbitration, after exhausting applicable administrative review, to the extent required by A.R.S. §12-1518, except as may be required by other applicable statutes (Title 41).

**10. State of Arizona General Uniform Terms and Conditions**

The latest edition of the Arizona Uniform General Terms and Conditions and Uniform Instructions to Applicants is incorporated into this Request for Grant Application by reference. Copies may be obtained from the Arizona State Procurement Office at (602) 542-5511 or at: http://www.azdoa.gov/spo/documents-forms/procurement-documents.

## Checklist

Use the following list to make sure your Grant Application is complete and meets the requirements specified in this request for grant Applications:

- ❒ One (1) original copy marked "original", and nine (9) additional copies
- ❒ Completed and signed First Things First Offer and Acceptance form
- ❒ Table of Contents
- ❒ Application including Executive Summary and response to all 37 questions
- ❒ Standard Data Collection Form completed, Attachment A
- ❒ State of Arizona Substitute W-9 Form (must be downloaded and printed) signed, if applicable
- ❒ Applicant's Experience completed, Attachment B
- ❒ Personnel Overview completed, Attachment C
- ❒ Implementation Plan completed, Attachment D
- ❒ Funds Requested Page, completed and signed, Attachment E
- ❒ Line Item Budget, completed and signed, Attachment F
- ❒ Budget Narrative, completed and signed, Attachment G
- ❒ Disclosure of Other Funding Sources, completed and signed, Attachment H
- ❒ Financial Systems Survey is completed and signed, Attachment I
- ❒ Evaluation Plan, Attachment J
- ❒ Resumes for all personnel listed in the budget
- ❒ One copy of your agency's most recent audited, reviewed or compiled financial statements as well as a schedule showing the total federal funds (by granting agency) expended by your agency for the most recent fiscal year included with the Application marked Original.
- ❒ Page numbers are included on all pages, in sequence, twelve point font or larger and single-spaced, with one inch margins or wider.
- ❒ All documents requiring signatures should have **ORIGINAL** signatures.
- ❒ Do **NOT** bind your Application in spiral binders or in 3-ring notebooks. Please submit your Applications either stapled in the upper left-hand corner or use a binder clip.
- ❒ When submitting your Application, insure your organization name and the Request for Grant Application Number **FTF-RC023-10-0082-00** is CLEARLY marked on the outside of the SEALED envelope/package.
- ❒ It is the responsibility of each Applicant to insure their Application is delivered to First Things First by the due date and time, **May 20, 2009 at 10:00 a.m. Arizona MST**. Allow for such contingencies as heavy traffic, weather, directions, parking, security, etc.

## Attachments and Exhibits

| | |
|---|---|
| Attachment A | Standard Data Collection Form |
| Attachment B | Applicant's Experience |
| Attachment C | Key Personnel Overview |
| Attachment D | Implementation Plan |
| Attachment E | Funds Requested Page |
| Attachment F | Standard Line Item Budget |
| Attachment G | Budget Narrative Explanation |
| Attachment H | Disclosure of Other Funding Sources |
| Attachment I | Financial Systems Survey |
| Attachment J | Evaluation Plan |

| | |
|---|---|
| Exhibit A | Definition of Terms |
| Exhibit B | Sample Standard (No Match) Line Item Budget |
| Exhibit C | Sample Budget Narrative |
| Exhibit D | Sample Certificate of Insurance |
| Exhibit E | First Things First Professional Development: Community-Based Training Standards of Practice |
| Exhibit F | Research References |

# Attachment A

## FIRST THINGS FIRST STANDARD DATA COLLECTION FORM

### A. Agency Information:

Program Name (if applicable)_____

Agency_____ Contact Person_____

Address_____ Position_____

Address_____ Email_____

City, State, Zip_____ Phone_____x_____ Fax_____

County_____ **E**mployer **I**dentification **N**umber:_____

Agency Classification: _____State Agency _____County Government _____Local Government _____Schools ____Tribal

_____Faith Based _____Other

Have you previously conducted business with First Things First using this EIN? ____**Y** ____**N**

If **NO,** please go to the following website, download the State of Arizona Substitute W-9 Form and submit with your Application: http://www.gao.state.az.us/Vendor/forms/new/stateofaz_subw-9_042008.pdf

In which Congressional (Federal) District is your agency? Enter District # _____

http://www.azredistricting.org (click on Final Maps)

In which Legislative (State) District is your agency? Enter District # _____

http://www.azredistricting.org (click on Final Maps)

Approximately how much FEDERAL funding (from a Federal Source) will your organization expend in your current fiscal year? $_____

What is your organization's fiscal year-end date? _____

Accounting Method: _____Cash _____Accrual

Does your organization undergo an annual independent audit in accordance with OMB Circular A-133? _____**Y** _____**N**

Please provide contact information of the audit firm conducting your audit:

Agency _____

Address _____

Phone Number _____

### B. Proposed Program Information / Description:

Amount requested: _____

Service area of proposed program: _____

Target population of proposed program: _____

Number of participants to be served: _____

Please provide a **brief** description of the **proposed program** in one or two paragraphs.

## C. Contact Information (Please copy this page as many times as needed.)

**Program Agency** – Indicate person to be primary contact with First Things First and who is directly responsible for ensuring that the program plan is implemented. All future program correspondence will be sent to **this person.**

**Fiscal Agency** - Indicates person responsible for financial matters pertaining to this grant.

**Collaborator** – Indicates all persons/agencies that have been identified as a collaborator, partner, or host site as a requirement of this grant.

