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ABSTRACT

Intended for persons interested in operating preschool programs in California, these guidelines provide basic information on student eligibility, program requirements, and fiscal reporting. The first section provides background information on California preschool programs. Characteristics affecting children's eligibility for preschool services are pointed out in the second section. The third section provides a description of preschool programs. Subsequent sections discuss (1) parent involvement in preschool programs; (2) local agency/district application, fiscal, and reporting procedures; and (3) personnel and staffing. Materials related to operating a preschool program in California are appended, such as the State Preschool Waiver Request (Form CD-7701) and the Inventory Register (Form CD-8604). These guidelines are a revision of previous guidelines and apply specifically to the California State Preschool Program and to other preschool programs funded through the Consolidated Programs Division. While they may be useful to other public and private preschools, it is emphasized that the focus of these guidelines is not on the preschool curriculum. (RH)

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# Preschool Program Guidelines



Prepared by the  
Division of Child Development and Nutrition Services  
and the Consolidated Programs Division

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## PREFACE

These guidelines are intended to provide persons interested in operating preschool programs with basic information on student eligibility, program requirements, and fiscal reporting. They are a revision of previous guidelines and apply specifically to the State Preschool Program and to other preschool programs funded through the Consolidated Programs Application process. They may be useful to other public and private preschools; however, the focus of these guidelines is not upon preschool curriculum. Agencies and school districts may develop written policies and program statements for their own use which do not conflict with these guidelines or other legal requirements.

Suggestions from preschool teachers and parents as well as changes resulting from recent legislation have been incorporated into this revision. Representatives from school districts and the State Department of Education staff have made recommendations. The revision was coordinated by Harriet McKim, Consolidated Programs Division, and Geraldine Fields, Office of Child Development.

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## BACKGROUND; PRESCHOOL PROGRAMS

This section provides information relating to the history of state preschool programs and the supporting legislation. Statements of philosophy presented are based upon the broad field of child development theory. Brief descriptions of other programs for preschool-age children are also given.

These guidelines apply to (1) preschool programs funded through the Consolidated Programs Division, which include State Preschool, ECIA, Chapter 1, and/or EIA/State Compensatory Education; and (2) all preschool programs funded through the Office of Child Development in the Division of Child Development and Nutrition Services.

### History

The State Preschool Program was established in 1965, when the California Legislature passed Assembly Bill 1331, Chapter 1248. The legislation authorized a statewide system of preschool programs designed to provide equal educational opportunity for children of low-income families, emphasizing assistance to children whose English language skills are limited. The state contribution of 25 percent was matched with 75 percent federal funding from Title IV-A of the Social Security Act. In 1972 these federal funds were limited by Congress, which excluded their use for part-day educational programs. California's Child Development Act (AB 99, Chapter 670) was enacted in 1972. This act authorized various child development programs, including part-day educational programs for prekindergarten-age children (for example, the State Preschool Program). Subsequent state legislation (AB 451, Chapter 1005) enacted in 1973 authorized the continuation of the State Preschool Program and provided funding entirely from the state General Fund. Chapter 1466, Statutes of 1976, clarifies further the services provided for prekindergarten-age children and their families in the State Preschool Program. The most recent legislation affecting preschools was SB 863, a portion of which resulted in Chapter 798, Statutes of 1980, which continues the State Preschool Program.

Under the Elementary and Secondary Education Act, Title I, enacted by Congress in 1965, monies were made available to schools in low-income areas. Districts throughout the state established preschool classes in conjunction with their elementary program by full or partial funding through ESEA, Title I, funding. These are being continued under the Education Consolidation and Improvement Act, Chapter 1, enacted in 1981, which replaced ESEA, Title I.

Similarly, State Compensatory Education funds through the Economic Impact Aid section of AB 65 passed by the state Legislature in 1977 are used to support preschool classes in low-income areas.



### Legal Authority

The Superintendent of Public Instruction has responsibility for approval and administration of child development programs, including the State Preschool Program. This responsibility is carried out through the Division of Child Development and Nutrition Services and the Consolidated Programs Division.

California Education Code sections 8235 and 54406 relate to the operation of compensatory preschools:

*8235. The Superintendent of Public Instruction shall administer all state preschool programs. They shall include, but not be limited to, part-day and preschool appropriate activities for prekindergarten children three to five years of age in educational development, health services, social services, nutritional services, parent education and parent participation, evaluation, and staff development. Preschool programs for which federal reimbursement is not available shall be funded as prescribed by the Legislature in the Budget Act, and unless otherwise specified by the Legislature, shall not utilize federal funds made available through Title XX of the Social Security Act. . . .*

*54406. All compensatory preschool programs operated by school districts, regardless of source of funds, shall be subject to the regulations of the State Board of Education. The State Board of Education is authorized to establish standards for all compensatory preschool programs.*

These guidelines supplement the requirements of titles 5 and 22 of the California Administrative Code as the established standards for all compensatory preschool programs. They are intended to inform parents and community about state-administered preschool programs and to assist public and private agencies in managing these programs. The State Department of Education has established these policies and procedures to promote statewide consistency and quality of services for all eligible children.

## Preschool Philosophy and Goals

Preschool programs are established for the provision at an early age of an enriched environment to benefit children's intellectual, physical, emotional, and social development. Increasingly, research shows that quality preschool programs reduce the need for remedial classes in subsequent grade levels. During their prekindergarten years children develop characteristics which will affect their lifelong ability to learn.

The dual focus of California preschool programs is on children and parents. The family has the most influence on a child's learning potential. Participation of parents in classroom activities provides for observation of their child's behavior in a formal learning setting and allows for reinforcement of learning at home. Parents benefit from the support of the preschool teacher, aide, and other parents as they meet for parent education sessions relating to child development.

The two basic goals of the preschool program are to:

1. *Support the optimal development of each child.*
2. *Increase the parents' understanding and knowledge of child growth and development.*

Some specific preschool program goals for children are to:

1. *Provide a wide range of appropriate experiences.*
2. *Develop each child's sense of self-worth.*
3. *Provide daily opportunities for development of good health.*
4. *Develop creativity and problem-solving and critical-thinking skills.*
5. *Help children learn how to handle their own emotions and consider the feelings of others.*

Some preschool program goals for parents, teachers, aides, and other adults are to:

1. *Understand themselves and their importance in the lives of their children more fully.*
2. *Gain skills for communicating their feelings and ideas more effectively.*
3. *Learn more about the physical, mental, emotional, and social development of preschool children.*
4. *Learn more about the prevention of mental, emotional, and physical illness.*
5. *Acquire an understanding of the purposes of preschool classroom activities.*

## Other Programs for Preschool-Age Children

Head Start Projects. Head Start projects funded by the Office of Child Development, U.S. Department of Health and Human Services, are administered in most counties by Community Action Agencies (CAA), with funding administered through Region IX of the Administration for Children, Youth, and Families. These projects serve three- and four-year-olds and sometimes are commingled with other preschool programs.

Child Development Programs. Child development programs authorized by Chapter 2, Article 1, beginning with Section 8200 of the Education Code, include all programs providing full-day or part-day child care and development services for parents who qualify under state regulations. Local zoning codes must be met.

