

LINDA LINGLE
GOVERNOR



LILLIAN B. KOLLER, ESQ.
DIRECTOR

HENRY OLIVA
DEPUTY DIRECTOR

STATE OF HAWAII
DEPARTMENT OF HUMAN SERVICES
Benefit, Employment and Support Services Division
820 Mililani Street, Suite 606
Honolulu, Hawaii 96813

August 24, 2010

Mr. Richard Gonzales
Senior Advisor for Early Childhood Development and Education
Administration for Children and Families
Office of the Deputy Assistant Secretary and
Inter-Departmental Liaison for Early Childhood Development
Aerospace Building
901 D Street, SW
7th Floor West
Washington, D.C. 20447

Dear Mr. Gonzales:

This is to confirm that I, Pankaj Bhanot, Department of Human Services Benefit, Employment and Support Services Division Administrator, and authorized representative for the State of Hawaii, have communicated to the Governor's Office the opportunity for our State to apply for a supplemental State Advisory Council grant award and have received approval to submit the attached supplemental application. Please find the following attachments:

1. Completed SF-424 for the Supplemental Grant request;
2. Proposal Narrative;
3. Revised SF-424A to reflect the correct match amount for the initial \$500,000 grant request;
4. Completed SF-424A for the Supplemental Grant request;
5. Budget Justification for the Supplemental Grant request; and
6. Three-Year Budget Summary for the Supplemental Grant request.

If you have any questions regarding the documents submitted, please feel free to contact me at (808) 586-5230 or pbhanot@dhs.hawaii.gov.

Sincerely,

Pankaj Bhanot
Division Administrator

Attachments

Application for Federal Assistance SF-424 Version 02

*1. Type of Submission: <input type="checkbox"/> Preapplication <input type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application	*2. Type of Application <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision	* If Revision, select appropriate letter(s) *Other (Specify) _____
---	---	--

3. Date Received: _____	4. Applicant Identifier: _____
--------------------------------	---------------------------------------

5a. Federal Entity Identifier: _____	*5b. Federal Award Identifier: _____
---	---

State Use Only:

6. Date Received by State: _____	7. State Application Identifier: _____
---	---

8. APPLICANT INFORMATION:

***a. Legal Name:** State of Hawaii

*b. Employer/Taxpayer Identification Number (EIN/TIN): 99-6001089	*c. Organizational DUNS: 824671176
---	--

d. Address:

***Street 1:** 820 Miliani Street #606
Street 2: _____
***City:** Honolulu
County: _____
***State:** HI
Province: _____
***Country:** United States of America
***Zip / Postal Code** 96813-2936

e. Organizational Unit:

Department Name: Department of Human Services	Division Name: Benefit, Employment and Support Services Division
---	--

f. Name and contact information of person to be contacted on matters involving this application:

Prefix: Mr. ***First Name:** Pankaj
Middle Name: _____
***Last Name:** Bhanot
Suffix: _____

Title: Division Administrator

Organizational Affiliation: _____

*Telephone Number: (808) 586-5230	Fax Number: (808) 586-5229
--	-----------------------------------

***Email:** pbhanot@dhs.hawaii.gov

Application for Federal Assistance SF-424

Version 02

***9. Type of Applicant 1: Select Applicant Type:**

A.State Government

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

*Other (Specify)

***10 Name of Federal Agency:**

11. Catalog of Federal Domestic Assistance Number:

93.708 _____

CFDA Title:

ARRA - Head Start State Advisory Council _____

***12 Funding Opportunity Number:**

*Title:

13. Competition Identification Number:

Title:

14. Areas Affected by Project (Cities, Counties, States, etc.):

Hawaii 1 and 2

***15. Descriptive Title of Applicant's Project:**

State Advisory Council's development and implementation of a plan for an early learning system in the State.

