



EARLY CHILDHOOD EQUITY FUND PROGRAM GRANT MANUAL

Program Year 2020-21
Version 1.0 (August 2020)



Oregon Early Learning Division
<https://oregonearlylearning.com>

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Program Overview

The Early Learning Division (ELD) operates programs for children birth-to-five and their families. These programs prioritize offering high-quality early care and education services to families who face economic challenges and who long-standing inequities related to race and ethnicity most effect.

The Early Childhood Equity Fund was created as part of the 2019 Student Success Act to support a broad range of culturally specific early learning, early childhood and parent support programs, including: parenting education, parent-child interaction, kindergarten transition, and tribal language preservation and revitalization.

Moneys from the fund must be used to close opportunity gaps for children and families who experience systemic disparities because of any combination of factors, such as race, income, zip code, or language by funding early learning services rooted in culture, home language, and lived experience.

About this Grant Manual

This Grant Manual provides an overview of program requirements and explains the ELD's expectations of you in administering Early Childhood Equity Fund Program. It contains information and instructions you need to successfully perform the work for which you are awarded Grant Funds. This Grant Manual does not replace the Grant Agreement, but further explains the requirements that are part of this agreement.

The Grant Agreement is the binding legal document between the ELD and the Grantee which contains the description of the work and the terms and conditions that govern the work you are performing for the ELD.

The intended audience for this Grant Manual is Grantee staff who are responsible for enrolling and serving children, maintaining required documentation, submitting program reports, budgets and fiscal information.

Points of Contact

You are encouraged to have regular and frequent contact with ELD staff listed below for all questions related to the program. The Grant Manager will be your primary contact for implementation of the terms and conditions of your grant agreement, including budget, payments, and reports. In addition, the Grant Manager will audit grant requirements and project

expenditures. The Program Manager will be the primary point of contact to provide program technical assistance for any of the program quality requirements for the Early Childhood Equity Fund; the Program Manager will also review and approve any subcontracting.

Grant Manager

Edina Haislip
700 Summer Street NE, Suite 350
Salem, OR 97301
P: 503.947.0666
ECEf@state.or.us

Program Manager

Kimberly Moua
700 Summer Street NE, Suite 350
Salem, OR 97301
P: 503-947-1912
kimberly.moua@ode.state.or.us

Early Childhood Equity Fund Communication Site

The Early Childhood Equity Fund SharePoint Communication site is the grantee's primary source for information. It will house news and updates, report links, and other information critical to the successful operation of the grantee's program.

Grantees will need to gain authorization to access the site; please have your primary point of contact send an email to ecef@state.or.us. Then, click on the following link: <https://odemail.sharepoint.com/sites/EarlyChildhoodEquityFund/SitePages/Home.aspx> and click the button, "Request Access."

Budget Guidance

You are required to submit a detailed budget to ELD using the template/tools provided to you by ELD staff. Your budget must be submitted and approved by the ELD within 60 days of the executed Grant Agreement.

Making adjustments (increases or decreases) to budget categories after the budget is approved requires a budget revision. Revisions to the approved budget categories exceeding 10 percent or \$25,000, whichever is less, must have a prior written approval by ELD. To request a budget revision, you must submit a detailed explanation for the requested budget adjustment to the ELD Grant Manager listed in this manual and obtain ELD's written approval prior to the expenditure. Budget adjustments below the specified threshold may be done without the prior approval by ELD.

You must also request ELD approval for equipment or purchase of capital assets \$5,000 or more prior to expenditure of Grant Funds. Your requests to approve the purchase must include a narrative justifying the need and describing the benefits.

Your budget must limit Administrative costs to 15 percent of your total budget. If both administrative and indirect costs are charged, the administrative and indirect costs combined total may not exceed 15 percent of your total budget. Indirect costs are related to fiscal and human resource functions along with directing and managing the operations of your organization. Indirect costs must be budgeted as administrative costs.

You will report on the status of your budgeted expenditures to ELD quarterly as detailed in Progress Reports section of this manual.

Allowable and Disallowable Costs

The Grant Funds may only be used for costs that are reasonable, necessary and directly related to the project activities. It is up to your organization to determine whether the expenses are allowable.