Parent Participation Nursery School Programs. Many communities have nursery or preschool programs, funded by parent fees, in which parents participate in the classroom. In some instances, these programs are commingled with state-funded programs. Information may be obtained through local sources.

Bilingual Programs. Bilingual preschool programs were funded through Title VII, ESEA. Many of these continue to operate with school district support. Information may be obtained by contacting the Office of Bilingual Bicultural Education, State Department of Education.

Adult Education and/or Vocational Education. Parenting classes for adults may be part of the local program and involve observation or involvement with preschool-age children. Parent fees for supervision of these children are generally required to provide partial support of these programs. Information may be obtained through local school district offices.

Special Education Preschool Programs for Handicapped Children. With passage of Public Law 94-142 (in 1979) and subsequent state legislation, services to handicapped children three years of age and older have been mandated. In some instances, preschool classes have been initiated for such children. In other cases, the children are enrolled in existing preschools. In preschools funded through the Office of Child Development or the Consolidated Programs Division, children must be in families that are income-eligible. The handicapping condition cannot be of such severity that the child cannot be adequately or appropriately served in the program. Information regarding such services may be obtained through the Office of Special Education, State Department of Education.

## ELIGIBILITY FOR PRESCHOOL SERVICES

### Age, Income, and Attendance Area Eligibility Requirements

Children must be identified according to funding source and must meet the eligibility requirements of that source. Preschool services provided through the State Preschool Program, ECIA, Chapter 1, and the State Compensatory Education Program are available only to low-income families that meet eligibility standards established by the Superintendent of Public Instruction.

The requirements for the three kinds of preschool programs conducted in public school districts and in public and private agencies are as follows:

- Age: Priority is given to children three years, nine months to four years nine months as of September 1 of the program year.
- Income: Family income must be at or below the ceilings approved for the current year. Specific items that should be kept in mind are the following:
  - Gross monthly family income must be verified by observing the statement of earnings which accompanies payment from the employer.
  - Seasonal workers may average their gross income over the previous twelve months.
  - Where income is received as cash, rather than by check, the amount must be verified by a written statement from the employer, secured either by the parent or by the agency/district, with the parent's consent.
  - Net income must be verified for self-employed persons.
- Attendance area: Participants in programs funded through Chapter 1 or SCE must reside in the eligible areas determined by school districts.

A sample application form to enroll children in a State Preschool Program is provided in Appendix A. The program director must certify that evidence has been reviewed which supports the claims made on the application. Agencies and school districts may need to develop their own system (within these guidelines) of handling unique local situations during admission procedures.

### Priorities for Enrollment

More children may meet the eligibility requirements than can be served by the agency/district. In the determination of which children should be enrolled, the following priority applies:

1. Children whose families meet the lowest income standards according to current chart of income ceilings from the State Department of Education
2. Children whose language is identified as limited English or non-English
3. Children who are identified as handicapped and whose Individualized Education Plan (IEP) identifies a regular preschool program as being the most appropriate placement
4. Children from families whose special circumstances may diminish the children's opportunities for normal development

Class lists should be formed within ten (10) days prior to the opening date of the new session to ensure the enrollment of the children from the families of lowest income. Each subsequent enrollment must be based upon waiting list priority for the child whose family has the lowest income, regardless of date of application. Enrollment lists and attendance records shall identify each child specifically with a designated funding source which may not be changed during the funding year. After the child has been enrolled, he or she may continue in the program until the end of the current program year.

#### Exceptions for Enrollment

When there are no eligible children on the waiting list, up to 10 percent of the total enrollment may be children who are exceptions to the age or income eligibility requirements. Included in this 10 percent are:

- Children younger than three years, nine months as of September 1
- Children older than four years, nine months not eligible for kindergarten
- Children from families whose income exceeds the income ceiling by not more than 15 percent

Requests for waivers for the enrollment of children as exceptions in excess of this 10 percent will not be considered by the State Department of Education before January 1 of any school year. Waivers will not be retroactive. The State Department of Education will reduce the number of funded children for any agency/district submitting frequent requests for waivers. Repeated requests for waivers may indicate a need to relocate the program.

Documentation for children enrolled under these provisions must be maintained and must contain the following information:

1. Evidence that a diligent search was made for eligible children
2. Child's name and age
3. Family income
4. Justification for enrolling each child

The children enrolled as exceptions should, as much as possible, be distributed proportionally among all of the classes within the agency's or district's jurisdiction.

## Health Requirements

Arrangements should be made to coordinate physical examinations, vision and hearing screening, and immunizations with local health clinics whenever possible. All adults working with preschool children must have a tuberculosis clearance.

### - Physical Examinations

A physical examination and an evaluation, including age-appropriate immunizations, are required for each child prior to attendance in preschool. Each agency or district should determine the specific amount of time to be allowed for completion of such examinations. Local medical advisers and county health agencies should be consulted in establishing a reasonable time frame based on local circumstances. The physical examination shall include a statement from the physician that the child is physically and emotionally ready for the preschool program and should identify any special health problems or handicaps which will require special attention or limit the child's activities.

Any child who is a Medi-Cal recipient may receive a Medi-Cal physical examination during the summer months prior to preschool enrollment. The County Child Health Disability Prevention (CHDP) Agency will fund the physical examination after the child is enrolled in the State Preschool Program. ECIA, Chapter 1, and State Compensatory Education children are not included in these CHDP services.

### - Immunizations

Only children who have been immunized against diphtheria, whooping cough, poliomyelitis, tetanus, mumps, and measles may be admitted.

### Exemptions

Neither a medical examination nor immunization is required for admission to a preschool program of the following:

1. A child whose parent or guardian files a letter with the governing board of the child care and development program stating that such medical examination or immunization for admission to a child care and development program is contrary to his or her religious beliefs
2. A child with a medical problem which, according to the statement of a physician, prohibits the required immunizations, temporarily or permanently (However, whenever there is good cause to believe that a child is suffering from a recognized contagious or infectious disease, the child shall be temporarily excluded from the program until the director, teacher, or nurse of the preschool program is satisfied that no contagious or infectious disease exists.)

#### Tuberculosis Clearance Requirement

Both paid and volunteer personnel, including participating parents working in the classrooms, must have either a chest X-ray or a tuberculin test of intermediate strength which is verified as negative. Documents verifying freedom from tuberculosis must be current (not to exceed four years), and records must be accessible for review by state personnel. When a tuberculin test result is positive, it should be followed immediately by further testing. Persons with positive tuberculin and X-ray results must be excluded from the classroom until they have been referred and a physician has verified negative test results. (See Education Code Section 49406.)

## DESCRIPTION OF PRESCHOOL PROGRAMS

Preschool programs covered by these guidelines are part-day educational programs for four-year-old children from low-income families. At least one of the child's parents is expected to participate in the classroom activities. Organizational aspects of the preschool program presented in this section are program planning, scope of daily activities, approaches to evaluation of children's progress, and length of program time. Health and safety matters are included in sections on health education, first aid and emergencies, and nutrition.