Application for Federal Assistance SF-424

Version 02

16. Congressional Districts Of:

*a. Applicant: Hawaii 1 and 2

*b. Program/Project: same

17. Proposed Project:

*a. Start Date: October 1, 2010

*b. End Date: September 30, 2013

18. Estimated Funding (\$):

*a. Federal	_____	\$165,440
*b. Applicant	_____	
*c. State	_____	\$500,333
*d. Local	_____	
*e. Other	_____	
*f. Program Income	_____	
*g. TOTAL	_____	\$665,773

***19. Is Application Subject to Review By State Under Executive Order 12372 Process?**

- a. This application was made available to the State under the Executive Order 12372 Process for review on _____
- b. Program is subject to E.O. 12372 but has not been selected by the State for review.
- c. Program is not covered by E. O. 12372

***20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes", provide explanation.)**

- Yes No

21. *By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U. S. Code, Title 218, Section 1001)

** I AGREE

** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions

Authorized Representative:

Prefix: Ms. *First Name: Lillian

Middle Name: B.

*Last Name: Koller

Suffix: _____

*Title: Director

*Telephone Number: (808) 586-4996

Fax Number: (808) 586-4890

* Email: lillian.b.koller@hawaii.gov

*Signature of Authorized Representative:

*Date Signed:

Application for Federal Assistance SF-424

Version 02

***Applicant Federal Debt Delinquency Explanation**

The following should contain an explanation if the Applicant organization is delinquent of any Federal Debt.

Supplemental Application Proposal

Hawaii is pleased to submit this supplemental funding application to build upon the work that was proposed in our original application to enhance and expand early learning opportunities for Hawaii's keiki. Specifically, this application seeks to support our goals related to expanding program participation and assuring a quality system of education and care within the State.

Expand Program Participation Goal

The conducting of periodic needs assessments of early learning opportunities statewide will be necessary in order to develop a data-informed plan to improve and increase the system's capacity to make available a range of programs/services for young children and families in all communities. Activities towards this effort were included in the original application.

Contractual services will be necessary for this assessment to be done in a systematic and timely manner in each of the three years in order to produce the data needed to develop successful public/private partnerships that will result in expanded funding for preschool assistance in all communities, particularly on the Neighbor Islands. As previously stated in the original application, a needs assessment of the availability and accessibility of early learning programs would occur in Year One, with updates on this information, as well as an assessment of the quality of these programs would occur in Years Two and Three.

Quality Assurance System Goal

The goal of quality assurance of Hawaii's early care and education system involves early learning programs becoming nationally accredited (in both home-based and center-based settings), as well as being engaged in ongoing quality improvement efforts. The original application indicates a goal to increase accreditation status of up to 50% of existing centers.

A vehicle for supporting the goal of continuous program improvement is the establishment of an evidence-based Quality Rating and Improvement System (QRIS) that includes progressive levels of quality across the 4 program settings which are recognized in Hawaii: center-based, home-based, family child care and family/child learning programs. This QRIS would also need to include resources and supports to those programs to achieve quality improvement outcomes. These outcomes might include improving instructional and programmatic practices, implementing classroom observation assessment systems, conducting program reviews and monitoring, and/or developing a unified data collection system around child and or program outcomes. Contractual services to develop and pilot this QRIS system is being proposed as part of this supplemental funding application.

Salary Enhancement

The role of State Advisory Council (SAC) Coordinator, as defined for our State, is to provide executive staff services to the SAC, under the general guidance and direction of the Governor's Office. The Coordinator will facilitate the effective operations of the SAC, assist and advise the SAC members in the direction of operations and activities of the SAC as a whole, and perform other related duties as required. This person will not only need to have knowledge of national and local research, trends, issues and exemplary programs dealing with early childhood education and related topics, but will also need to possess strong leadership, communication and organizational skills. The salary included in the original application needs to be enhanced in order for Hawaii to be able to successfully recruit and retain a qualified Coordinator to enable us to accomplish the goals and activities outlined in the two applications.

Travel in Year One

It will be critical for the newly hired SAC Coordinator to be able to attend ACF meetings and/or a national conference related to early childhood system-building in Year One to help inform his/her work and to identify lessons learned from other states to apply to work being done in Hawaii. Funding in the original application only involved travel for Years Two and Three. In addition, travel to each county to begin community conversations as the new SAC Coordinator will be important in establishing relationships with individuals involved in systems-building in their communities and to gather input on ways to accomplish the goals as set forth in the grant application.

Other (Program Operations)

Once Hawaii's Early Learning Standards have been adopted, outreach and training activities will need to be conducted to enable early learning practitioners to understand and use these standards in their work. It is anticipated that in each succeeding year, starting with Year One, there will be more outreach and training activities required, statewide. Additional funds are therefore anticipated for Year Three.