Some examples of allowable and disallowable costs include:

Examples of Cost	Allowable
Building improvements (e.g., classrooms, playgrounds, etc.)	Yes
Classroom supplies and equipment to support quality and inclusion activities	Yes
Contractual/consultant costs (Professional Services)	Yes
Curriculum and assessment materials	Yes
Equipment and computers for program use	Yes
Food and meal preparation supplies for enrolled children	Yes
Health support services for enrolled children	Yes (requires prior approval by ELD)
Insurance and indemnification	Yes
Materials and supplies directly related to the program	Yes
Memberships in business, technical, and professional organizations	Yes
Meetings (e.g., food, rental of equipment/space, transportation);	Yes (if on travel status or would impose arduous conditions if not provided)
Printing and preparing publications, reports, manuals benefitting the program	Yes
Professional development and training	Yes
Rent/lease of space or vehicles	Yes
Salaries and fringe benefits for teachers, assistants/aides or other staff supporting the program	Yes

Examples of Cost	Allowable
Transportation for children enrolled in the program;	Yes
Travel related to the program (may not exceed GSA rates without prior approval: www.gsa.gov)	Yes
Construction	No
Entertainment costs and any costs directly associated with such costs (e.g., alcohol, food, lodging, rentals, transportation, and gratuities)	No
Fines, penalties, damages, and other legal settlements	No
Fundraising, loans and investments management;	No
Memberships, goods or services for personal use	No
Political activities	No
Promotional items, gifts, prizes, etc.	No
Purchase of land, buildings or vehicles	No

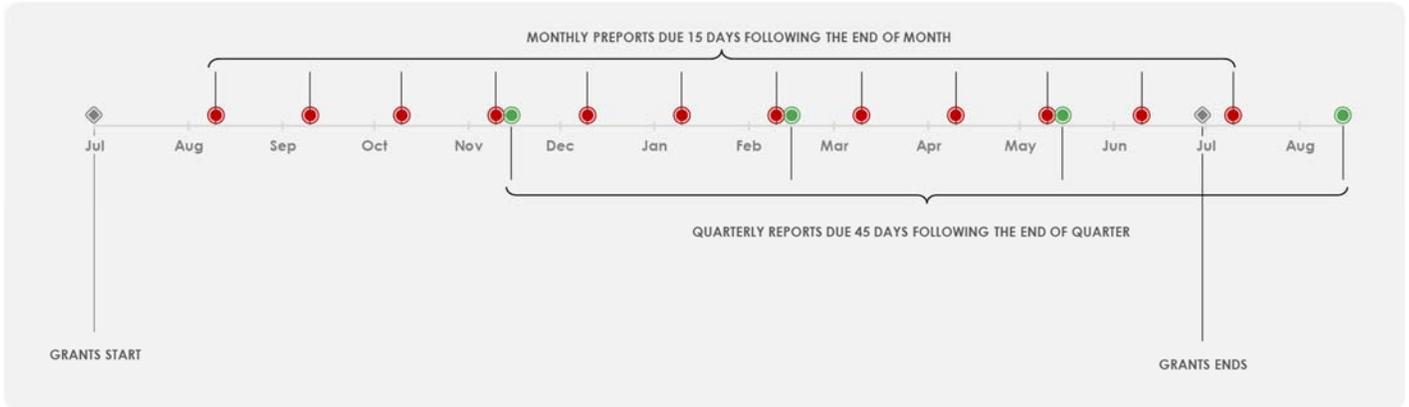
If you have questions about any of these cost categories, please contact the ELD Grant Manager listed in this manual.

Progress Reports

As grant funds recipients you are required to report on progress and status of your grant to ELD using the tools/templates provided by the ELD. Your reports help ELD determine whether you are staying on track with grant agreement terms or experiencing issues that need to be addressed. This includes whether your spending is on track as well as if you're on track for all items within your scope of work.

All required reports must be submitted to ELD by the due date using the tools/templates provided by the ELD (see Appendices section of this Grant Manual for reporting tools/templates). If an unavoidable circumstance arises, you may submit a written deadline extension request to the ELD Grant Manager listed in this manual at least 5 business days prior to the report due date. Late submission without prior approval may impact fund dispersal.