### Planning the Program

The basis of any successful program is adequate planning. Program planning begins with the assessment of the needs of the participants in relation to specific program goals. Long-range plans should be made in each program area. Short-term objectives leading toward the program goals should be continually modified to match children's progress. Activities should be adjusted to meet individual needs. Ongoing evaluation should provide updated assessment information regarding program quality and compliance. The parents, community, preschool advisory committee, and school staff should cooperatively develop the program and written plan.

Further information on planning processes and requirements can be found in the School Program Development Manual for Schools Funded Through the Consolidated Application (1982), available from the Consolidated Programs Division (CPD), and Child Development Program Quality Review (1982), available from the Office of Child Development (OCD).

### Daily Activities

Each day's program should include appropriate activities in all developmental areas: physical, emotional, social, and intellectual. There should be a balance between indoor and outdoor experiences. A well-planned program incorporates the four-year-old's particular need for movement and verbalization. A nurturing environment should enable each child to develop positive attitudes and values. The range of activities throughout the session should vary from structured adult-directed to those that are chosen by the child and are self-directing and spontaneous.

A schedule of daily activities should include, but not be limited to, opportunities for:

1. Verbal communication and the effective use of language in all experiences
2. Problem-solving skill development and concept formation
3. Creative expression and aesthetic appreciation
4. Experiences building knowledge in all curriculum areas



5. Perceptual training to develop discriminatory skills
6. Development of a healthy self-concept
7. Experiences building knowledge of various cultures
8. Peer interaction as well as interaction with adults
9. Large-group, small-group, and individual experiences
10. Body movement for both large and fine motor development
11. Practice of good health and safety habits
12. Nutrition education as well as meals or snacks

#### Evaluation of Children's Progress

Several methods are available to members of the instructional staff to encourage the systematic observation of children's behavior and the preparation of cumulative progress records. Informal evaluation of each child's development should be a daily activity. Formal testing, such as use of standardized instruments, is not a state requirement. The most effective methods for recording progress should be determined and program changes made to meet individual needs. Regular conferences among all adults providing instruction should be scheduled to share observations of individual child behavior.

Parents should be invited to be part of such conferences. Reporting to parents regarding their children's progress should occur at least twice a year.

#### Program Length

All programs should generally follow the attendance calendar of the school district. All CPD/OCD-funded preschool classes within an agency's or district's jurisdiction must operate for the same number of calendar days in the year and must maintain the same number of hours in daily sessions.

- No child may participate in more than one preschool class session per day.
- A preschool program must provide class sessions of at least three hours per day. Home-to-school transportation time is not considered class time.
- Programs usually operate five days per week, Monday through Friday. Optional activities, such as field trips, may occur on weekends or on holidays and may be counted as part of the program week.
- Children should be enrolled for five days per week.

- The funding level is based on a minimum of 175 days and three hours per day of operation during the program year. When special circumstances require adjustment, variations must be negotiated with the State Department of Education. The funding level shall be reduced in proportion to any reduction in the number of service days, hours, or number of children served.

#### Health Education

Staff, parents, and volunteers should be trained to be alert to signs of a child's physical or emotional distress which may indicate illness or need for special attention. Upon each child's arrival, the administrator must provide for daily examination for signs of illness. If trained by a public health nurse, staff members may do the daily screening and refer children with symptoms of illness to the program nurse, if one is available. Provisions must be made for the emergency isolation of ill children, for notifying parents when a child is to be excluded from school because of illness, and for transporting children to their homes or to a hospital in cases of emergency. Health education for staff, parents, and children is an integral part of the plan to help families achieve and maintain optimal health.

Speech therapy for preschool children may be provided through school districts or offices of county superintendent of schools. Information on speech therapy may be obtained through the Office of Special Education, State Department of Education.

#### First Aid and Emergencies

A first aid kit must be maintained and kept readily available in a specific location inaccessible to the children. All staff members, parents, and volunteers must know this location. At least one paid staff will have completed an approved course in first aid procedures. Each site must have a written disaster plan. An evacuation map must be posted in each classroom. See Appendix B for a sample disaster plan. All staff must understand these procedures.

#### Nutrition

All preschools are required to include nutrition in their programs; the minimum requirement is a midsession snack. Within the limitations imposed by the availability of funds, breakfast and/or lunches may be served. Preschool programs must adhere to all regulations regarding food handling and preparation.

Operating agencies/districts may apply for child nutrition funds from the Office of Child Nutrition, State Department of Education. An outline of food support programs for preschools is available from that office upon request. When preschool programs are operated by school districts which offer a hot lunch program to students, arrangements can be made with the district food service department to provide meals for preschoolers. Menu items shall be appropriate in portion, texture, and nutritive value for preschool children.

Nutrition costs which are in excess of special food reimbursement may be budgeted from State Preschool, ECIA Chapter 1, or State Compensatory Education funds.

Mealtimes provide for adequate nutrition and opportunities for learning. Serving of food family style is encouraged. During the times for snacks or meals, opportunities are provided to:

1. Provide language experience.
2. Build concepts in health, science, and mathematics.
3. Broaden taste, smell, and visual awareness.
4. Provide social interaction with adults and other children.
5. Enrich children's knowledge of foods.
6. Establish a pleasant environment.

Instructional staff members and volunteers should sit with the children at meals or snacks. Free lunch may be provided for a maximum of two volunteers who have been in attendance throughout the session and who participate with the children in the meal experience. The preschool budget should reflect the cost of any such lunches.

Preschool program administrators should refer to regulations and guidelines of the agency providing funds for nutrition for additional information.

## PARENT INVOLVEMENT IN PRESCHOOL PROGRAMS

Parents should be involved in preschool programs through home visits, parent-teacher conferences, classroom participation, parent education, preschool advisory committees, and various other kinds of parent meetings. Coordination of school and community efforts including close communication further strengthens the services available to parents.

### Home Visits and Parent-Teacher Conferences

One aspect of home-school relationships is the informal visit by the teacher to the home of the child. Such visits provide staff with the opportunity to learn more about the child in the home environment and should be scheduled prior to or soon after enrollment.

In the State Preschool Program, the State Compensatory Education Preschool Program and ECIA, Chapter 1, Preschool Program, teachers and appropriate members of the instructional staff are expected to make regularly scheduled home visits. Released time may be budgeted to allow teaching personnel sufficient time for these home visitations.

Programs commingled with Head Start are required to have home visits in accordance with the Head Start requirement.

The parent-teacher conference is another part of home-school relationships. An important purpose of this conference is to include parents in the shared responsibility for the education of their children. The goals of the program as well as the individual progress of each child should be shared with that child's parents. These conferences should be held regularly either at home or at the preschool site.

### Parents in the Preschool Classroom

Evaluation studies indicate that children whose parents become involved in their education make substantially greater gains than do children whose parents do not participate. Therefore, parents or extended family members will be expected to participate regularly in the program and to attend parent meetings. If children are transported, transportation service should also be extended to the parents when necessary and feasible. Cooperative arrangements for care of younger children in the family and organized car pools will facilitate parent involvement and participation. When parents come to the preschool, their participation may range from observation to assigned tasks, depending on the program needs and the interests of the individual parent.