---

**Program Agency** **Fiscal Agency** **Collaborator**

Agency_____ Contact Person_____

Address_____ Position_____

Address _____ Email_____

City, State, Zip_____ Phone_____x_____ Fax_____

County_____

**Program Agency** **Fiscal Agency** **Collaborator**

Agency_____ Contact Person_____

Address_____ Position_____

Address _____ Email_____

City, State, Zip_____ Phone_____x_____ Fax_____

County_____

**Program Agency** **Fiscal Agency** **Collaborator**

Agency_____ Contact Person_____

Address_____ Position_____

Address _____ Email_____

City, State, Zip_____ Phone_____x_____ Fax_____

County_____

## Attachment B

**APPLICANT'S EXPERIENCE**

| |
|---|
| Name and address of organization for which the service or activity was provided: |
| Location where services or activities were conducted: |
| Dates the service or activity was conducted: (e.g., October 2007 – September 2008) |
| Describe the services or activities that were provided: |
| Describe what was achieved with the services or activities: (e.g., increased knowledge among 20% of program participants, served 100 children, etc.) |

## Attachment C

**KEY PERSONNEL OVERVIEW**

| STAFF MEMBER | BACKGROUND AND EXPERTISE OF PERSONNEL |
|---|---|
| Name:<br>Title:<br>FTE on this project: | |
| Name:<br>Title:<br>FTE on this project: | |
| Name:<br>Title:<br>FTE on this project: | |
| Name:<br>Title:<br>FTE on this project: | |
| Name:<br>Title:<br>FTE on this project: | |
| Name:<br>Title:<br>FTE on this project: | |

***In addition to this overview, please attach a resume (for current personnel) or a job description (for positions to be hired) for the key individuals involved in the project.**

## Attachment D

**IMPLEMENTATION PLAN**

| Activities | Task | Person Responsible | Date Task Will Be Completed/Timeline | Support Documentation |
|---|---|---|---|---|
| | | | | |
| | | | | |
| | | | | |

## Attachment E

**FUNDS REQUESTED PAGE**

The Offeror must state a firm, fixed total guaranteed not-to-exceed amount of funds requested for the Grant.

$_____Total Funds Requested

Authorized Signature_____ Date_____

Job Title _____

## Attachment F

### STANDARD LINE ITEM BUDGET – NO MATCHING FUNDS

While you must use this format, you may reproduce it with Word Processing or Spreadsheet software. Limit your budget line items to the following categories: Personnel, Fringe Benefits, Professional Services, Travel, Pass-Through (i.e., Sub grants), Other Operating Expenses and Administrative/Indirect Costs.

**Budget period: September 1, 2009 – June 30, 2010**

| Budget Category | Line Item | Requested Funds | Total Cost |
|---|---|---|---|
| **PERSONNEL AND FRINGE BENEFITS** | | | |
| | | | |
| **PROFESSIONAL SERVICES** | | | |
| | | | |
| **TRAVEL** | | | |
| | | | |
| **SUBGRANTS** | | | |
| | | | |
| **OTHER OPERATING EXPENSES** | | | |
| | | | |
| **Subtotal Direct Program Costs:** | | $ | $ |
| **Administrative/Indirect Costs:** | | | |
| **INDIRECT COSTS** | | | |
| **TOTAL COST** | | | |
| **Total** | | $ | $ |

***As shown, a line item budget justification for each component MUST be included in the proposal that describes the procedure for determining the cost of budget categories. Detail in the line item budget narrative strengthens proposals. See the following page for budget narrative format.**

Authorized signature_____ Date_____

Job Title_____

## Attachment F

### LINE ITEM BUDGET – USE IF LISTING MATCHING FUNDS

While you must use this format, you may reproduce it with Word Processing or Spreadsheet software. Limit your budget line items to the following categories: Personnel, Fringe Benefits, Professional Services, Travel, Pass-Through (i.e., Sub grants), Other Operating Expenses and Administrative/Indirect Costs.

**Budget period: September 1, 2009 – June 30, 2010**

| Budget Category | Line Item | Requested Funds | **Matching Funds/ Source | Total Cost |
|---|---|---|---|---|
| **Personnel and Fringe Benefits** | | | | |
| Personnel<br><br>Fringe Benefits | | | | |
| **Contracted Services/Professional Services** | | | | |
| Contract services | | | | |
| **Travel** | | | | |
| Out of State:<br><br>In State: | | | | |
| **Pass Through** | | | | |
| Sub grants | | | | |
| **Supplies and Other Operating** | | | | |
| Supplies and Other Operating Expenses | | | | |
| **Subtotal Direct Program Costs:** | | $ | $ | $ |
| **Administrative/Indirect Costs** | | | | |
| **Indirect Costs** | | $ | $ | $ |
| **Total** | | $ | $ | $ |

***As shown, a line item budget justification for each component MUST be included in the proposal that describes the procedure for determining the cost of budget categories. Detail in the line item budget narrative strengthens proposals. See the following page for budget narrative format.**
**** Matching Funds are not required, but if listed, are subject to monitoring by First Things First.**

Authorized signature_____ Date_____

Job Title_____

## Attachment G

**BUDGET NARRATIVE EXPLANATION**

The purpose of the budget narrative is to provide more clarity and detail on the various budget line items. The budget narrative should explain the criteria used to compute the budget figures on the budget form. Please verify that the narrative and budget form correspond and the calculations and totals are accurate.

**Personnel:** *Include information such as position title(s), name of employee (if known), salary, time to be spent on this program (hours or %), number of months assigned to this program, etc. Explain how the salary rate for each position was determined. If salaries are expected to increase during the project year, indicate the percentage increases for each position and justify the percent of the salary increase. Also, be sure to include the scheduled salary increases on the Budget Form.*

**Fringe Benefits:** *(Include a benefit percentage and what expenses make up employee benefit costs. Indicate any special rates for part-time employees, if applicable. Explain how the benefits for each position were determined. If using a fringe benefit rate, explain how this percentage is justified or approved by your agency.*

**Contracted Consultant/Professional Services**: *If professional consultants/services costs are proposed in the budget, define how the costs for these services were determined and the justification for the services related to the project. Explain how all contracts will be procured.*

**Travel:** *Include a detailed breakdown of hotel, transportation, meal costs, etc. Indicate the location(s) of travel, the justification for travel, how many employees will attend and how the estimates have been determined. Explain the relationship of each cost item to the project (e.g., if training or training expenses are requested, explain the topic of the training and its relationship to the project). Applicants **must** use the State of Arizona Travel Policy on rates for mileage, lodging, and meals (www.gao.state.az.us/travel/).*

**Pass Through/Sub grants:** *In the event that this Application represents collaboration and the contract will be utilizing other sub grantees to perform various components of the program, include a list of sub grantees, programmatic work each sub grantee will perform, and how costs for each sub grantee are determined.*

**Supplies and Operating Expenses**: *Explain each supply item to be purchased, how the costs were determined and justify the need for the items. Items with a unit cost less than $5,000 are considered supplies and should be listed in this category. All purchases should be made through competitive bid or using established purchasing procedures.*

