

# Early Education DivisionFiscal Year 2022–23 Program Instrument

**California Department of Education**

**California State Preschool Program (CSPP)**

**July 2022**

## I. Family Files

### EED 01: Family Selection

Families with children enrolled in the California State Preschool Program (CSPP) are selected according to the priorities of that program. California *Education Code* (*EC*) sections, 8208, 8210, 8211, 8217, 8232, and 8247; *California Code of Regulations*,
Title 5, (5 *CCR*) sections 17743–17748, 17820, and 17822

#### Evidence Requests

##### Records of Contractor’s Use of Waiting and Family Eligibility Files

Abbreviation: Wting Lst

Description: If applicable, provide a copy of the current waitlist.

Item Instructions:

Related Items: EED 01

##### Eligibility Files

Abbreviation: ElgbltFiles

Description: Eligibility files for the most recently enrolled families will be reviewed.

Item Instructions:

Related Items: EED 01

### EED 02: Family Eligibility Requirements

Families with children enrolled in the program have met the eligibility requirements of the contract, and the required documentation is complete. A family data file has been established for each family, including a completed application for services and supporting documentation. Except as otherwise specified in *EC* Section 8208 or pursuant to participation in an applicable approved plan adopted in a pilot county, the eligibility duration meets legal requirements applicable for the type of program and program year. *EC sections* 8205, 8208–8209, 8213, 8217, 8223, 8224, 8232, 8273, 8283 and 8289; 5 *CCR* sections 17700, 17705, 17729, 17730, 17743, 17745, 17749–17753, 17755–17762, 17770, 17771, 17773, and 17774

#### Evidence Requests

##### Application for Services (CD 9600)

Abbreviation: CD9600

Description: Evidence of completed CD 9600 and supporting documentation.

Item Instructions:

Related Items: EED 02, EED 03

##### Records of Eligibility and Family Size

Abbreviation: ElgbltyRcrds

Description: Copies of birth records for each child under 18 years old counted in the family size.

Item Instructions:

Related Items: EED 02

##### Records of Verification of Eligibility Information

Abbreviation: VrfctnElgblty

Description: Family eligibility files and supporting documentation for one of the eligibility criteria (At-risk/Child Protective Service (CPS), Current Aid Recipient, Homeless, Income, Free and Reduced–price Meals and/or Children with Exceptional Needs will be reviewed.

Item Instructions: Ensure there is supporting documentation for enrollment of children in each of the eligibility categories as set forth in *EC* and 5 *CCR*.

Related Items: EED 02

##### Written Materials for Parents

Abbreviation: WrtnMtrlsPrnts

Description: Documents from the current year.

Item Instructions: Information given to parents at or near the time the child is enrolled regarding eligibility for services. Usually found in a Parent Handbook or other materials given to a parent.

Related Items: EED 02, EED 03, EED 05, EED 06

### EED 03: Child Need Requirement Verification for Full–day CSPP

Families with children enrolled in full-day services have met the need requirements if applicable. Certified hours of child care must correspond to the need of the parent/caretaker, as documented by the contractor at the initial certification and recertification or at the voluntary request of the family to increase or decrease the hours of need for service or hours must be within the parameters as otherwise provided by law. *EC* sections 8205, 8208, 8209, 8223, and 8247; 5 *CCR* sections 17700,
17751–17754, 17756–17758, 17763–17769, and 17771–17773

#### Evidence Requests

##### Application for Services (CD 9600)

Abbreviation: CD9600

Description: Evidence of completed CD 9600 and supporting documentation.

Item Instructions:

Related Items: EED 02, EED 03

##### Documentation and Verification of Need for Service

Abbreviation: NdSvcDcmt

Description: Family eligibility files and supporting documentation for one of the need for services criteria.

Item Instructions: Need criteria, where applicable, has been documented and verified for one or more of the following: employment (including self-employment), employment in the home or licensed day-care, seeking employment, educational programs, vocational training, parent incapacitation, homeless, seeking permanent housing, exceptional needs, CPS, and/or identified or at-risk.

Related Items: EED 03

##### Written Materials for Parents

Abbreviation: WrtnMtrlsPrnts

Description: Documents from the current year.

Item Instructions: Information given to parents at or near the time the child is enrolled regarding the need verification requirement for full-day services. Usually found in a Parent Handbook or other materials given to a parent.