Parents who are unable to participate regularly in the classroom are expected to contribute in other ways, such as helping in the preparation of program materials at home or assisting with field trips.

## Parent Education

Regular parent education meetings planned cooperatively with parents should be held at least eight times a year.

Meetings should:

1. Include topics suggested by the parents.
2. Include discussions related to the preschool program goals.
3. Be designed to give parents a better understanding of child growth and development.
4. Provide parents with information related to parenting skills.
5. Provide emotional support through interaction with a peer group.
6. Include occasional get-togethers such as family excursions or other events which offer socializing and enrichment experiences.

Parents may identify mutual special interests aside from the matters of child rearing and education. Whenever possible, staff members should encourage and even assist in planning classes according to the express needs of the group, such as first aid, home management, or consumer education. Where groups of non-English-proficient families are served, every effort should be made to arrange for English instruction and citizenship classes at the preschool site or at the neighborhood school or center near the residences of the families. Such classes may be organized under the existing adult education agency in the community. If these classes are not available under adult education or other community agencies, they must be financed through voluntary contributions or fund-raising activities. Parents may voluntarily participate in or contribute to fund-raising activities for their preschool, but they must not be required to do so.

## Preschool Advisory Committees

A preschool advisory committee may be established at each site or districtwide or agencywide. Or both may be established. Representation of preschool personnel on other district or site advisory committees is encouraged as a way of strengthening communication.

Fifty-one percent of the members of any preschool advisory committee must be parents of children currently enrolled in the ECIA, Chapter 1, State Compensatory Education, or State Preschool Program. The chairperson should preferably be a parent. The committees may include representation from teachers, aides, support personnel, administrators, community service agencies, and the community. The agency or district may choose to use an existing committee/subcommittee that includes adequate representation of parents and teachers of preschool children.

The preschool advisory committee may be involved in advising the agency or district in the planning, development, operation, and evaluation of the program. It should meet a sufficient number of times (minimum of two) throughout the year to discharge its responsibilities.

Preschool programs funded with ECIA, Chapter 1, funds are required to design the preschool program in consultation with parents of the preschool children.

The California Education Code makes no provision for a district governing board or a private agency board to delegate its responsibility for the selection and assignment of personnel to a preschool advisory committee. It is possible, however, for school or agency boards to ask preschool advisory committees to:

1. Help develop criteria for personnel selection.
2. Review and recommend the yearly budget.
3. Assist in the development of the written preschool plan and/or program goals and philosophy.
4. Participate in the ongoing program evaluation.

#### Coordination of Efforts

Regardless of the source of funds, the staff of the preschool program will be working primarily with low-income families. Representatives of education, health, social services, and any other community organization which regularly offers services to families should plan together and coordinate their services to provide maximum benefits to these families.

Social services may include:

1. Counseling
2. Assistance in securing the necessary medical and dental services
3. Referral to other services

Family and child records must be kept confidential. The use or disclosure of all information about the child and his or her family is restricted to purposes directly connected with the administration of the program. Parental permission must be obtained prior to release of information regarding children and their families.

#### Communication with Schools and Community

The preschool program for children and parents is a part of the total education effort of the community. As such, it is important for the preschool staff to be aware of how their program relates to the kindergarten, primary, and upper grades. Good communication should be established by the preschool staff with the schools which will be receiving the preschool program children in subsequent classes. Activities should be planned

throughout the school year to ensure an articulated program from preschool through kindergarten and the primary grades. Some of these activities might be cross-visitations by the preschool and kindergarten teaching staff, participation of preschoolers in the elementary school holiday festivals, and orientation sessions for parents held by kindergarten and preschool staff as a joint effort.

Equally important is the need to promote a better understanding throughout the community of the goals, objectives, and activities of the preschool program. Such information should be readily available to community members. The agency or district must provide information to parents to enable them to make maximum use of community services and resources.

C

LOCAL AGENCY/DISTRICT APPLICATION, FISCAL,  
AND REPORTING PROCEDURES

This section addresses various administrative responsibilities, such as the application process and requests for funds; location of preschool sites; provision of transportation; requirements relating to nondiscrimination and nonsectarianism; and standards for buildings, grounds, and equipment. Fiscal matters are presented relating to basic funding, commingled funding, adjustment of funding, reimbursement procedures, expenditure limits, apportionments for State Preschool Programs, accounting systems, enrollment records and attendance accounting, fiscal reporting, equipment inventories, and audits of records. Waiver procedures are also discussed.

It is important that accurate records be maintained at the local level. These are useful for:

- Providing auditable records
- Providing information to the Legislature and the State Department of Education as a basis for further planning to meet the needs of preschool children
- Providing information to the community regarding the benefits of the program

Application Process and Requests for Funds

There are two processes for acquiring funds to operate preschool programs. School districts and agencies shall follow regulations in the California Administrative Code, Title 5, Division 5, Chapter 1, and/or other related federal and state instruction.

● Consolidated Application Process

Applications for a school district State Preschool Program, ECIA, Chapter 1, or State Compensatory Education Preschool Program are part of the "District Consolidated Application for Funds for Educational Programs," Form A-127D.

Written preschool program plans are required for preschools funded through the consolidated application process. If the program operates at a school site where other funding sources require a plan, the preschool program description may be incorporated into the elementary school plan.

A description of planning processes and plan requirements is included in the School Program Development Manual for Schools Funded Through the Consolidated Application.



- Office of Child Development Process

Private agencies, community colleges, California state universities, county superintendents of schools, and private universities enter into local agreements with the Office of Child Development, State Department of Education, to provide State Preschool programs.

#### Location of Sites and Transportation

Programs should be located in areas in which they are most needed and should be close to where children live to minimize transportation costs. When alternative sites are available for conducting a preschool educational program, priority shall be given to a site which facilitates racial integration.

Coordination of preschool transportation schedules and routes with regular commuter service offered to elementary school pupils is strongly recommended. Education Code sections 39800 and 82300 state that "a governing board may allow the transportation in school buses owned or operated by the district of preschool or nursery school pupils. No state reimbursement may be received by a district for the transportation of such pupils." Reimbursement may be made for special routes established to pick up preschool children only.

Special provisions should be arranged for children using bus transportation to ensure adult supervision at all times. Supervision of children at the location of their arrival and departure must be provided for their safety.

When private transportation companies are used, at least three bids must be secured before a contract with the agency is made. These bids must be kept on file for audit purposes. The agency or district must set up a procedure for accountability; for example, having the person responsible for a child sign in the child when the child enters the bus and sign out the child when the child leaves the bus.

#### Nondiscrimination and Nonsectarian Requirements

All preschool educational programs established in accordance with these guidelines shall be available to any child who is otherwise eligible, without regard to race, religion, or ethnic background.

No preschool educational program may include religious worship or instruction, nor may any funds be used for the general support of any private or church-related school system.