**Administrative/Indirect Costs:** *Administrative costs are general or centralized expenses of overall administration of an organization that receives grant funds and does not include particular program costs. For organizations that have an established federally approved indirect cost rate for Federal awards, indirect costs mean those costs that are included in the organization's indirect cost rate. Such costs are generally identified with the organization's overall operation and are further described in 2 CFR 220, 2 CFR 225, and 2 CFR 230.*

**Applicants must list either Option A or Option B and provide proper justification for expenses included:**

**Option a - Administrative Costs**: *with proper justification, sub grantees may include an allocation for administrative costs for up to 10% of the total direct funds requested of the grant request. Administrative costs may include allocable direct charges for: costs of financial, accounting, auditing, contracting or general legal services; costs of internal evaluation, including overall organization's management improvement costs; and costs of general liability insurance that protects the organization(s) responsible for operating a project, other than insurance costs solely attributable to the*

*project. Administrative costs may also include that portion of salaries and benefits of the project's director and other administrative staff not attributable to the time spent in support of a specific project.*

***Option B - Federally Approved Indirect Costs**: If your organization has a federally approved indirect cost rate agreement in place, grantees may include an allocation for indirect costs for up to 10% of the grant request.* ***Applicants must provide a copy of their federally approved indirect cost rate agreement**.*

*Indirect costs are costs of an organization that are not readily assignable to a particular project, but are necessary to the operation of the organization and the performance of the project. The cost of operating and maintaining facilities, depreciation, and administrative salaries are examples of the types of costs that are usually treated as indirect.*

Authorized Signature_____ Date_____

Job Title_____

## Attachment H

**DISCLOSURE OF OTHER FUNDING SOURCES**

Please list all other funding that your organization currently receives from State or Public Agencies, Federal Agencies, Non-Profit Organizations, or any other source providing funding for the proposed Program*. A.R.S. §8-1183 provides for a prohibition on supplanting of state funds by First Things First expenditures, meaning that no FTF monies expended are to be used to take the place of any existing state or federal funding for early childhood development and health programs.

Use a continuation sheet if necessary. The following form may be reproduced with word processing software or another form may be created that contains all the information requested.

| Type of Funding (Federal, State, local, other) | Received From | Amount | ✓ If used for match on this grant |
|---|---|---|---|
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| **TOTAL:** | | | |

***This table should include only those funds that will support the program detailed in this Application.**

Authorized Signature_____ Date_____

Job Title_____

## Attachment I

**FIRST THINGS FIRST FINANCIAL SYSTEMS SURVEY**

Name of Applicant:_____

**Please answer every question by filling in the circle next to the correct answer. Attach materials and document comments as required.**

As stewards of federal and state funds, First Things First awards funds to organizations (regardless of how small or large) that are both capable of achieving project goals/objectives and upholding their responsibility for properly managing funds as they achieve those objectives.

This survey will be used primarily for initial monitoring of the organization. This survey may also be used in evaluating the financial capability of the organization in the award process. Deficiencies should be addressed for corrective action and the organization should consider procuring technical assistance in correcting identified problems.

### A. GENERAL INFORMATION

| | | |
|---|---|---|
| 1. | Has your organization received a Federal or State Grant within the last two years? | o YES<br>o NO |
| 2. | Has your organization completed an A-133 Single Audit within the past two years? If yes, please **attach** a complete copy of your A-133 Audit, including, but not limited to, your Management Letter, Findings and Questioned Costs. | o YES<br>o NO |
| 3. | If your organization has not completed an A-133 Single Audit, have your financial statements been audited, reviewed or compiled by an independent Certified Public Accountant within the past two years? If yes, please **attach** a complete copy of the most recent audited, reviewed or compiled financial statements. NOTE THAT ONLY ONE COPY OF YOUR AUDIT NEEDS TO BE INCLUDED WITH THE APPLICATION MARKED "ORIGINAL". It is not necessary to include additional copies with each copy of the completed Application. | o YES<br>o NO |
| 4. | Please **attach** a schedule showing the TOTAL federal funds (by granting agency) expended by your agency for the most recent fiscal year. Note: If your organization had an A-133 Single Audit, a copy of the "Schedule of Expenditures for Federal Awards" can be submitted. ONLY ONE COPY IS NEEDED, TO BE INCLUDED WITH THE APPLICATION MARKED "ORIGINAL" | |
| 5. | Has your organization been granted tax-exempt status by the Internal Revenue Service? | o YES<br>o NO<br>o N/A |
| 6. | If you answered YES to question #5, under what section of the IRS code?<br>O 501 C (3) O 501 C (4) O 501 C (5) O 501 C (6) O Other Specify:_____ | |
| 7. | Does your organization have established policies related to salary scales, fringe benefits, travel reimbursement and personnel policies? | o YES<br>o NO |

### B. FUNDS MANAGEMENT

| | | |
|---|---|---|
| 1. | Which of the following describes your organization's accounting system? | o Manual<br>o Automated<br>o Combination |

| | |
|---|---|
| 2. How frequently do you post to the General Ledger? | o Daily<br>o Weekly<br>o Monthly<br>o Other |
| 3. Does the accounting system completely and accurately track the receipt and disbursements of funds by each grant or funding source? | o YES<br>o NO |
| 4. Does the accounting system provide for the recording of actual costs compared to budgeted costs for each budget line item? | o YES<br>o NO |
| 5. Are time and effort distribution reports maintained for employees working fully or partially on state or federal grant programs that account for 100% of each employee's time? | o YES<br>o NO |
| 6. Is your organization familiar with Federal Cost Principles (i.e., 2 CFR 220, 2 CFR 225, and 2 CFR 230)? | o YES<br>o NO |
| 7. How does your organization plan to charge common/indirect costs to this grant?<br>**NOTE**: Those organizations using allocable direct charges **must attach** a copy of the methodology and calculations in determining those charges.<br>Those organizations using a federally approved indirect cost rate **must attach** a copy of the approval documentation issued by the federal government. | o Direct Charges<br>o Utilizing an Indirect Cost Allocation Plan or Rate |