Monthly reports are due the 15th of each month for the preceding month and quarterly reports are due 45 days following the end of each quarter. Quarterly reporting periods are July through September, October through December, January through March, and April through June. See Reporting Timeline below.



Payment Process

Grant Funds will be paid to you using the Electronic Grants Management System (EGMS).

Before requesting payment, Grantees must be registered in EGMS. In order to register you will need to complete the following documents and submit to the ELD Grant Manager listed in this manual.

- a. Institution Request Form 1380a
- b. Form W9
- c. EGMS Access Request Form
- d. ACH Enrollment Form

If you are a system user already and need to make changes to your internal staff access to the EGMS, you must submit a new EGMS Access Request Form with all appropriate signatures to ode.egms@state.or.us.

You will be paid in advance for the first quarter, July through September, within 30 days of the execution of your Grant Agreement. Effective October, all subsequent payments will be made monthly pending submission and approval of required reports.

For information on how to submit a request for disbursement using EGMS, please refer to the EGMS External User Guide in Appendices section of this manual. If you have issues or questions regarding your payment request, please contact the ELD Grant Manager listed in this manual.

Confidential Information

Grantees must keep personally identifiable information confidential in compliance with The Family Educational Rights and Privacy Act (FERPA). Personally identifiable information may include, but is not limited to: student name, a personal identifier, such as social security number and any personal characteristics that would make the student's identity traceable.

FERPA protects the privacy of student education records. Generally FERPA protected records may not be released without obtaining a signed, written consent from the parent or student, except for when student's records are released to Department of Education's officials for audit or evaluation purposes. Further, to protect this information from unauthorized or accidental disclosure sharing student records using email is strongly discouraged, unless encrypted.

Grantee must inform the ELD of any breach of confidential data. Some examples of data breaches include: hacking, physical loss of paper documents or electronic devices and unintended disclosure of sensitive information without a prior consent.

In addition, Grantees must require subcontractors to maintain confidentiality of personally identifiable information in compliance with FERPA by making sure data sharing is allowed under local, state, and federal privacy laws and regulations, such as FERPA. And if so, requiring such information is handled in a manner to protect the information from unauthorized or accidental disclosure, modification or loss.

Please visit <https://www2.ed.gov/policy/gen/guid/fpco/ferpa/index.html> for more information or contact the ELD Grant Manager listed in this manual if you have additional questions.

Insurance

You are required to maintain insurance at levels specified in the Grant Agreement, Exhibit B throughout the duration of the Grant Agreement. You are also required to ensure that all your subcontractors involved in carrying out any activities funded by the Grant Agreement obtain and maintain appropriate insurance throughout the duration of their work in accordance with the Grant Agreement, Exhibit B.

Equity Objectives

In performing Project activities funded by this program, you are required to further ELD's equity goals by carrying out the equity objectives described in the Grant Agreement, Exhibit C and Appendix C of this manual.

In addition, you and your staff who serve children and families funded by this program must complete equity training provided by the ELD by May 31, 2021. The training will be available early next year. ELD will notify you in advance as more details about the training become available.

Subcontracting

Grantees may subcontract for certain services. These include transportation, food preparation, janitorial services, bookkeeping, staff training, and teaching services. You may not subcontract the totality of your program and all subcontracts will need to be approved by the ELD as described in this section. If you subcontract out any portion of your grant-funded services you remain responsible for ensuring your subcontractors adhere to all program guidance and requirements, including providing monitoring and technical assistance.

You must submit a request in writing to the ELD Grant Manager listed in this manual for approval to subcontract.

The request to subcontract must include:

- a. Grantee information (name, site, type of Grantee & contact);
- b. Subcontractor information (name, type of contractor & contact, start and end date);
- c. Scope of Work for Subcontractor. Details on how Grantee intends to sub-contract, including all known/planned processes, and how services will be implemented and monitored.

Your subcontract requests will be reviewed by ELD and you will receive a written notice of approval or denial within 30 days of receipt of the request.

