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# Illinois Prevention Initiative Implementation Manual

2013





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# *Welcome to the Illinois Prevention Initiative Implementation Manual*

The Illinois Prevention Initiative Implementation Manual is based on the Illinois Birth to Five Program Standards and Quality Indicators and is organized as such. The information and materials contained in this document were compiled to assist you in the implementation and continuous improvement of your birth to three programs.

The Manual is provided as guidance. References and resources are included as further suggestions for quality improvement. There are choices a program makes to demonstrate that it meets the Standards. It is important that the choices support the individual programs in their own missions to provide quality services to pregnant women, infants, toddlers, and their families, and that the choices support their program model and the Illinois State Board of Education requirements.

This Manual is not intended to be read cover to cover. Programs can find their topic of interest in the Table of Contents, go to that section, and find material to meet their needs. For new program leaders, there is a handy checklist at the beginning of the Manual with items a new supervisor may need to know. In the Appendix, there are Sample Forms, a Policy and Procedures Manual Checklist, Resources, a list of Acronyms, and a complete list of the References used in the Manual.

The development of this resource manual was based on best practice and quality improvement. Much of the material has new research as its source. Some of the material is based on the previous Illinois Birth to Three Resource Guide dated November, 2002. Thanks go to the original Resource Guide Work Group for the Illinois Birth to Three Program Standards.

This manual was partially funded pursuant to a federal State Advisory Council (SAC) grant. It is presented in respect for all the hard work, care, and compassion that Illinois birth to three programs provide each and every day.

Much appreciation goes to the current Prevention Initiative Implementation Manual Work Group that provided oversight, revisions, corrections, suggestions, and gentle critiques for this work. Thank you so much for your time and hard work.

Brenda Arksey, Chinese American Service League  
Cindy Bardeleben, Baby TALK  
Sharonda Brown, Illinois State Board of Education  
Lynn Burgett, Havana CUSD #126  
Jeanna Capito, Positive Parenting Du Page  
Pam DeSollar, Beardstown CUSD #15  
Jessica Duggan, Positive Parenting DuPage  
Donna Emmons, Illinois State Board of Education  
Lilibeth Gumia, Illinois State Board of Education  
Marsha Hawley, Ounce of Prevention Fund  
Heather Hood, Early Explorations  
Laurie Kabb, Ounce of Prevention Fund  
Peggy Kiefer, Naperville CUSD #203  
Rebecca Klein, Ounce of Prevention Fund  
Kelly Lenz, Peoria County Bright Futures  
Rima Malhotra, Chicago Public Schools  
Bill McKenzie, Ounce of Prevention Fund  
Chris Nation, Early Learning Center, Springfield CUSD #186  
Kim Nelson, Rockford Public Schools  
Greg O'Donnell, Ounce of Prevention Fund  
Candice Percansky, Consultant  
Sue Reynolds, Chicago Public Schools  
Sue Ripley, Bright Start, Macon Resources  
Mary Self, Bradley Elementary Schools  
Diane Settles, Brown County CUSD #1  
Penny Smith, Illinois State Board of Education  
Debi Schultz, Beardstown CUSD #15  
Erin Stout, Peoria County Bright Futures  
Vikki Thompson, Good Beginnings, Children's Home Association  
Mark Valentine, Ounce of Prevention Fund  
Kathleen Villano, The Center: Resources for Teaching and Learning  
Deb Widenhofer, Baby TALK  
Kelly Woodlock, Ounce of Prevention Fund  
Cindy Zumwalt, Illinois State Board of Education

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ILLINOIS STATE BOARD OF  
EDUCATION  
EARLY CHILDHOOD  
CARE AND EDUCATION  
POSITION STATEMENT

The Illinois State Board of Education believes that the educational development and success of all Illinois children can be significantly enhanced when children participate in early childhood programs and services.

For the purposes of this position statement, early childhood is defined as the period in a child's life from birth through 8 years of age. Appropriate early childhood programs, practices, and services are defined as those which

- are founded on research-based knowledge about child development;
- promote the child's emotional, physical, mental, and social well-being; and
- support and nurture families.