**INTERNAL CONTROLS**

| | |
|---|---|
| 1. Are duties of the bookkeeper/accountant segregated from the duties of cash receipt or cash disbursement? | o YES<br>o NO |
| 2. Are checks signed by individuals whose duties exclude recording cash received, approving vouchers for payment and the preparation of payroll? | o YES<br>o NO |
| 3. Are all accounting entries and payments supported by source documentation? | o YES<br>o NO |
| 4. Are cash or in-kind matching funds supported by source documentation? | o YES<br>o NO |
| 5. Are employee time sheets supported by appropriately approved/signed documents? | o YES<br>o NO |
| 6. Does the organization maintain policies that include procedures for assuring compliance with applicable cost principles and terms of each grant award? | o YES<br>o NO |

**D. PROCUREMENT**

| | |
|---|---|
| 1. Does the organization maintain written codes of conduct for employees involved in awarding or administering procurement contracts? | o YES<br>o NO |
| 2. Does the organization conduct purchases in a manner that encourages open and free competition among vendors? | o YES<br>o NO |
| 3. Does the organization complete some level of cost or price analysis for every major purchase? | o YES<br>o NO |
| 4. Does the organization maintain a system of contract administration to ensure Grantee conformance with the terms and conditions of each contract? | o YES<br>o NO |
| 5. Does the organization maintain written procurement policies and procedures? | o YES<br>o NO |

**E. CONTACT INFORMATION**

Please indicate the following information. In the event that First Things First has questions about this survey, this individual will be contacted.

Prepared By:_____

Job Title:_____

Date:_____

Phone/Fax/Email:_____

**F. CERTIFICATION**

I certify that this report is complete and accurate, and that the Grantee has accepted the responsibility of maintaining the financial systems.

_____
Authorized Signature

**G. COMMENT AND ATTACHMENTS**

Please use the space below to comment on any answers in Sections A – D. Please indicate the Section and Question # next to each comment. Number of Attachments (please number each attachment): _____

| COMMENTS: |
| --- |
| |

## Attachment J

**EVALUATION PLAN**

| Performance Measure | Data to Collect | Plan for Data Collection | Plan for Using the Data | Quality Assurance |
|---|---|---|---|---|
| | | | | |
| | | | | |
| | | | | |
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## Exhibit A

**DEFINITION OF TERMS**

As used in these Instructions, Special Terms and Conditions and Uniform Terms and Conditions, the terms listed below are defined as follows:

1. "**Activity**" means activities, services, and programs direct or indirect or contracted means to carry out strategies.
2. *"**Application**"* means bid, proposal or quotation.
3. *"**Applicant**"* means a person who responds to a RFGA.
4. *"**Attachment**"* means any item the RFGA that requires an Applicant to submit as part of the Application.
5. *"**Best Practice**"* means that there is a technique, method, process, activity, incentive or reward that is more effective at delivering a particular outcome than any other. Best Practice can also be defined as the most efficient (least amount of effort) and effective (best results) way of accomplishing a task, based on repeatable procedures that have proven themselves over time for large numbers of people. Best Practice is used to describe the process of developing and following a standard way of doing things that multiple organizations can use for management, policy, and especially software systems.
6. *"**Collaborate**"* means to work jointly with others or together to conduct planning, decision-making, or program execution; may include exchange of information or resources.
7. *"**Contract**"* means the combination of the RFGA, including the Instructions to Applicants, The Uniform and Special Terms and Conditions, and the Specifications and Statement or Scope of Work; the Application and any Application Clarifications; and any RFGA Amendments or Contract Amendments.
8. "***Contract Amendment***" means a written document signed by the Grants and Contracts Procurement Officer that is issued for making changes in the Contract.
9. *"**Coordination**"* means to take a leadership role and responsibility for outcomes in bringing people, organizations, or resources together to conduct planning, decision-making or program execution; to bring into a common action, movement, or condition.
10. *"**Days**"* means calendar days unless otherwise specified.
11. *"**Early Child Development and Health**" (ECDH)* means the array of programs, services, and supports in both Early Care and Education and Health which serve children aged birth through five years and their families.
12. *"**Exhibit**"* means any item labeled as an Exhibit in the RFGA or placed in the Exhibits section of the RFGA. Exhibits are resource materials.
13. *"**Goal**"* means broad measurable statement of intent to set a future direction; what an Applicant wants to accomplish. The goal communicates the direction of (more, less, maintain) the result statement. Goals indicate what First Things First will do as part of the comprehensive early childhood system. Each Goal is a piece of a larger picture and is inextricably interrelated and linked with the other Goals.
14. *"**Goal Area**"* means First Things First's over-arching goals- Quality and Access; Health; Professional Development; Family Support; Coordination; Communications.
15. *"**Grantee**"* means any Applicant whose Application has been accepted and has been awarded a Grant with First Things First.
16. *"**Grants and Contracts Procurement Specialist**"* means the person, or his or her designee, duly authorized by First Things First to enter into and administer Contracts and make written determinations with respect to the Contract.

17. *"**Key Measures**"* means measures that align directly with Goals and indicate what we want to change. Many Key Measures listed will indicate whether regular progress toward First Things First Goals will be achieved within three to five years. Other Key Measures listed will provide important data to determine ongoing impact on and progress of the early childhood development and health system.

18. *"**Logic Model**" (LM)* means a sequential program planning, implementation, and evaluation process that identifies and links all elements to achieve positive impacts on individuals and the community. Using a logic model supports strong program/project planning and design, promotes realistic expectations, leads to identification of meaningful evaluation data, assists in monitoring progress and tracking changes so that successes can be replicated and mistakes avoided. The logic model provides a standardized approach to grant planning, implementation and evaluation that is used across the Arizona Early Childhood Development and Health regions.

19. *"**Performance Measures**"* means a short-term impact that links to the Key Measures and include service numbers.

20. *"**Promising Practice,**"* means practices that were developed based on theory or research, but for which an insufficient amount of original data have been collected to determine the effectiveness of the practices. Practices in this category may have been studied, but they did not go through rigorous study designs. These practices have been tested but the results are not as clear as those results in the proven category above. Practices that fall in this category are based on some type of research – whether it is theoretical, qualitative, or quantitative – but data have yet to be collected on effectiveness. Promising practices may have been tested under different conditions and, therefore, may have a research foundation. However, the practices themselves have not been tested using the most rigorous research designs, or were tested in different contexts.