All contracts or agreements you have with subcontractors must be in writing. It is your responsibility to ensure subcontractors carry appropriate insurance at the limits listed in your Grant Agreement, Exhibit B.

Monitoring

Monitoring is used to determine your level of compliance with the requirements of the program, adherence to applicable laws and regulations, and to measure progress towards accomplishing results and outcomes of the program. Monitoring includes an assessment of documentation and data you maintain; obtaining information through interviews, observations and evaluations, fiscal oversight and announced and unannounced site visits.

Grantees are subject to an annual review to assess compliance with Early Childhood Equity Fund policies, and procedures. Grantees will also be assessed on implementation of the project activities, including following the program model articulated by the grantee. In addition, the ELD may conduct additional monitoring visits or request information on the quality of program at any time. Additional monitoring visits may occur as a result of complaints from staff or families, as a result of the annual monitoring visit, or because of other concerns related to the quality of the program.

The ELD will provide Grantees with any tools utilized for monitoring prior to the monitoring visits. Monitoring will occur via reviews of documents and other evidence items (i.e., Desk Review) and through on-site visits to observe the program and to talk directly with staff and families as needed.

Grantee classroom reviews will only be conducted if all staff administering the program have been working in the program for at least 60 calendar days prior to the review. Additional monitoring visits may be conducted if at least one staff within the environment is replaced within the program year.

Grantees must provide the ELD staff or independent third party contractor access to all records necessary to complete the monitoring visit.

Grantee must make available to the ELD all budgetary information including back-up documentation for operating budgets submitted by Grantee to the ELD for the relevant time period being audited. Grantee must return to ELD any funds determined to have been misspent, spent fraudulently, or not in accordance with Early Childhood Equity Fund guidelines.

The ELD reserves the right to review a Grantee's licensing records at any time for Early Childhood Equity Fund grantees who hold a child care license. If the ELD discovers a licensing violation(s), the ELD will notify the Grantee.

At the discretion of the ELD, ELD staff, or independent third party contractor can conduct site visits to monitor through announced visits with at least 24 hour notice and unannounced visits with up to one hour notice. Grantees are required to cooperate with monitoring staff and/or contractors and make available for review all records related to the Early Childhood Equity Fund program.

ELD will send the results of the monitoring visit within 30 days. Results may include a chance to the Grantee's technical assistance plan, adjustments to funding, or follow-up monitoring visits.

Program Requirements

Eligibility

Grantees must have written, transparent processes for determining eligibility of children to participate in the program. Eligibility process and determinations should align with the parameters set by the model(s) being implemented.

Eligibility criteria can include things specific to the model or to the population whom the program seeks to serve. For example, to be eligible for a parent-child interaction model, parents or other family members may need to indicate availability and interest in participating. This information must be tracked by Grantees and provided to the ELD Grant Manager listed in this manual.

Models

Grantees will implement one or more of the following program models. These models will be used for support and tracking throughout the year and are not meant to dictate program structure, but rather used as general categories for project activities:

- a. **Parenting Education:** Education programs focusing on enhancing parenting practices and behaviors such as developing and enhancing positive parenting techniques, learning age-appropriate child development skills and milestones, promoting positive play and interaction between parent and child, and locating and accessing community services and supports.
- b. **Parent-Child Interaction:** Programs that serve both the parent and child together in order to support positive parent-child interactions and, as a result, promote healthy attachment, bonding, and child development.
- c. **Kindergarten Transition:** Targeted programs that help prepare children, families, and schools for the transition between the early childhood period into kindergarten. These programs provide children and families the opportunity to get familiar with kindergarten

skills, routines, and expectations, and help schools to prepare to serve children and families.

- d. Tribal Language Preservation and Revitalization: Early childhood programs that integrate efforts to preserve, revitalize, restore, or maintain the tribal language through one of the previously described models above, or in partnership with an existing early care and education program or public school. The models can only be implemented by or with the approval of the relevant Tribal entity.

Grantees must implement project activities awarded during the Request for Application process and subsequently described in Exhibit A of the Grant Agreement. If a Grantee wishes to amend its program model or any of the activities described in Exhibit A of the Grant Agreement, you must contact the ELD Grant Specialist listed in this manual to receive approval prior to making the change.