#### Standards for Buildings, Grounds, and Equipment

The State Department of Education has responsibility for determining the adequacy of buildings, grounds, and equipment for preschool programs funded through the Department. New programs may not commence operation and operating programs may not change their locations until the Department of Education has obtained fire safety clearance for the proposed site. All local zoning code requirements must be met.

Licensing of each facility is required except for those facilities owned by school districts that are functioning on school grounds. All physical facilities must comply with the California Administrative Code Title 22, Division 2. A copy of the laws and regulations contained therein has been furnished each agency and school district. Additional copies are available through the Office of Child Development or the Consolidated Programs Division, State Department of Education.

Facilities must be maintained in an adequate state of repair to ensure the maximum health and safety of the children. An acceptable level of cleanliness shall be maintained for the buildings, playground, equipment, and storage areas. Rooms must be kept clean and outdoor areas inspected daily to remove any unsanitary or unsafe objects which might be detrimental to the health or safety of the children. Fences must be provided to ensure that children cannot go from the playground to an unprotected area. Although naptime is not included in half-day schedules, clean, comfortable space must be available for individual children who may need a brief rest period.

#### Requests for State Preschool Funds

Inquiries from school districts regarding the availability of state preschool funding (either expansion or initial funding) should be sent to:

State Department of Education  
Consolidated Programs Division  
721 Capitol Mall  
Sacramento, CA 95814

Inquiries from all other agencies should be addressed to:

Office of Child Development  
State Department of Education  
1500 - 5th Street  
Sacramento, CA 95814

#### Basic Funding

Funding for State Preschool programs in OCD and CPD is maintained on a per capita basis as determined each year by the legislative Budget Act and the Superintendent of Public Instruction. Districts and agencies are informed at the beginning of the school year of their annual allocation. Funding for ECIA, Chapter 1, and/or SCE preschool programs in CPD is part of the total allocation for the district from such funding sources as applied for through the A-127D Consolidated Program Application. Funding for Office of Child Development agencies is established in the executed local agreements. The districts/agencies in OCD awarded funds receive a copy of "Funding Terms and Conditions," which provides basic information for funded agencies.

#### Funding Variations or Commingled Funding

Many agencies and school districts receive funds from several sources to provide a comprehensive preschool program. These agencies/districts should coordinate the planning, operation, and evaluation of preschool programs, regardless of funding sources. They may choose to

maintain separate preschool classes according to funding source or to mix children whose education is supported from several funding sources if the latter results in a greater economy of funds and resources. Whether an agency receives funding from one or several sources, equal services should be provided for all children. Careful cost accounting methods must be used to meet the reimbursement and audit requirements of the various funding agencies. All enrollment and attendance information is to be reported for commingled programs on OCD/CPD fiscal report forms.

Specific information regarding the funding sources and levels of funding should be included in information disseminated about the program to parents and community.

#### Adjustment of Funding

During the fiscal year, records will be reviewed to identify those agencies/districts which have been unable to maintain maximum enrollment. Agencies/districts in which the average daily enrollment falls below the number of children they are required to serve may have their funds reduced proportionately. If funds are available, midyear adjustment by SDE may provide a limited amount of one-time-only funding for new classes.

#### Reimbursement

Reimbursement for State Preschool programs is based upon the number of days of operating actual enrollment, actual attendance of children, and reimbursable expenditures.

Reimbursement may not exceed actual costs, or the maximum contract amount, whichever is less. The approved budget amount is the maximum amount which may be reimbursed for program operation. When average daily attendance, including excused absences, falls below 93 percent of enrollment, reimbursement will be proportionately reduced to reflect the lower level of attendance.

To be reimbursed for the approved amount, the agency or district must:

1. Maintain the required average daily enrollment.
2. Maintain an average daily attendance of at least 93 percent of the average daily enrollment.
3. Have net reimbursable expenditures equal to or in excess of maximum reimbursable amount.

Reimbursement for ECIA, Chapter 1, and/or State Compensatory Education programs is not calculated in relation to enrollment and attendance. Fiscal reports must be submitted to the State Department of Education as required.

Reimbursements will not be allowed for the general support of any private or sectarian school system, nor for the purchase of sites or buildings.

Transportation for field trips which are part of the planned program is an allowable budget expense.

Prior approval by the State Department of Education is required when capital outlay expenditures of \$500 or more per item are planned.

Project directors should forward the appropriate capital outlay justification form to their assigned State Department of Education consultant to receive authorization for such expenditures. (See Appendix C for CPD projects. Those in OCD use Form CD-7701, "State Preschool Waiver Request," found in Appendix D.)

Some equipment may be secured at low cost through the Surplus Property Office, State Department of Education. Warehouses are located at 140 Commerce Circle, Sacramento, and at 2325 Moore Avenue in Fullerton.

The program must be operated as described in the approved application or local agreement. The State Department of Education must be notified of any changes in location, project director, the number of children served, length of session, or days of operation.

#### Expenditure Limits for All Programs

Approval for exceptions shall be secured in writing before the expenditure is made. The following limits are established:

1. Capital outlay/instructional equipment may not cost in excess of \$500 per item.
2. Reasonable and prudent rental costs are allowable for classrooms not owned by agency or district. The nonavailability of space in elementary schools should be verified before facilities are leased or rented.
3. Funds may be allowed for site maintenance, but major building repairs are the responsibility of the owner of the facility.
4. Private agencies operating State Preschool programs may be compensated for the use of buildings, capital improvements, and equipment through use or depreciation allowance.
5. All subcontracts in excess of five thousand dollars (\$5,000) must be submitted to the State Department of Education for prior written approval.
6. If an indirect cost rate is used, the agency funded through OCD may claim a rate of up to 8 percent. School districts and county offices of education funded through OCD shall apply a rate not to exceed their state indirect cost rate approved by the Local Assistance Bureau (LAB). Other agencies funded through OCD must apply to OCD for an approved rate. School districts funded through CPD may claim their approved rate as established for state compensatory education programs. The rate is applied to budget categories 1000-5000 only.

7. Agencies/districts shall abide by State Board of Control rules and regulations for travel and per diem expenses. Any out-of-state travel expenses shall be a nonreimbursable cost unless prior written approval is secured from SDE.

8. Agency or district administration is expected to provide for supervision of the instructional program with adequate personnel and related staff services to facilitate attainment of the program objectives. Private agencies may utilize a reasonable percentage of preschool funds for this purpose. School districts may utilize centralized services funds; such expenditures should be reasonable and prudent and must be described in the written program.

In addition to the above limits, Office of Child Development programs must adhere to the requirements of the local agreement and funding terms and conditions.

#### Apportionments for State Preschool Programs

Each agency and school district is placed on an apportionment schedule for state preschool funds. The first apportionment is sent in September. Apportionments are forwarded unless the required fiscal reports have not been received by the due date and/or an analysis of these reports demonstrates that the maximum reimbursable amount will not be earned. Agencies/districts in OCD must have on file a fully executed local agreement.

ECIA, Chapter 1, and SCE monies are distributed to school districts in ten monthly apportionments. The first apportionment in October amounts to 20 percent for September and October. Subsequent monthly apportionments equal 10 percent of the entitlement.