21. *"**Proven Practice**"* means the study design uses a convincing comparison group to identify program impacts, including randomized-control trial (experimental design) or some quasi-experimental designs. Sample size of evaluation exceeds thirty in both the treatment and comparison groups. Must directly impact one of the indicators.

22. *"**Research-based**"* means research that is based on the neuro-biological, behavioral and social sciences that has led to major advances in understanding the conditions that influence whether children get off to a promising or worrisome start in life.

23. "***RFGA***" means an a Request for Grant Application (RFGA).

24. "***RFGA Amendment***" means a written document that is signed by the Grants and Contracts Procurement Officer and issued for making changes to the RFGA.

25. *"**School Readiness**"* means the match between the range of developmental accomplishments (e.g., emerging literacy and numeracy skills, such as pretending to read stories or counting to 20, and small-motor skills, such as buttoning clothes and holding a pencil properly) and difficulties (e.g., such as restlessness and inattention, speech difficulties, and less than optimal health) that children bring with them when they arrive at kindergarten and the capacity of schools to educate all children regardless of the abilities, interests and talents they bring to school.

26. *"**State**"* means the State of Arizona, Early Childhood Development and Health Board who executes the Contract.

27. *"**State Fiscal Year**" (SFY)* means the period beginning with July 1 and ending June 30.

28. *"**Strategy**"* means general methods or overall approaches used to achieve goals. Strategies provide direction and are globally defined best practices that positively impact the lives of children and families served. Strategies work together and indicate how we will implement the Goals.

29. *"**Subcontract**"* means any Contract, express or implied, between the Grantee and another party delegating or assigning, in whole or in part, the furnishing of any service required for the performance of the Contract.

## Exhibit B

### SAMPLE STANDARD (NO MATCH) LINE ITEM BUDGET

This attachment is provided as an example only. While you must use this format, you may reproduce it with word processing or spreadsheet software. Limit your budget line items to the following categories: Personnel, Fringe Benefits, Professional Services, Travel, Pass-Through (i.e., sub-grants), Other Operating Expenses and Administrative/Indirect Costs.

**Budget period: September 1, 2009 – June 30, 2010**

| Budget Category | Line Item | Requested Funds | Total Cost |
|---|---|---|---|
| **Personnel and Fringe Benefits** | | | |
| Personnel | Percy Miller, Executive Director, 10%, 10 months | $7,083 | $7,083 |
| | Roxanne Trump, Program Manager, 15%, 10 months | $8,125 | $8,125 |
| | Vera Contreras, Program Assistant, 100%, 10 months | $25,000 | $25,000 |
| | Program Coordinator, TBD, 100%, 10 months | $37,500 | $37,500 |
| | Chris Walker, Accounting Assistant, 50%, 10 months | $14,853 | $14,853 |
| | | **$92,292** | **$92,292** |
| Fringe Benefits | Agency Rate (22%)- see budget narrative | **$20,304** | **$20,304** |
| **Professional Services** | | | |
| Professional (contracted) services | Larry, Terry and Kerry Evaluation Services, Inc.<br>120 hours of contracted evaluation services x $100 per hour<br>80 additional hours are donated as in-kind services | **$12,000** | **$20,000** |
| **Travel Expenses** | | | |
| Travel | Out of State Travel: Not Applicable | $0 | $0 |
| | In-State Travel: | | |
| | • Coordinator and Assistant program related travel (500 miles per week x 40 weeks x 2 staff x state mileage rate $.445/mile) | $17,800 | $17,800 |
| | • Manager program related travel (50 miles per week x 40 weeks x 1 staff x state mileage rate of $.445 /mile) | $890 | $890 |
| | • Attend First Things First Orientation in Phoenix and travel to required FTF state required meetings: (100 miles round trip to FTF x 4 staff x 8 meetings x state travel | $1,424 | $1,424 |
| | • Attend Regional Partnership Council Monthly meetings: (50 miles round trip x 3 staff x 10 monthly meetings x state travel rate of $.445/mile) | $667.50 | $667.50 |
| | | **$20,782** | **$20,782** |
| **Pass-Through** | | | |
| Subgrants | Not Applicable | | |
| **Supplies & Other Operating** | | | |
| Other Operating Expenses | Postage ($100/month x 10 months for monthly correspondence) | $1,000 | $1,000 |
| | Telephone ($75/month x 10 months x 2 full time staff | $1,500 | $1,500 |
| | Rent and Utilities for 2.75 FTE x $240/month x 10 months (see Narrative) | $6,600 | $6,600 |
| | Office Supplies: $150/month x 10 months | $1,500 | $1,500 |
| | Work station and computer for new employee (Program Coordinator) | $1,500 | $1,500 |
| | Workshop Supplies (10 workshops x $550 each) | $5,500 | $5,500 |
| | | **$17,600** | **$17,600** |
| **Subtotal Direct Program Costs:** | | $162,977 | 170,922 |
| **Administrative/Indirect Costs** | | | |
| **Indirect Cost** | Option A 10% administrative cost rate is used. Agency's allocation policy for administrative costs is 15%. Please see narrative. | $16,298 | $17,092 |
| Total | | $179,275 | $188,014 |

***As shown, a line item budget justification for each component MUST be included in the proposal that describes the procedure for determining the cost of budget categories. Detail in the line item budget narrative strengthens proposals.**

Authorized signature *Tabitha S. McGillicuddy* Date May 3, 2009 *Job Title Accounting Manager*

## Exhibit C

### SAMPLE BUDGET NARRATIVE

The detail of this budget narrative is fictitious and is to be used as an example only. Budget items listed may or may not pertain to the scope of work and requirements listed in this RFGA.