Recruitment and Enrollment

Grantees must implement practices to recruit children and families who experience systemic disparities because of two or more of the following factors: race, ethnicity, English language proficiency, socioeconomic status, and geographic location. Grantee recruitment must focus on the factors that their program model is adapted for, i.e. the populations for whom the culturally specific programming is directed toward as specified in the program application.

Grantees must keep records of enrollment for all children enrolled at any point in time within the program year. These records shall include evidence of consent to participation signed by the child's parent/guardian.

Attendance

Attendance must be conducted, and a record must be kept for all children/families in the program. Grantees must set and communicate an absence policy to its staff and participating families.

Evaluation

Grantees must participate in the evaluation of the Early Childhood Equity Fund conducted by a third party. This includes participating in interviews, submitting any data requested in a timely manner, and responding in a timely manner to third party evaluators.

Support and Assistance

Grantees may allocate a portion of their budget towards training and technical assistance for staff operating the program (including any person(s) responsible for oversight of the program). This will need to be approved by staff at ELD as part of the budget approval process.

In addition, the Early Learning Division will provide technical assistance through one or more third party entities. Grantees are required to participate in this technical assistance process throughout the grant period. This includes attending any trainings or other support sessions, providing information requested, and actively communicating with any technical assistance personnel designated by ELD.

Each Grantee is assigned a Program Manager and Grant Manager listed in Point of Contact section of this manual.

Appendix A: EGMS Registration Instructions

Accessing Grant Funds

In order to access your grant funds, your early learning program must have a vendor number in the statewide payments system, an Oregon Department of Education (ODE) Institution ID, and must request Claim Administrator access to our Electronic Grant Management System (EGMS).

If you have not received a previous grant through the Oregon Department of Education, you will need to be entered into the systems before you can claim or receive payments. The following information will help you submit the documentation needed to complete your enrollment into the systems. Because there is more than one system that needs to be activated in order to process your grant funds for payment, we recommend completing these items in the following order:

1) Vendor Number –

In order to establish a state vendor number, you will need to submit a W-9 to the Oregon Department of Education, care of Kristie Miller.

W-9 in English – <https://www.irs.gov/pub/irs-pdf/fw9.pdf>

W-9 in Spanish – <https://www.irs.gov/pub/irs-pdf/fw9sp.pdf>

You may use one of two methods to submit this document:

1. US Postal Service Mail – If you are using the US Postal Service, please send your W-9 to:

Attention: Kristie Miller
RE: New ELD Grantee Vendor
Oregon Department of Education – Public Service Building
255 Capitol Street NE
Salem, OR 97310

2. Secure File Transfer – If you would like to submit a scanned copy of your W-9, you may use Secure File Transfer found at <https://district.ode.state.or.us/apps/xfers/> . Instructions for this process are listed at the end of this section.

All W-9 submissions for a new vendor number will need to include the following message written at the top of the W-9 form:

“I am submitting this W-9 as a new ELD grantee to be included in the vendor system.”

Failure to add this statement may result in your W-9 not being processed.

2) EGMS Access Request Form –

Complete the EGMS Access Request Form available here:

English –

https://district.ode.state.or.us/wma/apps/egrants/egms_access_request_form_rev20200610_fillable.pdf

Spanish –

<https://district.ode.state.or.us/wma/apps/egrants/formulario-de-solicitud-de-acceso-a-egms-20200610-rellenable.pdf>

This document requires a physical signature, but does not have to be an original document. If you do not have a scanner, you may take a photo of the document (please make sure it's legible) and submit the photo or a scanned EGMS Access Request Form.

Submit this with your Institution ID request (see below).

If you have questions on this form, please email ode.egms@state.or.us.

3) Institution ID –

Request an Institution ID or confirm that you already have one. To see if your organization already has an Institution ID, you may search for it here: <https://www.ode.state.or.us/institid/>.

If you do not have one, you will need to complete the online form located at <https://app.smartsheet.com/b/form/9f35bc8c0f8240b08c94542c9dd0503b> and attach your completed EGMS Access Request Form to this request.