BUDGET INFORMATION - Non-Construction Programs

SECTION A - BUDGET SUMMARY

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		Total (g)
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	
1. State Adv. Council	93.708	\$	\$	\$ 500,000.00	\$ 1,166,667.00	\$ 1,666,667.00
2.						0.00
3.						0.00
4.						0.00
5. Totals		\$ 0.00	\$ 0.00	\$ 500,000.00	\$ 1,166,667.00	\$ 1,666,667.00

SECTION B - BUDGET CATEGORIES

Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY			Total (5)
	(1) Year 1 (2011)	(2) Year 2 (2012)	(3)	
a. Personnel	\$ 50,000.00	\$ 50,000.00	\$ 50,000.00	\$ 150,000.00
b. Fringe Benefits	18,480.00	18,480.00	18,480.00	55,440.00
c. Travel	1,000.00	6,000.00	6,000.00	13,000.00
d. Equipment	1,000.00			1,000.00
e. Supplies	940.00	600.00	300.00	1,840.00
f. Contractual				0.00
g. Construction				0.00
h. Other	28,580.00	74,920.00	175,220.00	278,720.00
i. Total Direct Charges (sum of 6a-6h)	100,000.00	150,000.00	250,000.00	500,000.00
j. Indirect Charges				0.00
k. TOTALS (sum of 6i and 6j)	\$ 100,000.00	\$ 150,000.00	\$ 250,000.00	\$ 500,000.00

7. Program Income	\$	\$	\$	\$	0.00
-------------------	----	----	----	----	------

Authorized for Local Reproduction

SECTION C - NON-FEDERAL RESOURCES				
(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS
8. State Advisory Council (ARRA Grant)	\$	\$ 1,166,667.00	\$	\$ 1,166,667.00
9.				0.00
10.				0.00
11.				0.00
12. TOTAL (sum of lines 8-11)	\$	\$ 0.00	\$ 1,166,667.00	\$ 1,166,667.00

SECTION D - FORECASTED CASH NEEDS													
	Total for 1st Year	1st Quarter			2nd Quarter			3rd Quarter			4th Quarter		
13. Federal	\$ 0.00	\$	0.00	\$	0.00	\$	0.00	\$	0.00	\$	0.00	\$	0.00
14. Non-Federal	0.00		0.00		0.00		0.00		0.00		0.00		0.00
15. TOTAL (sum of lines 13 and 14)	\$ 0.00	\$	0.00	\$	0.00	\$	0.00	\$	0.00	\$	0.00	\$	0.00

SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT				
(a) Grant Program	FUTURE FUNDING PERIODS (Years)			
	(b) First	(c) Second	(d) Third	(e) Fourth
16. State Advisory Council (ARRA Grant)	\$ 100,000.00	\$ 150,000.00	\$ 250,000.00	\$
17.				
18.				
19.				
20. TOTAL (sum of lines 16-19)	\$ 100,000.00	\$ 150,000.00	\$ 250,000.00	\$ 0.00

SECTION F - OTHER BUDGET INFORMATION	
21. Direct Charges:	
22. Indirect Charges:	
23. Remarks:	

BUDGET INFORMATION - Non-Construction Programs
SECTION A - BUDGET SUMMARY

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		Total (g)
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	
1. State Adv. Council	93.708	\$	\$	\$ 200,000.00	\$ 500,333.00	\$ 700,333.00
2.						0.00
3.						0.00
4.						0.00
5. Totals		\$ 0.00	\$ 0.00	\$ 200,000.00	\$ 500,333.00	\$ 700,333.00

SECTION B - BUDGET CATEGORIES

Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total (5)
	(1) Year 1 (2011)	(2) Year 2 (2012)	(3) Year 3 (2013)	Year 3 (2013)	
a. Personnel	\$ 19,000.00	\$ 21,070.00	\$ 23,202.00	\$	\$ 63,272.00
b. Fringe Benefits	7,022.00	7,787.00	8,575.00		23,384.00
c. Travel	5,000.00				5,000.00
d. Equipment					0.00
e. Supplies					0.00
f. Contractual	34,000.00	34,000.00	34,000.00		102,000.00
g. Construction					0.00
h. Other			6,344.00		6,344.00
i. Total Direct Charges (sum of 6a-6h)	65,022.00	62,857.00	72,121.00	0.00	200,000.00
j. Indirect Charges					0.00
k. TOTALS (sum of 6i and 6j)	\$ 65,022.00	\$ 62,857.00	\$ 72,121.00	\$ 0.00	\$ 200,000.00