Related Items: EED 02, EED 03, EED 05, EED 06

### EED 04: Correct Fee Assessed

Families with children enrolled are assessed the correct monthly fee according to the current Family Fee Schedule issued by the CDE with the exception of families/children certified in a part-day/part-year CSPP program, families receiving CalWORKs cash aid, and CPS/at-risk families with referral for up to 12 months. Additional payments, in cash or in kind, as a condition of participation shall not be required or collected. *EC* sections 8208, 8223(a)(3), 8242, and 8252–8254; 5 *CCR* sections 17700, 17705, 17733–17740 and 17762.

#### Evidence Requests

##### Family Data File

Abbreviation: FmlyDtFl

Description: Documentation of family fee assessment.

Item Instructions: Family fee assessed correctly.

Related Items: EED 04

##### Family Fee Collection Policies and Procedures

Abbreviation: FmlyFClctnPlcsPrcdrs

Description: Contractor’s Parent Fee Policy.

Item Instructions: Contractor shall maintain a record of each family’s fee assessment, the effective date(s) of each fee increase or decrease, the dates and amounts of family fees collected and any amounts which are delinquent.

Related Items: EED 04

##### Receipts of Fee Collection

Abbreviation: RcptFee

Description: Copies of the receipts provided to parents for payment of family fees.

Item Instructions: The receipts shall show the amount paid, the date of payment, the rate of payment and the period of service purchased.

Related Items: EED 04

### EED 05: Compliance with Due Process

The contractor complies with the program’s due process requirements, including: (1) providing parents with written information regarding their responsibility to comply with program rules; (2) issuing a notice of action where appropriate; and (3) establishing procedures for parental appeal of any contractor’s decision contained in the notice of action. *EC* sections 8208, 8212, and 8222; 5 *CCR* sections 17705 and 17781–17786.

#### Evidence Requests

##### Current Blank Notice of Action

Abbreviation: NoA

Description: Completed Notice of Action will be reviewed.

Item Instructions:

Related Items: EED 05

##### Parent Appeal Procedures

Abbreviation: PrntAplPcdr

Description: Policy informing parents of their appeal rights. Information usually found in a Parent Handbook or other materials given to a parent.

Item Instructions:

Related Items: EED 05

##### Recently Completed Notice of Action and Parent Appeal

Abbreviation: NoAPrntApl

Description: If applicable, provide the most recent notice of action and corresponding parent appeal.

Item Instructions:

Related Items: EED 05

##### Written Materials for Parents

Abbreviation: WrtnMtrlsPrnts

Description: Documents from the current year.

Item Instructions: Policy informing parents of their appeal rights. Information usually found in a Parent Handbook or other materials given to a parent.

Related Items: EED 02, EED 03, EED 05, EE06

### EED 06: Recording and Reporting Attendance

The program has adopted policies and procedures that are consistent with statutes and regulations on excused and unexcused absences. Documentation of recording and reporting attendance records are consistent with certified hours of enrollment that are established for the child/parent/guardian. *EC* sections 8205, and 8207;5 *CCR* sections 17818–17822

#### Evidence Requests

##### Attendance Policy for Excused and Unexcused Absences

Abbreviation: AbsncAtndncPlcy

Description: Current attendance policies set forth rules for excused and unexcused absences.

Item Instructions:

Related Items: EED 06

##### Attendance Registry Records

Abbreviation: AtndncRgstry

Description: Evidence of attendance record keeping.

Item Instructions: Documentation of reporting attendance is consistent with certified hours of care.

Related Items: EED 06

##### Sign–in/Sign–out Records

Abbreviation: SISO

Description: Completed sign–in/sign–out records.

Item Instructions:

Related Items: EED 06

##### Written Materials for Parents

Abbreviation: WrtnMtrlsPrnts

Description: Documents from the current year.

Item Instructions: Current attendance policies set forth rules for excused and unexcused absences.

Related Items: EED 02, EED 03, EED 005, EED 06

## II. Family Engagement and Strengthening

### EED 07: Parent Involvement and Education

There is a parent involvement and education component, including the sharing of program goals and structure with families. The program ensures that effective, two-way, comprehensive communication between staff and parents is carried out on a regular basis throughout the program year. *EC* sections 8202, 8203, and 8207; 5 *CCR* Section 17705

#### Evidence Requests

##### Completed Parent/Teacher Conferences

Abbreviation: PrntTchCnf

Description: Completed parent/teacher conference forms regarding the child’s progress.

Item Instructions:

Related Items: EED 07

##### Open Door Policy Statement

Abbreviation: OpnDrPlcyStmnt

Description: Copy of the statement provided to parents regarding an Open–door Policy.

Item Instructions: Usually found in a Parent Handbook or other materials given to a parent.