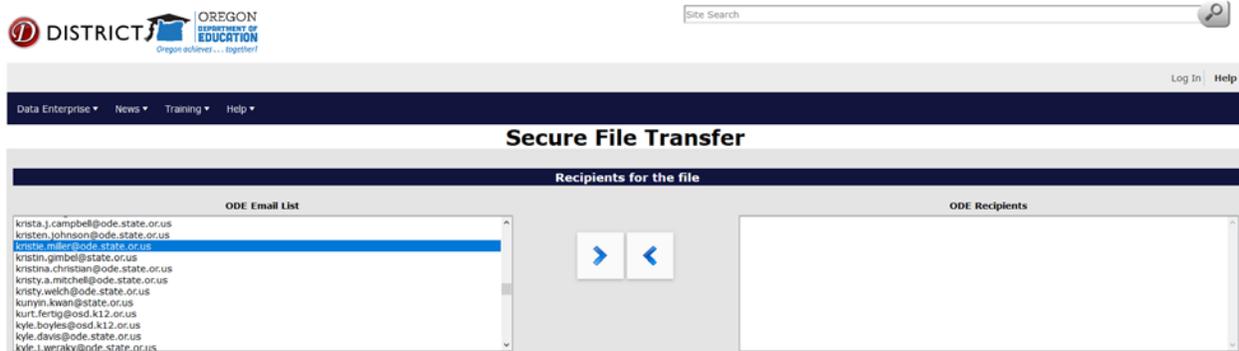
If you have questions about the online form, please contact ode.institutions-request@state.or.us.

You will be contacted if there are additional questions about any of your documentation for this process. Setting up your information in our databases may take up to 2 weeks. Because information has to be entered in multiple systems, grants cannot be fully set up in EGMS until this process is complete.

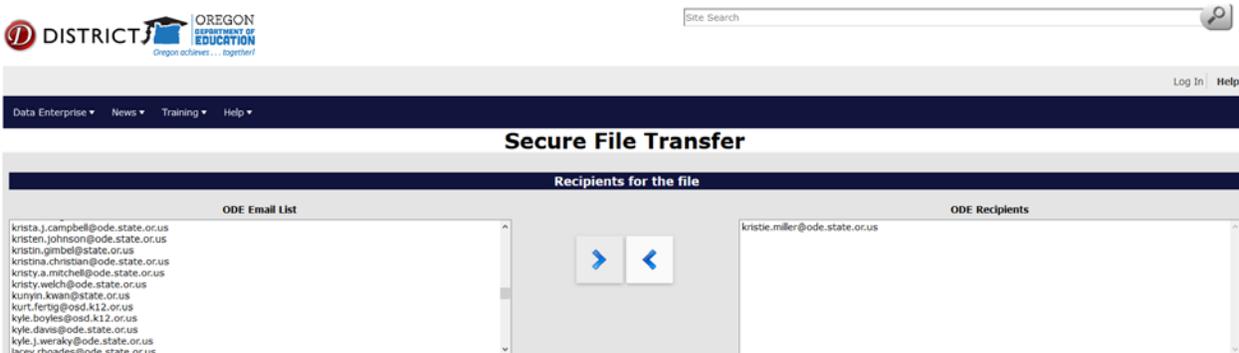
Secure File Transfer for Submitting W-9

To begin, use this link to go to the Oregon Department of Education site for Secure File Transfer <https://district.ode.state.or.us/apps/xfers/>.

On the left hand side, select kristie.miller@ode.state.or.us from the ODE Email List. Then click on the right pointing button to add the name to the ODE Recipients section.



You should now see kristie.miller@ode.state.or.us in the column on the right.



Next, enter your email address in the section Email of Person Sending the File.



Next, use the Select File button to upload your signed, scanned copy of your W-9.

The screenshot shows a web interface for uploading a file. At the top, a dark blue header contains the text "File being sent". Below this, a light gray section is titled "Locate the file to send". It features a white text input field with a "Select File..." button. At the bottom of this section, there is a note: "(File size must be under 1 GB)" and a list of "Allowed file types: .TXT, .DOC, .XLS, .XLSX, .PDF, .HTM, .HTML, .ASP, .ASPX, .PPT, .PPTX, .PPSX, .CSV, .GIF, .JPG, .JPEG, .ZIP, .DAT, .MDB, .XML, .SMF, .DBF, .DOCK, .PPS, .MSG, .MP3, .MP4".