#### Accounting System

Each applicant agency or district must maintain an auditable accounting system which provides information about income and expenditures. Accounting records must provide for the separation of funds when more than one source of funds is used.

All records of income and expenditures must be maintained in accordance with budget categories contained in the current edition of the California School Accounting Manual, California State Department of Education.

When accounting services require additional personnel, costs will be allowed to the extent they are incurred specifically for the preschool program.

#### Enrollment Records and Attendance Accounting

The agency should retain in its files, as a primary source document for audit purposes, one copy of the certified enrollment application form for each child enrolled during the program year.

Children must be clearly identified according to the funding source providing services to them. The attendance records of children enrolled in the State Preschool Program should be kept separate from those of children who are enrolled through other preschool funding, even though the children may be in the same classroom.

Each agency must maintain an attendance register for each class as a primary source document for audit purposes. A code for marking presence, excused absence, and unexcused absence must be used consistently throughout each program. The attendance document must contain the teacher's original signature and a statement of verification by the teacher (see sample register, Appendix E). Parents or their designated persons are required to sign in and sign out each child daily, noting time of arrival and departure. Initials may be used in lieu of the total signature.

A staff member must be in contact with parents to verify the reason for all absences, excused or unexcused. The reason for the absence must be documented, signed by the contact person, and kept on file. A child is in attendance when he or she is present in the program or is considered excused. Reimbursement for excused absences may be claimed when the absence is due to the following:

1. Illness of the child
2. Illness of the parent
3. Quarantine
4. Family emergency requiring the parent and therefore the child, to travel away from home
5. Time spent away from home with a parent or other relative, as required by a court of law or that is in the clear interests of the child

Documents used to verify excused absence (statements signed by either a parent, staff member, or a doctor) must be maintained by the agency for audit purposes. Absence for reasons other than the above or any absence not verified shall be considered UNEXCUSED. If partial classes are held to facilitate screening or for orientation procedures, children not in attendance are considered UNEXCUSED.

The decision to drop a child from the program because of lack of attendance should be based on written local policies and procedures and should be reached only after a meeting of the parents, child's teacher, and other appropriate staff. The parent(s) must be given a Notice of Action, which provides information regarding appeal procedures.

#### Fiscal Reporting

Each agency/district shall maintain enrollment records for each child, keep records of attendance, maintain an up-to-date inventory of equipment, maintain an accounting system for income and expenditures,

prepare and submit required fiscal reports to the Department of Education, and maintain other records as required for audit purposes. The State Preschool Report is to be submitted to the Office of Child Development for all programs, including those state preschool programs funded through the Consolidated Application process.

A sample report form is included in Appendix F.

#### Equipment Inventory

An inventory of equipment must be maintained and kept up-to-date, available to auditors, and easily accessible for on-site program reviewers. The inventory must contain information about the type of equipment, date of purchase, cost, present condition, location, and disposition. A sample inventory is included in Appendix G.

All furniture and equipment must be labeled with date of purchase and program funding source. Ownership and title to equipment purchased with state, Chapter 1, and/or SCE preschool funds is retained by the state in all instances, unless specifically waived by the California Department of Education. When a program is terminated, preschool equipment may be transferred by the state to another agency/district receiving the preschool program operation responsibility. A manual on equipment control may be requested from the Department of Education.

#### Audits of Records

Each applicant agency must maintain adequate records for audit purposes. For school districts, regular district audits are acceptable if all recommended audit items are reviewed. A proportionate share of the audit costs may be paid from State Preschool funds. Agencies which are not school districts should budget a reasonable sum to cover the cost of the required independent audit. The audit shall be made by a certified public accountant or a public accountant licensed by the State Board of Accountancy and shall conform to the most recent edition of the State Department of Education publication entitled Audit Guide for Auditors of Child Development Programs Operated by Private, Private Nonprofit, and Public Agencies.

#### Waiver Procedure

When necessary, an agency or district operating a state preschool program may apply to the State Department of Education for a waiver of one or more sections of the preschool guidelines. The district or agency shall specify the particular conditions which necessitate the waiver request and shall describe how the lack of such a waiver would prevent the implementation of the preschool educational program.

All agencies contracting with the Office of Child Development may use the "State Preschool Waiver Request," Form CD-7701 (Appendix D). School districts funded through the Consolidated Programs Division should use the "Waiver Request," Form A-127W (Appendix I) and refer for instructions to Department of Education publication entitled Waiver Request Handbook for Consolidated Programs.

Waivers for licensing requirements should be prepared on the appropriate form (Appendix H) and should be sent to the Licensing Unit, Office of Child Development, State Department of Education.

## PERSONNEL AND STAFFING

The preschool educational program must provide for adequate personnel and related staff support services which permit the attainment of the program's objectives.

### Staff Requirements

Teachers must hold credentials or permits issued by the Commission for Teacher Preparation and Licensing (Appendix J). Persons who supervise more than one teacher must have a child development supervisor's permit or equivalent administrative qualifications. Every effort must be made to recruit personnel who are competent in all phases of preschool education, including parent education. Specialized staff may be employed under contract or for part-time assignments as necessary.

If the on-site director is also the head teacher, director qualifications must be met and a written plan for delegation of responsibilities must be on file. (Refer to Title 22, Sections 31201, 31202.)

Children should have opportunities for rewarding relationships with men and women who represent our multicultural and multiracial society. All levels of the staff should reflect the ethnic composition of the community to the extent possible.

The agency responsible for the administration and/or the operation of a preschool program may not discriminate against any employee or applicant for employment because of race, color, religion, ancestry, sex, age, national origin, or physical handicap.

### Staff Ratios and Class Size

A daily class of 15 to 20 children with one paid teacher is required for State Preschool Programs. Enrollment of 15 children is acceptable for classes in which State Preschool and Head Start children are commingled. Waiting lists must be maintained so that class vacancies can be quickly filled. To compensate for absences, overenrollment of one or two children per class is permitted. The capacity for fire clearance must be adhered to at all times.

The required ratio of one adult for each five children must be maintained. Parents should be expected to assist in the classroom; community volunteers may be used; other adults paid through another funding source may be used. Orientation and ongoing in-service training must be provided all volunteers. All volunteers and students shall serve under the direction of the director, teacher, and/or other staff in charge.

The employment of paid instructional staff should not supplant the involvement of parents or volunteers. If sufficient competent parent participants and volunteers cannot be recruited, one classroom assistant/aide may be budgeted for each class.



For these guidelines an adult is defined as a person fifteen years of age or older. Persons under fifteen years of age are encouraged to participate in the program, but they are not counted as part of the adult-child ratio. In-service training should be an integral part of any tutorial program.

Aides attending severely handicapped children may not be counted in the adult-child ratio.

#### Employment Priorities

Parent volunteers who show an aptitude for working with young children should be hired as assistants to the extent that their employment is feasible. They should be encouraged to enroll in appropriate classes to improve their work skills. A plan for continuing education for interested employees should be worked out in cooperation with the local education programs. Information should be given to these employees about supplements to family income for the costs of child care, transportation, and tuition which are available in some counties to low-income adults or welfare recipients who enroll in an approved training or education program.