Related Items: EED 07

##### Parent Advisory Committee

Abbreviation: PrntAdvCom

Description: Documentation of a Parent Advisory Committee (PAC) that advises the contractor on issues related to services to families and children.

Item Instructions: Documentation of PAC agenda and/or minutes of meetings and participant attendance (sign-in sheets).

Related Items: EED 07

##### Parent Orientation Materials

Abbreviation: PrntOrtnMtrls

Description: Documentation of parent orientation and materials given to parents.

Item Instructions: Participant documentation of attendance, sign in sheets, meeting minutes and/or handouts.

Related Items: EED 07

##### Parenting Education and Parent Involvement

Abbreviation: PrntEdPrntInv

Description: Evidence of parent education and involvement.

Item Instructions: Documentation such as parent bulletin board, newsletter, and/or survey.

Related Items: EED 07

##### Schedule of Parent–Teacher Conferences

Abbreviation: PrntTchCnfSchd

Description: Completed parent/teacher conference schedule.

Item Instructions:

Related Items: EED 07, EED 13

### EED 08: Health and Social Services

The program includes identification of the child or family health and social service needs and makes referrals to appropriate agencies for services. The program does follow-up to ensure that identified needs have been met. *EC* sections 8203, 8205, and 8207; 5 *CCR* 17706

#### Evidence Requests

##### Process for Identification of Health and Social Service Needs

Abbreviation: IdntfctnHssNds

Description: Evidence of the process used for identification of any health and social services needed by the family or for the child(ren).

Item Instructions:

Related Items: EED 08

##### Follow–up Procedures for Health and Social Service Needs

Abbreviation: FlwUpHssNds

Description: Evidence of any referrals completed for services needed. Evidence of the follow–up procedures to ensure needs are being addressed.

Item Instructions:

Related Items: EED 08

## III. Program Quality

### EED 09: Site Licensure and License Exempt

Each site has a current license issued by the authorized licensing agency or is appropriately exempt from licensure. California Health and Safety Code (*HSC*) sections 1596.792 and 1596.7925; *California Code of Regulations*, Title 22
(22 *CCR*) Section 101158(a)(8); *EC* sections 8205, 8228, and 8237; 5 *CCR* Section 17775

#### Evidence Requests

##### Current License and Current Receipt for Fee (if applicable)

Abbreviation: LcnsRcpt

Description: Provide current license and current receipt for fee.

Item Instructions:

Related Items: EED 09

##### Licensing Citations (If any)

Abbreviation: LcnsngCtns

Description: Copy of any licensing citations that the contractor has received and if applicable, the clearance of any licensing citations.

Item Instructions:

Related Items: EED 09

##### Monitoring and Inspection Reports (if applicable)

Abbreviation: MntgIspRpts

Description: Provide evidence of posted monitoring and inspection licensing reports.

Item Instructions:

Related Items: EED 09

##### Proof of License Exempt Status (if applicable)

Abbreviation: PrfLcnsExmptSts

Description: Provide evidence of license exempt status.

Item Instructions: Provide a copy of the approved Certificate of Classroom Exemption of Title 22.

Related Items: EED 09

### EED 10: Staff–Child Ratios

The applicable staff-child ratios are met for each age group. *EC* sections 8240 and 8241; 5 *CCR* sections 17713–17715, 17775, and 17776

#### Evidence Requests

##### Completed Staff–Child Ratio Schedule (Form CD–3705)

Abbreviation: SCRS

Description: Provide evidence of a completed CD 3705 form. Classroom observation will be completed by the reviewer.

Item Instructions:

Related Items: EED 10

### EED 11: Environment Rating Scales

The program shall complete an environment rating scale to measure program quality for the appropriate age group and setting and shall achieve a rating of “Good,” defined as scoring at least an average of 5.0 on each subscale of the environment rating scale. *EC* sections 8203 and 8207; 5 *CCR* 17700 (ac)(1–2), 17709, and 17711.

#### Evidence Requests

##### Environment Rating Scale Summary of Findings

Abbreviation: ERSSmryFndgsvir

Description: Provide the completed Environment Rating Scale summary of findings for each classroom.

Item Instructions: Provide all evidence of the data collected that was used in developing the Program Action Plan.

Related Items: EED 11, EED 18

### EED 12: Nutrition

The program provides for the nutritional needs of children in attendance.
*EC* sections 8203, 8204, and 8207; 5 *CCR* Section 17708

#### Evidence Requests

##### Current Month Menu

Abbreviation: MenuCrntMnth

Description: Provide the menu for the current month.