Once you have completed the upload, you will need to enter the message “I am submitting this W-9 as a new ELD grantee to be included in the vendor system” in the Message to Accompany File section.

The screenshot shows a web interface for entering a message. At the top, a dark blue header contains the text "Message to accompany file". Below this, a light gray section is titled "Enter your message here". It features a white text input field containing the text: "I am submitting this W-9 as a new ELD grantee to be included in the vendor system." At the bottom of this section, there are two buttons: "Send File" and "Reset".

Once all of these steps are completed, click on the button marked Send File.

You will receive a copy verifying that your secure file transfer was submitted.

Appendix B: EGMS External User Guide

You may view the [guide](https://drive.google.com/file/d/1ls-mQb4CVXc0uikPRDOvgC-TVwanHWEM/view?usp=sharing) at <https://drive.google.com/file/d/1ls-mQb4CVXc0uikPRDOvgC-TVwanHWEM/view?usp=sharing>.

Appendix C: Agency's Equity Goals and Objectives

Equity Goals

All of Agency's work is in service to children, families and communities to support all of Oregon's young children and families to learn and thrive.

Agency knows that communities represent Oregon's best opportunity to improve educational outcomes. Strength-based approaches and Asset-based Mindsets will support Agency's efforts to operationalize equity. Agency recognizes that in order for each and every child and family to learn and thrive, they must be provided with differentiated, person-centered resources and support.

Agency supports culturally responsive services that are respectful of, and relevant to, the beliefs, practices, culture, and linguistic needs of diverse consumer and client populations and communities. Cultural responsiveness refers to the capacity to respond to the issues of diverse communities. It thus requires knowledge and capacity at different levels of intervention: systemic, organizational, professional and individual.

Grantee must carry out the following equity objectives when performing Project activities in furtherance of Agency equity goals.

Equity Objectives

1. Grantee's entire organization will work to build a climate that promotes acceptance, inclusion and respect of all individuals;
2. Grantee's staff must understand the communities they serve, in a non-static manner, including the communities' culture, values, norms, history, customs, and particularly types of discrimination, marginalization and exclusion they face in this country. Grantee must apply that knowledge to services it provides under this Grant in a responsive, non-limiting and non-stereotyping manner;
3. Whenever possible, Grantee must interact with program participants according to their preferred cultural norms including social greetings, family conventions, dietary preferences, welcoming culture, healing beliefs and spiritual needs;

4. Grantee's staff will engage in continuous learning about their own biases, assumptions and stereotypes that limit their ability to be culturally responsive, and to understand how these biases affect their work with program participants; and
5. Grantee will use data concerning needs, demographics and risks of the community in the determination of which populations to target and prioritize for program participation.
6. Grantee must require in any subcontract, purchase, or other agreement used to carry out the Project that the performing entity shall not discriminate against any employee or applicant for employment because of race, color, religion, age, sex, marital status, national origin, political affiliation, or the presence of any sensory, mental, or physical disability.
7. Grantee must take affirmative action to ensure that applicants and employees are treated without discrimination because of their race, color, religion, age, sex, political affiliation, disability, or national origin. Such action shall include, but not be limited to, employment upgrading, demotion or transfer, recruitment and recruitment advertising, layoff or termination, rates of pay, or other forms of compensation and training.

Equity Definitions

Asset-based mindset: A mindset that focuses on seeing potential rather than deficits and draws upon the strengths of children, families, and communities to develop and enhance Grantee's services.

Strength-based approach: Policies, practice methods, and strategies that identify and draw upon the strengths of children, families, and communities to develop and enhance Grantee's services.

Historically Underserved Communities: Refers to communities that the Early Learning Council Equity Implementation Committee identified as African American, Asian and Pacific Islander, English Language Learners, Geographically Isolated, Immigrants and Refugees, Latino, Tribal Communities, and Children with Disabilities, Economic Disparities, or of Incarcerated Parents/Parental Figures.