#### In-Service Training

All program staff, paid assistants, parents, tutors, and community volunteers are required to take part in a program of in-service training.

In designing a staff development program, the agency should consider the needs, duties, prior training, and education of all staff members, including parents and volunteers. Preservice training programs should be developed for inexperienced staff or volunteers, separate from those planned for experienced staff members. Orientation sessions should precede actual classroom assistance and participation. If cross-age tutors are involved with preschool, appropriate training to work with four-year-olds should be provided. In-service training programs should emphasize the mutual and complementary roles of all staff in the education of the child. Specially designed training sessions should be provided for teachers and aides together.

Every effort should be made to coordinate staff development activities with those of other community agencies, professional organizations, or other child development programs which offer cooperative in-service training within the program's geographic area.

#### State Preschool Career Incentive Grant

Limited State Preschool Career Incentive Grant funds are available for state preschool program teachers and aides enrolled in programs leading toward full credentialing. A separate application is required. For current information, contact the State Department of Education consultant assigned to your preschool program.

APPENDIX A

CONFIDENTIAL  
Application for Enrollment in State  
Preschool Program

Note: The California State Preschool Program requires a formal application and eligibility determination process for program participation.

For Office Use Only	
<input type="checkbox"/> Income eligible (No fee)	
<input type="checkbox"/> LES/NES	<input type="checkbox"/> Above age
<input type="checkbox"/> Handicapped	<input type="checkbox"/> Below age
<input type="checkbox"/> Other	
Agency/district	
Vendor number/CDS number	
Site	
Date	

I. Family Information

A. Child's name: (Last) _____ (First) _____ (Middle) _____		
B. Birthdate _____	Verified by: <input type="checkbox"/> Birth certificate <input type="checkbox"/> Baptismal certificate <input type="checkbox"/> Other _____	
C. Mother or guardian's name: (Last) _____ (First) _____ (Middle) _____		D. Father or guardian's name: (Last) _____ (First) _____ (Middle) _____
Address (Street) _____ (City) _____ (Zip code) _____		Address (Street) _____ (City) _____ (Zip code) _____
Employer _____		Employer _____
Address _____		Address _____
Position _____		Position _____
E. Telephone (Home) _____ (Work) _____		Telephone (Home) _____ (Work) _____
F. Name and telephone number of person(s) to contact in case of emergency and the family cannot be reached: (Name) _____ (Telephone number) _____		
G. Name and telephone of person(s) other than parents or guardians to whom the child may be released. The child will not be released to any other person(s) than those so designated: (Name) _____ (Telephone number) _____		

II. Income Resources of Family

A. Number of family members _____	B. Sources <input type="checkbox"/> Employment <input type="checkbox"/> AFDC <input type="checkbox"/> SSI/SSP <input type="checkbox"/> Other _____
C. Gross monthly income from all sources: _____ Attach verification. Report total monthly family income from all sources. For seasonal workers, monthly income is computed by averaging total gross income received during the previous 12 months.	

III. Health and Immunizations

A. The following immunizations are required prior to admission of child into preschool (unless contrary to religious beliefs of parent):

Immunization	Date	Immunization	Date
<input type="checkbox"/> Diphtheria		<input type="checkbox"/> Tetanus	
<input type="checkbox"/> Whooping Cough		<input type="checkbox"/> Mumps	
<input type="checkbox"/> Poliomyelitis		<input type="checkbox"/> Measles	

B. Date of physical examination \_\_\_\_\_ (Child health and disability prevention funds are available for children enrolled in state preschool funded programs. Medi Cal funds are available during the summer months for eligible families.)

IV. I affirm that to the best of my knowledge that the above statements are true. I understand that I have the right to appeal denial of my request for services: Parent signature \_\_\_\_\_ Date \_\_\_\_\_

V. First day of enrollment \_\_\_\_\_ / \_\_\_\_ / \_\_\_\_ Last day of enrollment \_\_\_\_\_ / \_\_\_\_ / \_\_\_\_

Signature of agency representative \_\_\_\_\_ Title \_\_\_\_\_ Date \_\_\_\_\_



APPENDIX B

DISASTER PLAN SAMPLE

A. The Licensee or Administrator of this facility responsible for the development and review of this plan and the instruction of all staff and residents concerning this plan is \_\_\_\_\_

(Name and Title)

who may be reached at \_\_\_\_\_

(Area Code and Telephone No.)

B. In the event of an earthquake:

1. Do not attempt to leave the building (many injuries occur when people are entering or leaving the building).
2. Sit or stand against an inside wall or inside doorway, or take cover under a table or desk (in case the ceiling should fall).
3. Stay away from anything that could topple over.
4. Stay away from windows or outside doors.
5. Stay away from overhead electric wires, poles, or cornices of tall buildings.

C. In the event of a fire in or about the structure:

1. Get everyone out of the facility.
2. Follow pre-arranged escape routes (minimum of two).
3. If you are caught in smoke, crawl out (heat and gases can kill you after a few breaths).
4. Test closed doors with your hand. If they are hot, follow an alternative escape route.
5. Meet at a pre-arranged place (use same place for every rehearsal).
6. Account for everybody.
7. Do not let anyone return to the burning facility.
8. Call the Fire Department.

D. In the event of a flood:

1. If you are instructed by local authorities to evacuate because of flood dangers, do so, following their instructions.
2. If local authorities are not present and you determine that there is a need to evacuate, do so as quickly as possible, taking with you an adequate first aid kit and blanket.
3. If evacuation requires leaving in more than one group, meet at a pre-arranged place.

## Disaster Plan Sample (Cont.)

### E. In the event of a nuclear accident:

1. Follow the instructions of local disaster authorities in moving clients to a radiation-protected area. If such an area is owned or maintained for the exclusive use of the facility, be sure that it has been stocked with food and water.

### F. In the event of explosions and chemical accidents or spills:

1. Follow the instructions of local authorities. Because such emergencies often require evacuation, efforts should be made to assure that children will be as safe and comfortable as possible while away from the facility. This means, among other things, that care must be taken to keep children warm and dry.