Item Instructions:

Related Items: EED 12

##### List of Any Children with Food Allergies

Abbreviation: LstChldrnFdAlrgs

Description: Provide a list of the children with food allergies.

Item Instructions:

Related Items: EED 12

##### Written Policies for Provision of Meals/Snacks

Abbreviation: MlsSnck

Description: Provide a copy of the written policies/procedures for provision of meals/snacks.

Item Instructions:

Related Items: EED 12

### EED 13: Developmental Profile

The program maintains age-appropriate Desired Results Developmental Profiles–2015 (DRDP–2015) and parent survey data for children and families. The program uses the information to plan and conduct age and developmentally appropriate activities and to monitor family involvement and satisfaction. *EC* sections 8203 and 8203.5; 5 *CCR* sections17700(v–x), 17702,17703, 17709, and 17731.

#### Evidence Requests

##### Activity Plans

Abbreviation: ActvtyPlns

Description: Provide evidence of the classroom summarization to plan developmentally appropriate activity plans.

Item Instructions:

Related Items: EED 13

##### Annual Program Self–Evaluation

Abbreviation: AnlPrgrmSlfEvltn

Description: Provide the most recent Annual Program Self–evaluation or Program Action Plan.

Item Instructions:

Related Items: EED 13, EED 18

##### Child Portfolios

Abbreviation: ChldPrtfls

Description: Provide selected child portfolios.

Item Instructions: Portfolios with work samples will support the child’s DRDP rating.

Related Items: EED 13

##### Completed Desired Results Development Profiles

Abbreviation: CmpltdDRDPs

Description: Evidence that the DRDPs were conducted for all children enrolled within the required timelines.

Item Instructions:

Related Items: EED 13, EED 18

##### Desired Results Development Profile (DRDP) Classroom Summary of Findings

Abbreviation: DRDPSmryFndgs

Description: DRDP summary of findings for each Classroom and Family Child Care Home Networks for current year.

Item Instructions:

Related Items: EED 13, EED 18

##### Schedule of Parent–Teacher Conferences

Abbreviation: PrntTchCnfSchd

Description: Completed parent/teacher conference schedule.

Item Instructions:

Related Items: EED 07, EED 13

### EED 14: Staff Qualifications

Program staff is qualified for the position held. Each program operating two or more sites or family child care homes has a qualified program director. Each program with more than one site has a qualified site supervisor at each site. Each site has qualified teachers. *EC* sections 8203; 8295, and 8298; 5 *CCR* sections 17717–17721.

#### Evidence Requests

##### Contractor's Current Classroom Personnel Roster by Position Held

Abbreviation: PrsnlRstr

Description: Provide Personnel Rosters per classroom.

Item Instructions:

Related Items: EED 14

##### Copies of Permits, Credentials, or Certificates

Abbreviation: PrmtsCrdntlsCrts

Description: Provide copies of current permits, credentials, or certificates for each teacher, site supervisor, and program director, or waiver issued.

Item Instructions: Reviewer will review each teacher, site supervisor, and program director, or waiver issued.

Related Items: EED 14

### EED 15: Staff Professional Development Program

The program has developed and implemented a staff development component. *EC* sections 8203, 8205, 8207, 8251, and8295; 5 *CCR* sections 17700(bg) and 17704

#### Evidence Requests

##### Professional Development Records for Staff Development Sessions

Abbreviation: SDPSgnSht

Description: Documentation of completed professional development relevant to the program which may include, but is not limited to, agendas, calendars, certificates, sign in sheets, minutes and training materials.

Item Instructions: Copy of the Staff Development Program and sign–in sheet for the staff development sessions completed.

Related Items: EED 15

##### Records of Implemented Staff Trainings

Abbreviation: StfDvlpmntRcrds

Description: Provide agendas and participant sign in and out sheets for attendance at staff development sessions.

Item Instructions:

Related Items: EED 15

##### Written Job Descriptions

Abbreviation: JobDscrptns

Description: Provide written job descriptions.

Item Instructions:

Related Items: EED 15

### EED 16: Prohibition Against Religious Instruction or Worship

The program refrains from religious instruction and worship. *EC* Section 8247;
5 *CCR* Section 17789

#### Evidence Requests

##### Postings or Information that the Program Refrains from Religious Instruction and Worship

Abbreviation: PstngPrgmRfrnRlgsInstn

Description: Statement for parents, providers, or public that the program does not provide religious instruction or worship.

Item Instructions:

Related Items: EED 16

## IV. Administrative

### EED 17: Inventory Records

Inventory records are maintained by the contractor for all equipment and all non–disposable items with an estimated useful life of more than one year, purchased in whole or in part with early learning and care contract funds.