The Illinois State Board of Education is actively committed to develop, deliver, and support early childhood programs, practices, and services that will enable all children to be successful students and responsible citizens. The State Board will give particular attention to the following actions:

1. Emphasize the need for high-quality early experiences that reflect research on and knowledge of program quality and outcomes across the developmental period of birth through 8 years.
2. Encourage Illinois public schools to create coherent early learning systems that minimize major transitions for children and provide stable, consistent educational experiences for young children, ages 3 through 8 years.
3. Make Preschool for All programs available for all Illinois children identified as at risk of academic failure and actively seek their participation. Support the provision of full-day prekindergarten for at-risk students who need additional educational experiences.
4. Support the availability of full-day kindergarten programs for all Illinois children. Full-day kindergarten is not mandatory.
5. Collaborate with families and relevant social service providers to provide early identification of and response to educational risk factors among children from birth through 3 years of age.
6. Collaborate with families, community organizations, child care organizations, Head Start, and other state agencies to meet the

physical, mental, social, and emotional needs of young children, including their physical care and protection.

7. Emphasize the quality of instructional staff and leadership for early childhood programs in Illinois.

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## PREVENTION INITIATIVE

Prevention Initiative was established with Public Act 85-1046 and became effective July 13, 1988. (105 ILCS 5/2-3.89) It is one of two programs currently funded under the Early Childhood Block Grant (ECBG). The ECBG is a birth to age 5 grant program that includes Prevention Initiative and the Preschool for All programs. The ECBG's purpose is to provide early, continuous, intensive, and comprehensive evidence-based child development and family support services to help families prepare their young children for later school success.

Prevention Initiative was combined into the ECBG in 1998 with Public Act 88-555. (105 ILCS 5/1C-2) From 1998 to 2003, 8% of ECBG was to be used for programs serving children age 0 to 3. Through Public Act 93-0396, effective July 29, 2003, the Infant-Toddler Set-Aside percentage increased to 11%. Through Public Act 096-0423 effective August 13, 2009, the percentage will increase to at least 20% by FY 2015. The State Board is exempt from meeting these minimum percentages when, in a given fiscal year, the amount appropriated for the ECBG is insufficient to increase the Prevention Initiative allocation without reducing the amount of the ECBG for existing providers of preschool education programs. Currently, in 2013, the ECBG Infant/Toddler Set-Aside for Prevention Initiative is 14%.

Public Act 94-0506, which stated that grantees would conduct intensive, research-based, and comprehensive prevention services for expecting parents and families with children from birth to age 3 who are at risk of academic failure, became effective July 1, 2005.

Prevention Initiative funds are distributed to eligible applicants, including school districts, social service agencies, and other entities, on a competitive basis. Section 2-3.89 of the School Code requires Prevention Initiative grantees to implement research-based, comprehensive and intensive prevention services to expecting parents and families with children birth to age 3 who are at risk of academic failure. Examples of the research-based models currently receiving Prevention Initiative funding are center-based services that adhere to the requirements of Early Head Start or the National Association of the Education of Young Children Standards, Healthy Families Illinois, Parents as Teachers, Baby TALK, and Nurse Family Partnership. All the program models share common components, such as home/personal visits, links to community resources, group connections, screening, and individual family service planning/goal-setting processes. Prevention Initiative programs may be cen-

ter-based (daycare settings, family literacy programs) or provide home visitation services only.

### **Purpose**

Prevention Initiative provides early, continuous, intensive, and comprehensive evidence-based child development and family support services to help families prepare their young children for later school success. It is intended for children who have been determined, as a result of a screening process, to be at risk for school failure as indicated by their families' high levels of poverty, illiteracy, unemployment, limited English proficiency, or other need-related indicators (e.g., school district's rate of dropouts, retention, truancy, teenage pregnancies, and homeless students; high rates of infant mortality, birth trauma, low birth weight, or prematurity; and high rates of child abuse or neglect).

A disproportionate share of all children considered to be at risk come from low-income families, including low-income working families, homeless families, families where English is not the primary language spoken in the home, or families where one or both parents are teenagers or have not completed high school. However, neither a child's membership in a certain group nor a child's family situation should determine whether that child is at risk.

### **Eligible Applicants for Prevention Initiative Funding**

Public school districts, university laboratory schools approved by the Illinois State Board of Education (ISBE), charter schools, area vocational centers, and public or private not-for-profit or for-profit entities with experience in providing educational, health, social, and/or child development services to young children and their families are eligible to apply for the program.