7. Program Income	\$	\$	\$	\$	\$	0.00
-------------------	----	----	----	----	----	------

Authorized for Local Reproduction

SECTION C - NON-FEDERAL RESOURCES					
(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS	
8. State Advisory Council (ARRA Grant)	\$	\$ 500,333.00	\$	\$	\$ 500,333.00
9.					0.00
10.					0.00
11.					0.00
12. TOTAL (sum of lines 8-11)	\$	\$ 0.00	\$ 500,333.00	\$ 0.00	\$ 500,333.00

SECTION D - FORECASTED CASH NEEDS									
	Total for 1st Year	1st Quarter		2nd Quarter		3rd Quarter		4th Quarter	
		\$	0.00	\$	0.00	\$	0.00	\$	0.00
13. Federal			0.00		0.00		0.00		0.00
14. Non-Federal			0.00		0.00		0.00		0.00
15. TOTAL (sum of lines 13 and 14)	\$	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT					
(a) Grant Program	FUTURE FUNDING PERIODS (Years)				
	(b) First	(c) Second	(d) Third	(e) Fourth	
16. State Advisory Council (ARRA Grant)	\$ 65,022.00	\$ 62,857.00	\$ 72,121.00	\$	\$
17.					
18.					
19.					
20. TOTAL (sum of lines 16-19)	\$ 65,022.00	\$ 62,857.00	\$ 72,121.00	\$	\$ 0.00

SECTION F - OTHER BUDGET INFORMATION

21. Direct Charges: _____ 22. Indirect Charges: _____

23. Remarks: _____

Budget Justification

The \$200,000 supplemental federal funds received over a three-year period from this grant award will be used in the following manner:

1. Personnel
 - Enhancement of salary of SAC Coordinator (1 FTE)
(3% incremental increase in Years Two and Three) \$19,000 – Year One
\$21,070 – Year Two
\$23,202 – Year Three
 - Fringe @ 36.96% \$ 7,022 – Year One
\$ 7,787 – Year Two
\$ 8,575 – Year Three
2. Travel
 - Annual ACF meeting in Washington, D.C. (includes travel,
lodging, per diem, etc.) \$ 2,000 – Year One
 - 1 National Conference related to Early Childhood System-
Building (includes travel, lodging, per diem, etc.) \$ 2,000 – Year One
 - State travel to each county to network, convene meetings
(@ \$250 each trip, including ground transportation) \$ 1,000 – Year One
3. Contractual Service
 - Needs Assessment (conduct annual needs assessment for
data collection around accessibility and availability) \$14,000 – Year One
\$14,000 - Year Two
\$14,000 – Year Three
 - QRIS Development (develop system and pilot in target
communities for eventual statewide implementation) \$20,000 – Year One
\$20,000 – Year Two
\$20,000 – Year Three
4. Other
 - Professional Development & Standards Adoption
Program (increase in original allotment for Year Three
for outreach and training activities) \$ 6,344 – Year Three

Three-Year Budget

	<u>Year 1</u>	<u>Year 2</u>	<u>Year 3</u>	<u>Total</u>
Personnel (salary enhancement)		3% INCR	3% INCR	
SAC Coordinator	19,000	21,070	23,202	63,272
Fringe	7,022	7,787	8,575	23,384
<hr/>				
Travel				
Mainland (2 trips: ACF & NGA or NAEYC)	4,000			
Inter-island	1,000			5,000
Contractual				
Needs Assessment	14,000	14,000	14,000	42,000
QRIS Development	20,000	20,000	20,000	60,000
Other				
Professional Development & Standards Adoption Program			6,344	6,344
SAC Supplemental Budget Total				200,000

Non-Federal Match

A total of \$1,667,000 in non-federal match was committed for the initial SAC application that Hawaii submitted for \$500K in federal funds. (See Appendix in initial application for 3 match commitment letters.) The excess of \$500,333 for that application is being applied to this supplemental application to match a request for an additional \$200K in federal dollars.