**Personnel:**

- Percy Miller, Ph.D. is the Executive Director. He oversees all programs and will be spending 10% of his time on the proposed program for the 10 month grant cycle to include attending program related meetings and training as well as management of the evaluation subcontract. With an annual salary of $85,000, 10% of which will be charged to this grant for 10 months, or $7,083.
- Roxanne Trump, M.P.H. is the Program Manager for the Family Support projects at our agency. Oversight of this program and staff supervision will require 15% of her time for the 10 month grant cycle. With an annual salary of $65,000, 15% of the 10 month salary which will be charged to this grant, or $8,125.
- Vera Contreras will serve as the full-time Program Assistant, 100% of her time for 10 months. Vera will be responsible for coordination of the workshops, submitting programmatic reports, and data entry in cooperation with the evaluation consultants. Her annual salary is $30,000, 10 months is $25,000, which will be charged entirely to this grant.
- The position of Program Coordinator will be hired to serve full-time on this project. The Program coordinator has daily oversight of program implementation for the 10 month grant cycle. (Please see attached job description for other duties associated with this position.) The annual salary of this position is $45,000, 10 months is $37,500, which will be charged entirely to this grant.
- Chris Walker, Accounting Assistant, will devote 50% of his time to this project and will complete the financial tracking and reporting for this program over the 10 months. His annual salary is $35,000, of which 50% of ten months salary will be charged to this grant or $14,583.
- The total expenses for all program related salaries equals $92,292.

**Fringe Benefits:** The approved fringe benefit percentage for employees is calculated at 22%. Medicare, Social Security, Arizona Unemployment, Worker's Compensation, and health insurance make up the employee benefit cost. Twenty-two percent of the total salaries ($92,292) is $20,304, the amount charged to this grant.

**Contracted Consultant/Professional Services**: The firm of Larry, Terry and Kerry Evaluation Services, Inc. will be contracted to complete the required evaluation. It is estimated that approximately 20 hours will be spent monthly for the 10 month grant cycle to perform the evaluation services including survey development, staff training for evaluation data quality assurance, data analysis and reporting. A resume for Phil Kerry, Ph.D., who will serve as the primary evaluator on this project, is included in this grant application. The firm has 50 years combined experience evaluating early childhood development programs. The firm has donated a total of 80 hours of in-kind services over the course of the grant cycle at a rate of $100 per hour ($8,000 total in-kind). 120 hours of contracted evaluation services at $100 per hour is included in the budget request. Total evaluation services are valued at $20,000 with $12,000 being requested from First Things First.

**Travel:**

- Program travel for the Coordinator and Assistant is necessary in the successful implementation of the program and includes the tasks of providing outreach, recruiting program participants, and delivering the program. In addition, travel to and from the monthly programmatic workshops has been included in the projected cost, which will be conducted by the Coordinator and the Assistant. This local travel has been estimated at 500 miles per week for 40 weeks of program delivery for the 2 staff members. The state mileage rate of $.445 per mile was used, as required. Total for this line item is $17,800.

- Manager program related travel is calculated at 50 miles per week for 40 weeks at the state mileage rate of $.445 per mile. The Manager's travel includes performing quality assurance checks, attending workshops as needed, and attending the local Family Support Coalition meetings. Total cost is $890.
- As required, the four key staff members will attend the First Things First Orientation meeting in Phoenix and will travel to the required FTF state meetings. This travel has been estimated at 100 miles round trip to FTF for 4 staff members for the 8 meetings and has been calculated at the state travel rate of $.445 per mile and has been listed in the budget for the total of $1,424.
- As a requirement of this RFGA, up to three staff members will attend the Regional Partnership Council Monthly meetings and/or trainings. This travel cost is estimated at 50 miles round trip for 10 monthly meetings for three staff and has been calculated at the state travel rate of $.445 per mile for a total of $667.50.
- With all programmatic travel, ride sharing to meetings, workshops and programmatic visits will be encouraged and utilized to cut down on the cost of travel. The budget request for all travel described above equals $20,782.

**Pass Through/Sub grants:** There are no sub grants involved with this program application.

**Supplies and Operating Expenses**:

- **Postage** expenses are calculated at $100 per month for the 10 month and include costs for monthly programmatic correspondence that may include recruitment letters, follow up surveys, and parental consent forms.
- **Telephone**: Due to the extensive programmatic travel and program coordination needed for successful implementation, the Program Coordinator and Program Assistant will each be eligible to receive the agency's cellular phone reimbursement which is $75 per month as stated in our policies and procedures. This is calculated for 10 months x 2 full time staff for a total request of $1,500.
- **Rent and Utilities** for the agency is calculated based on the number of FTE employees per funding source at a rate of $240 per month as per our policies and procedures. This project utilizes 2.75 FTE employees for the 10 month grant cycle for a total of $6,600.
- **Office Supplies** for the programmatic staff have been estimated at $150 each month for the 10 months. Monthly expenses estimated include: copy paper = $40; printer and copier toner = $60; general office supplies = $50 for the $150 total monthly request, totaling $1,500.
- **Workshop Expenses**: The implementation of the program includes a series of ten workshops, one to be held each month of the grant year. The cost of each workshop is estimated at $550 each (x 12) for a total of $5,500. Workshop expenses per workshop include the following: 20 participant workbooks x $15 each = $300; $100 per workshop for light refreshments; $25 per hour for 3 on-site licensed child care providers for 2 hours = $150.00.

**Administrative/Indirect Costs:** Option A: Our agency utilizes an annual cost allocation policy for all funding sources that includes organization expenses including human resources staff salaries, payroll staff salaries, audit services, general employee/board training and orientation, agency liability insurance, and organizational administrative staff salaries. Current cost allocation for administrative costs is 15% of the agency budget, the percentage requested from each funding source. As allowed by First Things First, a 10% administrative cost rate is requested in this budget, $16,298, with the remaining 5% being contributed by our agency through fundraising/unrestricted dollars.