A separate appropriation has been awarded to the City of Chicago School District #299 for the initiatives funded under the Prevention Initiative program. Applicants proposing to provide services for children and families within the Chicago city limits must apply for funds through the Chicago school district. See the link below:

<http://www.cps.edu/schools/earlychildhood/Pages/EarlyChildhood.aspx>

If the Prevention Initiative program is operated in or by a facility subject to licensure requirements of the Illinois Department of Children and Family Services (DCFS), then that facility must hold the appropriate licensure in accordance with rules promulgated by DCFS:

<http://www.ilga.gov/commission/jcar/admincode/089/089parts.html>

Applicants other than public school districts must provide evidence of existing competencies to provide early childhood education programs. This evidence should include the following:

1. The agency's mission statement, goals, or policies regarding early childhood programs.
2. A description of the agency's organizational structure, and a list of any early childhood accreditations that have been achieved.
3. Joint applications for funds may be submitted; however, in each case an administrative agent must be designated, and the joint proposal must have the signature of each district superintendent or official authorized to submit the proposal and agree to participate in the joint agreement. A school district or other eligible applicant can participate in only one proposal for Prevention Initiative.

### **How to Apply for Prevention Initiative Funding**

When sufficient funding is available, the State Superintendent of Education will issue a Request for Proposal (RFP), which will be posted on the Illinois State Board of Education's website at <http://www.isbe.net/earlychi>. Individual grant awards will be based upon the needs addressed in the proposal and total appropriation for the program. If funds for new or expanding programs are allocated, eligible applicants not currently offering a Prevention Initiative program and current programs seeking expansion funds may apply. Applicants seeking funding to continue currently funded Prevention Initiative programs without expansion apply online through the Illinois State Board of Education Web Application Security (IWAS). Currently funded Prevention Initiative programs are approved through a continuation application process separate from the RFP.

### **RFP Review and Approval**

Proposals will be evaluated in comparison with other Prevention Initiative Birth to Age 3 proposals received by the Illinois State Board of Education, based upon the RFP criteria. Funding priorities will be given to proposals that include but are not limited to their ability to:

- Serve primarily children and families identified as at risk of school failure.
- Demonstrate a need for services in the community based on current statistical, demographic, or descriptive information regarding the community in which the families and children reside.
- Show the need for the Prevention Initiative program that is not a duplication of services in the community in relation to other, similar services that may be operating in the same geographic area.



- Show the number of other programs providing services to the birth to age 3 population and describe the services being provided.
- Provide year-round programming.
- Implement a research-based program model and curriculum that supports the development of children under age 3 by focusing on the child and family.

Final determination for selection will be made by the State Superintendent of Education and will be based upon recommendations resulting from the evaluation/review process, which may include a site visit.

#### **Grant Award**

Individual grant awards vary depending on the program model and the intensity of services addressed in the approved proposal and the total appropriation for the program. Allocations and payments under this grant are subject to passage of sufficient appropriations by the Illinois General Assembly. Obligations of the State Board of Education will cease immediately without further obligation should the agency fail to receive sufficient State funds for this program.

#### **Grant Period**

Grant periods begin no sooner than July 1 and will extend from the execution date of the grant until June 30. Funding in the subsequent years will be contingent upon a sufficient appropriation for the program and satisfactory progress in the preceding grant period.

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## Questions for a New Prevention Initiative Leader

This list provides new Prevention Initiative leaders key information to better support their leadership roles. Principals, executive directors, your ISBE consultant, and technical assistance providers for your program's model are also great resources to consult for assistance. For further and more detailed information, please use the Prevention Initiative Implementation Manual found on the ISBE 0-3 Early Childhood website, <http://www.isbe.net/earlychi/html/birth-3.htm>.

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### Funding

Have you reviewed:

- your Prevention Initiative Request for Proposal (RFP)?
- your current Prevention Initiative funding application in IWAS?
- your refunding applications for the past three years in IWAS?
- a copy of your current USDA food service contract (for centers only)? This may be completed by the school district and is not the supervisor's responsibility.

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### Program Operations

- What is the current governing body structure for your program?
- Do you have a current organization chart for your program? A staffing plan?
- Do you have a copy of the Early Childhood Block Grant Administrative Rules, Part 425, <http://www.isbe.net/rules/archive/pdfs/235ARK.pdf>?
- Do you have a copy of the Illinois Early Learning Guidelines for Children Birth to Age 3 <http://www.isbe.net/earlychi/pdf/el-guidelines-0-3.pdf>?
- Do you have a copy of the Prevention Initiative Implementation Manual?

