

**Statewide 0-5 Needs Assessment and Strategic Plan
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Overview of requirements

FOA Excerpts

Activity I: Needs Assessment

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Activity One: Conduct or update a periodic, statewide birth through five needs assessment of the availability and quality of existing programs in the State, including such programs serving the most vulnerable or underserved populations and children in rural areas, and, to the extent practicable, the unduplicated number of children being served in existing programs and, to the extent practicable, the unduplicated number of children awaiting service in such programs.

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B-5 Statewide Needs Assessment Plan: The applicant must provide a clear description of how they will address the required activity outlined in Section I. Program Description, Program Activities, Activity One and how much funding they plan to spend on this activity. Specifically, the applicant must describe its planned process for developing or updating and conducting an effective needs assessment including defining the scope and developing a work plan. The applicant must also identify how other federal and State needs assessments may be leveraged to inform this B-5 Statewide needs assessment. States that have already developed a B-5 Statewide needs assessment meeting the requirements should describe their needs assessment as part of their application to be assessed based on the evaluation criteria at Section V.1. Criteria. The peer reviewers will score the descriptions of the needs assessment and strategic plans, proposed as completed. Should the State be selected for award, based on the reviewers' assessments that they have met the requirements, the State will be asked upon award to send a copy of the actual documents to the Departments for review and approval. Should the documents receive approval, the State would be given permission to begin spending on Activity Five along with all other spending. If the documents are not approved, the State will be instructed to go back and do more work, as needed, before being allowed to spend funds on Activity Five. The needs assessment must:

- Describe how the State defines key terms, including: quality early childhood care and education, availability, vulnerable or underserved, and children in rural areas;
- Describe the populations of children who are vulnerable or underserved, and children in rural areas;
- Identify the current quality and availability of early childhood care and education, including for vulnerable or underserved children and children in rural areas;
- Identify, to the extent practicable, the unduplicated number of children being served in existing programs and the unduplicated number of children awaiting service in such programs;
- Identify gaps in data or research about the quality and availability of programming and supports for children birth through five, considering the needs of working families, as well as those who are seeking employment or in job training;
- Describe the State's plan to fill these gaps in data or research to support collaboration between programs and services and maximize parental choice;
- Describe the State's plan for developing and tracking measurable indicators of progress that align with the State's vision and desired outcomes;
- Describe the State's plan for addressing ECE facilities and facility-related concerns;
- Include an analysis of barriers to the funding and provision of high-quality early childhood care and education services and supports, and identify opportunities for more efficient use of resources; and

- Address transition supports and gaps that affect how children move between early childhood care and education programs and school entry.

Applicants that propose a meaningful plan in their statewide B-5 needs assessment to measure the unduplicated number of children being served in the existing programs and/or the unduplicated number of children awaiting service in such programs will receive 5 priority points.

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Approach - Activity One: B-5 Needs Assessment Maximum Points: 10

The reviewer will determine the extent to which:

1. The applicant has provided a clear description of how the State will address the required activity outlined in Section I. Program Description, Program Activities, Activity One. (0-2 points)
2. The applicant has fully described its planned process for developing an effective needs assessment including defining the scope of the needs assessment and developing a work plan that leads to the successful implementation of the needs assessment. (0-2 points)
3. The applicant has sufficiently identified how other federal and State needs assessments will be leveraged to inform this B-5 Statewide needs assessment and how the assessment plan aligns with the logic model and vision statement. (0-2 points)
4. The applicant has provided a clear description of the populations of children who are vulnerable or underserved, as defined by the State, and children in rural areas. (0-2 points)
5. The applicant has included a thorough plan for the analysis of the quality and availability of programming and supports serving children B-5, and, to the extent practicable, the unduplicated number of children being served and awaiting service in existing programs. (0-2 points)