Authorized signature *Tabitha S. McGillicuddy* Date May 3, 2009 Job Title *Accounting Manager*

## Exhibit D

### SAMPLE CERTIFICATE OF INSURANCE

Prior to commencing services under this contract, the Grantee must furnish the state certification from insurer(s) for coverages in the minimum amounts as stated below. The coverages shall be maintained in full force and effect during the term of this contract and shall not serve to limit any liabilities or any other Grantee obligations.

| Name and Address of Insurance Agency: | Company Letter: | Companies Affording Coverage: |
|---|---|---|
| | A | |
| | B | |
| Name and Address of Insured: | C | |
| | D | |

| LIMITS OF LIABILITY MINIMUM - EACH OCCURRENCE | | COMPANY LETTER | TYPE OF INSURANCE | POLICY NUMBER | DATE POLICY EXPIRES |
|---|---|---|---|---|---|
| Bodily Injury<br>Per Person<br>Each Occurrence<br>Property Damage<br>OR<br>Bodily Injury<br>and<br>Property Damage<br>Combined | | | Comprehensive General Liability Form<br>Premises Operations<br>Contractual<br>Independent Contractors<br>Products/Completed Operations Hazard<br>Personal Injury<br>Broad Form Property Damage<br>Explosion & Collapse (If Applicable)<br>Underground Hazard (If Applicable) | | |
| Same as Above | | | Comprehensive Auto Liability Including Non-Owned (If Applicable) | | |
| Necessary if underlying is not above minimum | | | Umbrella Liability | | |
| Statutory Limits | | | Workmen's Compensation and Employer's Liability | | |
| | | | Other | | |

State of Arizona and the Department named above are added as additional insureds as required by statute, contract, purchase order, or otherwise requested. It is agreed that any insurance available to the named insured shall be primary of other sources that may be available.

It is further agreed that no policy shall expire, be canceled or materially changed to affect the coverage available to the state without thirty- (30) days written notice to the State. This Certificate is not valid unless countersigned by an authorized representative of the insurance company.

Name and Address of Certificate Holder:

_____

_____

Date Issued: _____

Authorized Representative: _____

**Exhibit E**

# First Things First Professional Development: Community-Based Training Standards of Practice

PURPOSE/OBJECTIVE

Because young children, including infants and toddlers, spend so much time in settings outside their own homes, it is especially important to ensure that early care providers and teachers have the tools and skills to promote learning and healthy social and emotional development, and know how to help when development is not progressing as it should. Furthermore, high quality early care and education is linked to the education and stability of the early education workforce. The preparation and ongoing professional development of early educators is a fundamental component of a high quality early learning system. The education and training of teachers and administrators is strongly related to early childhood program quality, and program quality predicts development outcomes for children.

However, early care and education providers are often nontraditional learners who benefit from a range of supports in professional development. First Things First recognizes the need to provide a variety of options to engage providers in professional development. In addition to college coursework, other formats of professional development can encourage individuals who have been away from formal schooling to return to the classroom.

While community-based training has not been well evaluated, it does provide another logical stepping stone to more formal and credit bearing professional development. Participants will be encouraged and supported to eventually continue their education through college credit coursework and/or participation in T.E.A.C.H and *Quality First!* All professional development trainings will be required to show successful outcomes, either through an assessment process or a follow-up visit by a mentor or coach to determine if professional practice has been changed based upon what was learned in the training.

First Things First invites innovative and creative ways to provide high quality professional development in Arizona. The broad nature of this strategy allows stakeholders to collaborate in a variety of innovative and creative ways to increase access to quality community-based professional development opportunities. Models of community-based professional development may focus on enhancing leadership and administrative skills among child care administrators in order to enhance program quality. Additionally, grantees may pursue other approaches to professional development, such as the use of cohorts for participants; single day seminars; or multi-day trainings that are held over the course of several months. However, while these programs come in different forms, they have a common goal of increasing the level of preparation and skill of early care and education providers, and encouraging them to pursue certification and college degrees in the field.

Research demonstrates that the most effective types of professional development approaches include content-based workshops as well as hands-on, one-on-one mentoring or coaching, also referred to as "consultation."
A national multi-state evaluation on consulting as professional development concluded that on-site consultation resulted in improvements for both center-based care as well as family child care on factors on Harms' environmental rating scales. Further, formal professional development is related to increased quality care; however, experience without formal training has not been found to be related to quality care.
Therefore, the value of applying theory to practice is a key element of community-based professional development.

While each First Things First funded community-based training program is uniquely designed, they all have a valuable role to play in meeting the complex needs of early care and education providers, families, and communities across the State of Arizona. First Things First funded programs shall supplement, not supplant, other state expenditures on, and

federal monies received for early childhood development and health programs. First Things First focuses on programs and services that provide children with the best opportunities for school and life success. Funding decisions are based upon a robust process of review to ensure programs are supported by research, value the family and use approaches considered to be best practice.

Applicants in regions that contain federally-designated tribal areas must describe their outreach activities for early care and education providers within tribal communities.

BEST PRACTICES

Community-based professional development opportunities should be designed and implemented according to the following principles:

1. Training should be based on current research, core areas of competency, and early learning standards.
    a. Curriculum should incorporate and reflect the theoretical framework that informs practice in the classroom.
2. Participants should be afforded opportunities for practical application of the theoretical foundation to real-life classroom activities and situations.
    a. Training experiences should be relevant to the participant's background and current role and provide a pathway leading to a specific goal such as a Child Development Associate (CDA) or other.
3. Instructors should possess appropriate credentials and experience in conducting professional development activities.
4. Training sessions should involve adult active learning techniques for participants.
5. Professional development should include opportunities for on-site technical assistance, mentorship, and supervision.
6. Instructors should be knowledgeable about and possess experience in working with both adult learners and young children birth to age five.
7. An assessment should be implemented (either a pre/post assessment) of the outcomes of the training before a certificate of completion is awarded.

MAJOR TASKS: As stated in the Scope of Work, it is expected that providers of community-based professional development opportunities for early care and education professionals will:

1. Increase the availability of and participation in high quality professional development opportunities through community-based trainings for those working with or preparing to work with children ages birth through age five.
2. Provide high quality professional development opportunities through innovative and creative approaches.
3. Develop outreach and recruitment practices that engage and retain participants.
4. Track individual's progress in obtaining the skills necessary to be qualified to care for children.
5. Provide resource and referral information to participants on: the healthy development of young children; resources available in the community such as early literacy programs, family support agencies, and physical and oral health resources.
6. Provide resource and referral information to participants relative to degree and certification programs in early care and education (and related fields), and higher education scholarships.
7. Identify and coordinate with existing training opportunities within the region.
8. Conduct trainings based on best practices and research, giving consideration to:
    a. Utilizing subject matter experts (visiting faculty, published authors, researchers, etc.) to enhance training content and delivery.
    b. The frequency and sequence of training sessions.
    c. Having specific identified outcomes that participants must achieve before documentation of completion.
9. Training sessions should be interactive, model desired behaviors, and address the multiple learning styles of adult learners.