- What is your research-based program model? Check this link for information about your model. [http://www.isbe.net/earlychi/pdf/ec\\_0-3\\_resource\\_toolkit.pdf](http://www.isbe.net/earlychi/pdf/ec_0-3_resource_toolkit.pdf)
- Does your program serve 100% at-risk participants?
- Does your program charge any fees?
- Do you operate year-round?
- Are you offering at least one group experience for families per month? Parent Training?
- Do you have a toy/book lending library? A parent resource lending library? A newsletter?
- Do you have a copy of your program's Mission, Values Statement, and Logic Model?
- Are there written Policies and Procedures in place for your program activities? For example:
  - Transitioning children into and out of the program?
  - Recruitment/screening for eligibility?
  - Staff training and evaluation?
  - Reflective Supervision?
  - Professional development for you and for your staff?
  - Developing family plans with parents?
  - Outreach strategies to encourage family participation?
  - Case management procedures?
- Are there written Personnel Policies and job descriptions in place?
- Have all staff been trained in the Mandated Reporting of Child Abuse and Neglect as well as Blood-borne Pathogens? Is this a written policy?
- Is there a Memorandum of Understanding with your local Child and Family Connections provider? Are there collaboration agreements with your local Head Start, Early Head Start, and other early childhood providers?
- Do you have a copy of the last completed annual program self-assessment and improvement plan?
- What research-based screening and assessment tools are your program using for Developmental Monitoring?
- What research-based curriculum is your program using? Parent Education Curriculum?
- For center-based programs:
  - Is your program licensed by the Illinois Department of Children and Family Services and when are materials due for re-licensing?
  - Is your program accredited by NAEYC or another entity and, if so, when are materials due for re-certification?

- Are you familiar with the Quality Rating and Improvement System (QRIS)? At what level is your center rated? See the link to the Illinois Network of Child Care Resource and Referral Agencies (INCCRRA) <http://www.inccrra.org/>
- What is your data management system or recordkeeping system? Have you been trained in Illinois SIS (Student Information System)?

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## Reports

Do you have copies of:

- Monthly USDA Reports (Centers only)?
- Quarterly expenditure reports?
- Your program's insurance policies (your district or agency should have these)?
- Monthly enrollment, center attendance, and home visit completion reports, whatever is applicable?
- Monthly child or family retention rates?
- Most recent State monitoring report?
- Latest Program Improvement Plan (PIP)?

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**Do you have a tickler file or other device to remind you of deadlines for:**

- Refunding or continuing e-grant application?
- Reporting requirements of grants? This can be found in PI e-grant under assurance page tab.
- Reporting requirements for program activities, such as family assessments, health screening, self-assessment, and accreditation?
- Data collection for Student Information System?
- Data collection for program model reporting?

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**Do you have the contact names, phone numbers, and/or email addresses for the following:**

- ISBE Program Consultant?
- Other Supervisors nearby with programs similar to yours?
- USDA contact for your state or locality?
- Pupil Transportation Director?
- Child Care Licensing Contact?
- Bookmark for the ISBE Early Childhood website, <http://www.isbe.net/earlychi/html/birth-3.htm>?

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**REFERENCE DOCUMENTS AND HELPFUL WEBSITES**

- Early Childhood Block Grant Administrative Rules, Part 425, <http://www.isbe.net/rules/archive/pdfs/235ARK.pdf>
- Illinois Early Learning Guidelines, <http://www.isbe.net/earlychi/pdf/el-guidelines-0-3.pdf>
- Resource Toolkit for Programs Serving Infants, Toddlers and Their Families, [http://www.isbe.net/earlychi/pdf/ec\\_0-3\\_resource\\_toolkit.pdf](http://www.isbe.net/earlychi/pdf/ec_0-3_resource_toolkit.pdf)

- Ounce of Prevention Training Center, <http://pi.opftrainingcenter.org/ets/welcome.aspx>
- ISBE Required Reporting, [http://www.isbe.net/research/htmls/pfa\\_prev\\_init.htm](http://www.isbe.net/research/htmls/pfa_prev_init.htm)
- Illinois Resource Center, Early Childhood Professional Development, <http://ec.thecenterweb.org/site/>
- Illinois StarNet Regions, [http://www.isbe.net/earlychi/html/professional\\_develop.htm](http://www.isbe.net/earlychi/html/professional_develop.htm)
- Illinois Early Learning Project, <http://www.illinoisearlylearning.org/>
- Illinois Early Childhood Asset map, <http://iecam.crc.uiuc.edu/>
- Family Transition Workbook, “When I’m Three, Where Will I Be?” [http://www.isbe.net/earlychi/pdf/transition\\_workbook.pdf](http://www.isbe.net/earlychi/pdf/transition_workbook.pdf)
- Illinois Head Start Association <http://ilheadstart.org/>