The record describes the acquisition by:

1. Type
2. Model
3. Serial number
4. Funding source
5. Acquisition date
6. Cost
7. Location
8. Current condition
9. Transfer, replacement, or disposition of obsolete or unusable equipment

*EC* Sections 8231, 8232 and 35168; 5 *CCR* 17796; California State Preschool Programs *Contract Terms and Conditions* (*CT&Cs*) for Fiscal Year 2022–23,
Section III(H)(2); Code of Federal Regulations, Title 2 (2 *CFR)* Section 200.313(d)(1); California School Accounting Manual

The contractor has adopted procedures for managing equipment, purchased in whole or in part with early learning and care contract funds, until disposition of the item. In addition to the requirements above, the contractor has: (1) a control system to ensure adequate safeguards to prevent loss, damage, or theft of the property and to investigate any loss, damage, or theft; (2) adequate maintenance procedures to keep the property in good condition; and (3) proper sales procedures to ensure the highest possible return in the event the contractor is authorized or required to sell the item.

*CT&Cs* for California State Preschool Programs, Section III (I).

#### Evidence Requests

##### Equipment Inventory Records

Abbreviation: EqpmntInvntyRcrds

Description: Historical inventory list of all equipment purchased for $500 or more per Education Department General Administrative Regulations (EDGAR)/EC requirements and a record of last physical check of items. If no purchases were made, indicate that in a comment.

Item Instructions: Copy of the current inventory and documentation of the most recent physical check of the inventory. If no purchases were made, indicate that in a comment.

Related Items: AE 02, AE 09, EED 17, EXLP 08, EXLP 11, CTE 02, EL 06, HE 08, ME 06, CE 14, NorD 04

##### Written Procedures for Competitive Procurement

Abbreviation: WrtnPrcdrsCmptvPrcrmnt

Description: Copy of the contractor's procedures for competitive purchases of equipment/services.

Item Instructions:

Related Items: EED 17

### EED 18: Program Self–Evaluation Process

The program has developed and implemented an annual evaluation plan that addresses any areas identified during the self-evaluation as needing improvement. *EC* sections8202, 8203.3, and 8207; 5 *CCR* 17700(as), (aw), 17702, 17709–17711, and 17794.

#### Evidence Requests

##### Annual Program Self–Evaluation

Abbreviation: AnlPrgrmSlfEvltn

Description: Provide the most recent Annual Program Self-evaluation or Program Action Plan.

Item Instructions: Provide all evidence of the data collected that was used in developing the Program Action Plan for all contract types.

Related Items: EED 13, EED 18

##### Completed Desired Results Development Profiles

Abbreviation: CmpltdDRDPs

Description: Evidence that the DRDPs were conducted for all children enrolled within the required timelines.

Item Instructions:

Related Items: EED 13, EED 18

##### Environment Rating Scale Summary of Findings

Abbreviation: ERSSmryFndgsvir

Description: Provide the completed Environment Rating Scale summary of findings for each classroom.

Item Instructions:

Related Items: EED 11, EED 18

##### Desired Results Development Profile Classroom Summary of Findings

Abbreviation: DRDPSmryFndgs

Description: Desired Results Development Profile (DRDP) summary of findings for each Classroom and Family Child Care Home Networks for current year.

Item Instructions:

Related Items: EED 13, EED 18

##### Parent Survey Summary of Findings

Abbreviation: PrntSrvySOF

Description: Provide evidence of the completed most recent parent survey forms and the summary of the results of the survey for all contract types.

Item Instructions:

Related Items: EED 18

## V. Fiscal/Audit

### EED 19: Fiscal Reporting

The program has submitted fiscal attendance and accounting reports for each contract to CDE consistent with the laws for state or federal fiscal reporting and accounting.
*EC* Sections 8231 and 8232; 5 *CCR* 17821.

#### Evidence Requests

##### Child Development Fund

Abbreviation: CDfnd

Description: Provide evidence that expenditures and claims for reimbursement are substantiated with supporting documentation.

Item Instructions: Fiscal attendance and accounting reports.

Related Items: EED 19

### EED 20: Annual Fiscal Audit

The program has submitted to CDE’s, Office of External Audits an acceptable financial and compliance audit. *EC* sections 8231 and 8232; 5 *CCR* 17823

#### Evidence Requests

##### Annual Fiscal Audit

Abbreviation: AnlFsclAdt

Description: Provide evidence that the annual Fiscal Audit was submitted to CDE timely.

Item Instructions: If applicable, follow–up to any findings identified in the audit report.

Related Items: EED 20