a. Training topics should address core competency areas of early childhood education certification and degree programs. At a minimum, training topics must include:
    i. Understanding early childhood development, both physical and special needs
    ii. Observing, documenting, and assessing children's behaviors
    iii. Ensuring safe and healthy learning environments
    iv. Upholding ethical and professional standards
    v. Utilizing developmentally appropriate practices
    vi. Advancing physical and intellectual competence
    vii. Supporting social/emotional development and using positive guidance techniques
    viii. Establishing respectful, positive, and productive relationships with families
    ix. Ensuring a well-run purposeful program responsive to participant needs
b. Additional training topics may include, but are not limited to:
    i. Sensory integration, behavioral health, and special needs
    ii. Role of creativity in learning
    iii. Role of materials in the classroom
    iv. Role of the arts in cognitive and social emotional growth and development
    v. Role of the environment and environmental design in children's learning
    vi. Role of the teacher/educator as researcher
    vii. Significance of play
    viii. Written and oral communication skills of providers

10. Design and implement an assessment process to determine the extent to which the training has enhanced the knowledge and professional practice of program participants.
11. Ensure that community-based trainings meet requirements of the National Council for Professional Recognition (for the CDA), and the standard requirements for transfer of credit to a certificate or degree in early care and education (or a related field) at the community colleges. In order to facilitate the process for approval of college credit for community-based trainings, grantees will need to identify one representative to participate in a statewide advisory committee that will inform First Things First regarding the requirements for the approval of college credit. First Things First will create the advisory committee once grantees have been identified. The advisory committee may meet either in person or by other means of communication such as telephonically, live meeting, etc.
12. For those grant opportunities that include mentoring/coaching for administrators /practitioners, grantees will need to:
    a. Establish a mentoring program that includes effective/proven components of a mentoring program and views mentoring as "core component of professional development-a replacement for less effective training modalities, rather than an additional service."
    b. Identify selection criteria for mentors/coaches and participating administrators/practitioners
    c. Include roles, responsibilities, and expectations of mentors/coaches and participating administrators/practitioners I job descriptions, and other written documents
    d. Develop cohorts of participants.
    e. Create a clear and multi-direction communication system
    f. Develop individualized professional development training plans.
    g. Establish mechanisms that support on-going training and support for mentors and participants
        i. Provide mentoring/coaching, to administrators, that support leadership development and administrative competency
        ii. Provide mentoring/coaching, to practitioners, that support teaching self confidence and self-efficacy in teaching (a belief in one's ability to be effective with children and families)
    h. Develop on-site or near-site trainings for center administrators that address fiscal administration, systems management, human resource development, and related administrative skills/tasks
    i. Design an evaluation process to assess system efficacy

IMPLEMENTATION: When implementing the Scope of Work, programs will:

1. Provide training to early childhood professionals that is based upon a culture of trust and respect.
    a. Clearly define program objectives to ensure comprehension, engagement, and retention.
    b. Create opportunities for formal and informal feedback and act upon it; ensure that input shapes decision-making.
    c. Encourage honest, open communication.
    d. Maintain confidentiality, being respectful of program participants.
    e. Is culturally respective
2. Maintain flexibility and responsiveness to emerging issues in the community and the early childhood field.
    a. Recruit staff from the community who have extensive knowledge of community resources.
    b. Recruit staff that reflect the cultural and ethnic experiences and language of the participants, and integrate their expertise into the program.
    c. Develop a collaborative, coordinated response to community needs.
    d. Be accessible for program participants.
    e. Ensure a manageable classroom size and appropriate staffing patterns.
3. Ensure the provision of high-quality professional development opportunities through experienced and responsive staff.
    a. The length of employment and experience/education are reflective of high quality staff. The training instructor is required to possess:
        i. Demonstrated knowledge and skills that reflect current best practices and research that are aligned with Early Childhood Education standards for children and professionals.
        ii. The training instructor must have experience in early childhood education, elementary education with a concentration in early childhood, child and family studies, or a closely related field in order to meet the qualifications of adjunct faculty at the local community college. Supervisors must meet or exceed these requirements with at least two years of program management experience. If programs experience hardship in recruitment efforts, they must notify and consult with First Things First.
        iii. Minimum five years experience working with young children (combination of classroom and supervisory experience)
        iv. Experience working with adult learners and diverse cultures
        v. Bilingual English/Spanish preferred
    b. Assess staff skills and abilities. They must be able to engage participants while maintaining a professional rapport.
    c. Provide ongoing staff development/opportunities for professional development, including topics such as cultural competence; and setting professional goals.
4. Programs are expected to partner with First Things First during all stages of planning and implementation, and with local child care providers and other early care and education stakeholders in developing and marketing the program. Programs will also be required to demonstrate a willingness to work with First Things First Regional Partnership Councils via the Regional Coordinator structure and the systems of communications established by First Things First. In order to document progress towards successful implementation and the achievement of specified goals and outcomes, programs will also be required to function within the framework of First Things First evaluation efforts.

## Exhibit F

**Research References**


- National Association for the Education of Young Children (1993). A Conceptual Framework for Early Childhood Professional Development.
- Pennsylvania BUILD Initiative (November 2004). Building an Early Childhood Education and Care Professional Development System: Where are We? What are the Next Steps? Pennsylvania Department of Education.
- Ohio Department of Education (January 2006). Critical Issues in Early Educator Professional and Workforce Development. Columbus: OH. This paper was funded by the Department under the Commission of the School Readiness Solutions Group, and was developed by Jana Fleming, Paulsell et al, 2008, Lessons for Policy and Programs.
- Galinsky, E.C., Howes, S., & Shinn, M. The study of children in family care and relative care. 1994, New York: Families and Work Institute
- Kagan, S.L., & Newton, J.W. Public Policy Report: For-Profit and Non-Profit Child Care: Similarities and Differences. Young Children, 1989, 45, 4-10
- Whitebook, M., Howes, C., & Phillips, D. Who Cares? Child Care Teachers and the Quality of Care in America 1989, Oakland, CA: Child Care Employee Project.
- Source: //ccf.edc.org/PDF/MentorRG Eng.pdf

# END OF REQUEST FOR GRANT APPLICATION

# # FTF-RC023-10-0082-00