Activity II: Strategic Plan

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Activity Two: Develop or update a strategic plan that recommend collaboration, coordination and quality improvement activities (including activities to improve children’s transition from early childhood care and education into elementary schools) among existing programs in the State and local educational agencies. Such a plan shall include information that identifies opportunities for, and barriers to, collaboration and coordination among existing programs in the State, including among State, local and tribal (if applicable) agencies responsible for administering such programs. The strategic plan shall recommend partnership opportunities among existing programs in the State, including among Head Start providers, local educational agencies, State and local governments, Indian tribes and tribal organizations, and private entities (including faith and community-based entities) that would improve coordination, program quality, and delivery of services. The strategic plan shall build on existing plans and goals with respect to early childhood care and education programs, including coordination and collaboration among such programs, of the State Advisory Council while incorporating new or updated Federal, State, and local statutory requirements including the requirements of the Child Care and Development Block Grant Act of 1990 (42 U.S.C. S 9858 et seq.) and, when appropriate, information found in the report required under Section 13 of the Child Care and Development Block Grant Act of 2014 (Public Law 113-186; 128 Stat.2002). Finally, the strategic plan describes how accomplishing each

of these previously mentioned requirements will better serve children and families in existing programs and how such activities will increase the overall participation of children in the State.

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B-5 Statewide Strategic Plan

The applicant must provide a clear description of how they will address the required activity outlined in Section I. Program Description, Program Activities, Activity Two and how much funding they plan to spend on this activity. Specifically, the applicant must describe the process by which they will develop or update a strategic plan, clearly describing how they will build on previous strategic planning efforts for relevant programs and services. States that have already developed a B-5 Statewide strategic plan meeting the requirements must describe the plan in their application and the peer reviewers will consider whether these States have met the requirement for Activity Two. States must describe their process for updating the plan to align with their vision statement, logic model, and needs assessment and identify how they will track progress toward achieving identified goals.

In describing its planned process for developing the Statewide strategic plan, the applicant is required to:

- Describe how the strategic plan development and implementation processes will engage the full range of stakeholders, identifying which stakeholders will be meaningfully impacted;
- Recommend partnership, collaboration, coordination, and quality improvement activities and opportunities that can leverage existing resources to improve coordination, policy alignment, program quality and service delivery, across early childhood care and education programs in the B-5 Early Childhood State System, including activities to improve children's transition from early childhood care and education programs into elementary schools;
- Incorporate new or updated Federal, State, and local statutory requirements and identify barriers to the various levels of collaboration and coordination;
- Describe how the strategic plan process and proposed activities will build on relevant State and program plans to improve coordination and collaboration among its programs, better serve children and families in existing programs, and increase the overall participation of children in the State in high quality early childhood care and education programs and services in a mixed delivery system;
- Describe how the State's strategic plan will make use of indicator data to assess progress and to inform needed revisions to the plan over time, as well as to assess key desired outcomes related to delivery of services and achieved cost and resource efficiencies; and
- Provide a description of how the State will include the State Advisory Council in the development and implementation of its strategic plan.

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Approach - Activity Two: B-5 Strategic Plan

Maximum Points: 9

The reviewer will determine the extent to which:

1. The applicant has provided a clear description of how the State will address the required activity outlined in Section I. Program Description, Program Activities, Activity Two. (0-3 points)
2. The applicant has clearly described the process by which the State will develop or update a strategic plan, clearly articulating how they will build on previous strategic planning efforts to improve coordination and collaboration for relevant programs and services, better serve children, and

increase the overall participation of the State's children in high quality early childhood care and education programs and services in a mixed delivery system. (0-2 points)

3. The applicant has identified partnership opportunities that can leverage existing resources to improve collaboration, coordination, policy alignment, program quality and service delivery across early childhood care and education programs in the B-5 Early Childhood State System including activities to improve children's transition from early childhood care and education programs into elementary schools. (0-2 points)
4. The applicant has described how the strategic plan development and implementation processes will engage a full range of stakeholders, identifying which stakeholders will be meaningfully impacted. (0-2 points)

Topic 1: Leveraging Federal Plans and Needs Assessments

See also:

- Appendix A of BUILD/Policy Equity Group Guidance, http://www.buildinitiative.org/Portals/0/Uploads/Documents/PDG_GuidanceFinal.pdf
- See overview of federally required needs assessments, <http://www.buildinitiative.org/Portals/0/Uploads/Documents/BT5%20PDG/2018.10.1NeedsAssessmentV3.pdf>

Discussion Questions:

- Where are you in gathering all the relevant federally required and state (whether public or private) needs assessments so that you can identify the required information for the needs assessment?
- Where are you in mapping out the information that the FOA requires to be included in the needs assessment and determining whether the information is available?
- Is your needs assessment submission going to be a “plan to plan” or will you indicate you have a completed needs assessment that meets the requirements?
- What other issues are important to your vision and logic model to capture in the needs assessment?

Topic 2: Looking Across Programs to Identify Opportunities for Improvement and Coordination/Collaboration

Discussion Questions:

- Thinking about the various funding streams and programs, what are the opportunities to build upon existing collaboration and coordination and quality improvement activities or to create new coordination and quality improvement activities? Can you identify barriers that you can overcome and if so, what strategies will you use to address these barriers? You can use the table below to identify programs elements and discuss opportunities across the various funding streams and state program categories.
- How will your ideas help better serve children? Will they enable more children to be served with quality?

| Program Element/Program | CCDBG | Head Start | MIECHV | State Preschool | Part C | Part B | Add programs here |
|--------------------------------|-------|------------|--------|-----------------|--------|--------|-------------------|
| Eligibility | | | | | | | |
| Enrollment Process | | | | | | | |
| Quality Standards | | | | | | | |
| Quality Supports & Improvement | | | | | | | |
| Family Engagement | | | | | | | |

| Program Element/Program | CCDBG | Head Start | MIECHV | State Preschool | Part C | Part B | Add programs here |
|---|-------|------------|--------|--------------------|--------|--------|-------------------|
| Financing Mechanism | | | | | | | |
| Outreach Approach | | | | | | | |
| Community engagement | | | | | | | |
| Governance | | | | | | | |
| Transition between ECE programs 0-5 | | | | | | | |
| Transition from ECE programs to Elementary School | | | | | | | |
| Other Elements | | | | | | | |

Topic 3: Stakeholder and Partnership Engagement

Discussion Questions:

- Consider mapping out who key stakeholders and partners are for this work. To do so, here are some questions to explore:
 - Who are your key stakeholders to engage in strategic plan development or modification?
 - Who has expertise and experience that you need and represent the key partners to plan and implement and support the work?
 - Whose buy-in do you need to have your plan be accepted and advance?
 - How are you including people who are influential?
 - Who is good at building momentum and how are they involved in your work?
 - How are you engaging diverse families (geographic, racial/ethnic, range of income, homeless, participating in the child welfare system, dual language learners, etc.) in planning?
 - How do the providers who are responsible for delivering services have a voice? How are providers who represent the diversity of the community included?
 - How do other “infrastructure” partners (higher education, professional development groups, resource and referral, educational service districts, eligibility and enrollment vendors, etc.) contribute?
- What are your goals for stakeholder and partnership involvement in strategic plan development and in the work itself?
- What are your strategies for involvement in planning and using implementation science, in your work to implement? As you consider goals, also consider the level of engagement or empowerment in the strategies. A quick summary below may assist you in formulating your plan.

One way input: This is where you're gathering information but it's not really a dialogue, so it may inform your process and may allow people to be heard but won't necessarily create a lot of buy-in or necessarily a high commitment to what you are doing. Examples may include:

- Focus groups, one way
- Surveys, one way
- Newsletter, one way—and of course this is you sharing what you are doing, not necessarily getting feedback

Two way discussion: In this approach, opportunities exist for mutual discussion. Examples may include:

- Committees, commissions, task forces, two way
- Town hall meetings, two way
- Provider associations and places that bring people together, two way
- Committee hearings, two way
- Informal advisement/kitchen cabinet, two way

Some of these approaches are more empowering than others for your stakeholders, so consider the context of your state, the state's overall vision and approach to systems building and coordination, and the requirements of the FOA.