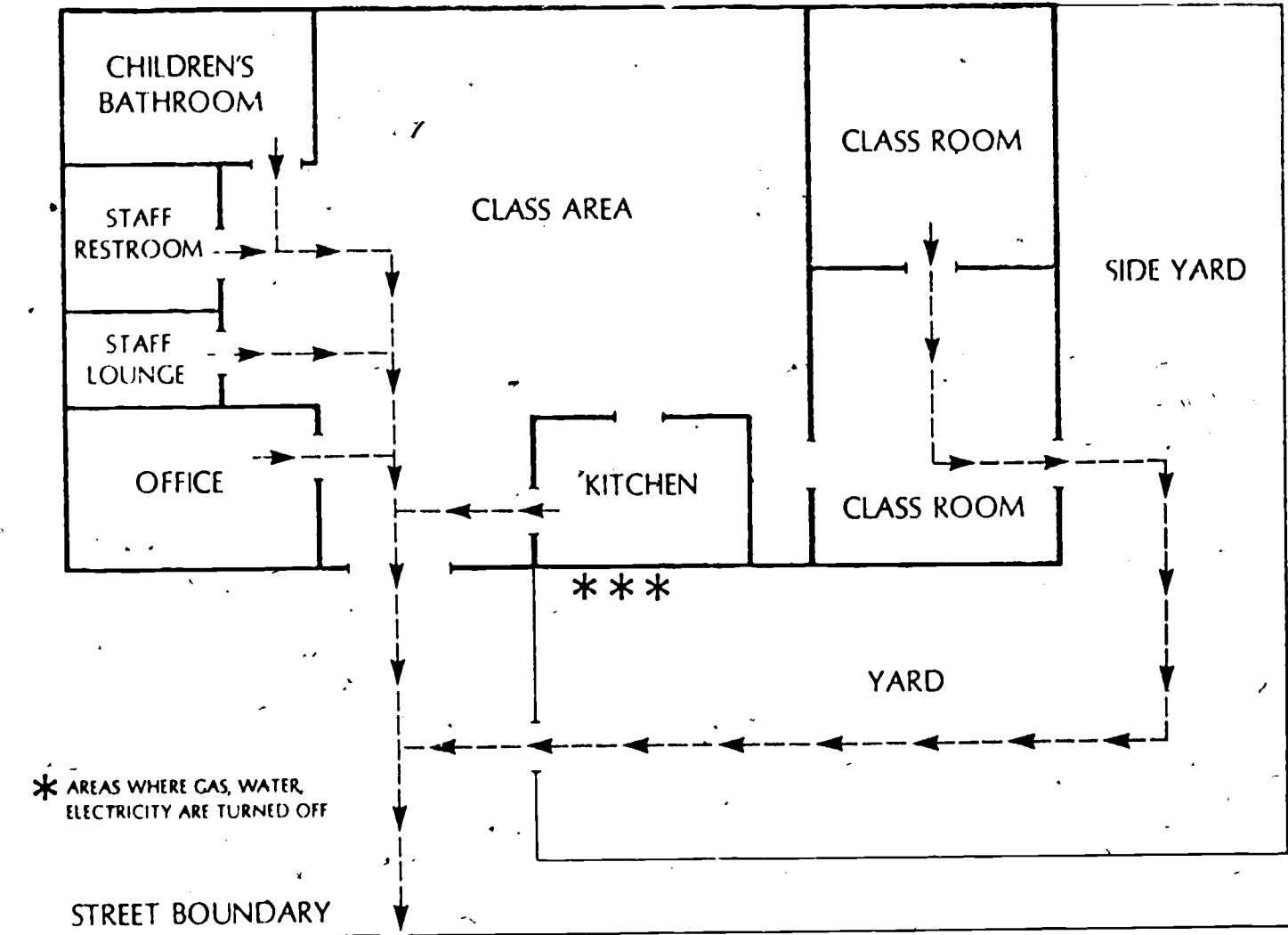
### G. Evacuation routes and emergency phone numbers:

(On the floor plan, show at least two escape routes with exits. In addition, show where to turn off gas, electricity, water, and where to meet after evacuating.)

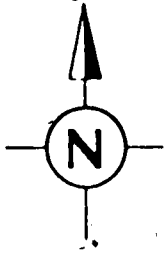
10

# EVACUATION PLAN

NOTE: This is only a sample.  
Draw your own floor plan.



30



37

38

## EMERGENCY TELEPHONE NUMBERS

- FIRE DEPARTMENT \_\_\_\_\_
- CITY POLICE \_\_\_\_\_
- SHERIFF'S DEPARTMENT \_\_\_\_\_
- AMBULANCE \_\_\_\_\_
- DOCTOR \_\_\_\_\_

- HOSPITAL \_\_\_\_\_
- RED CROSS \_\_\_\_\_
- COUNTY EMERGENCY SERVICES/ CIVIC DEFENSE \_\_\_\_\_
- STATE OFFICE OF EMERGENCY SERVICES (916) 421-4990

8-75560

California State Department of Education  
721 Capitol Mall  
Sacramento, CA 95814

SCHOOL PLAN FOR CONSOLIDATED PROGRAMS

County

District

School code

School

CAPITAL OUTLAY AND EQUIPMENT

(See the reverse of this page for instructions.)

Object of expenditure number (A)	Description of item of expenditure (B)	Funding source (C)	Justification in terms of student or program need (D)	Number of units (E)	Total cost (F)

APPENDIX C

31

Page 31 must be completed if the total amount budgeted from all funding sources for capital outlay and equipment is \$5,000 or more. Note that if budget modifications are made during the year which bring the total for the year to \$5,000 or more, page 7 must then be submitted at that time and must include all capital outlay and equipment items for the year.

Column A

In column A identify the object of expenditure category (6100, 6200, 6410, 6420, or 6490) for each planned purchase. Use the 1980 edition of the California School Accounting Manual for identification of categories.

Column B

In column B briefly describe each item of expenditure.

Column C

Identify in column C the funding source from which funds will be used to purchase the item. Use the list of abbreviations in the instructions for page 9 (ECIA, Ch. 1; SCE; SI; and so forth). If an item

is to be purchased with funds from more than one funding source, indicate in this column how much will be spent from each funding source.

Column D

In column D identify the program area in which the item of expenditure will be used, and explain (justify) how the item is necessary for the operation of the program planned for that area. A reference to the appropriate part (please give page number or component) of the planned program will be sufficient if the program description makes it clear how the item is necessary for the planned program.

Column E

Enter in column E the number of units to be purchased.

Column F

Enter in column F the total cost of the item.

California State Department of Education  
Office of Child Development  
1500 5th Street  
Sacramento, CA 95814  
CD-7701

STATE PRESCHOOL  
Waiver Request

Instructions: Complete this form only if your agency is requesting to waive any requirement for the State Preschool Program, as described in the "Guidelines for State Preschool Programs."

1. Agency \_\_\_\_\_ Date \_\_\_\_\_

2. Cite the section to be waived:

Education Code Section \_\_\_\_\_

State Department of Education  
Administrative Procedures Section \_\_\_\_\_

California Administrative Code,  
Title 5, Education, Section \_\_\_\_\_

Other (specify) \_\_\_\_\_

3. Describe briefly the requirement to be waived:

4. State briefly why a waiver is considered essential to the implementation of the State Preschool Program:

FOR DEPARTMENT OF EDUCATION USE ONLY

Recommend: <input type="checkbox"/> Approval <input type="checkbox"/> Denial
SDE Consultant: _____ Date _____
Comments: _____

APPENDIX D

33



Agency \_\_\_\_\_

**APPENDIX E**

Teacher \_\_\_\_\_

Month \_\_\_\_\_

**ENROLLMENT AND ATTENDANCE REGISTER  
 FOR STATE PRESCHOOL PROGRAMS**

**CERTIFICATION**

To the best of my knowledge and belief this Register has been kept as required by law and in accordance with the instructions of the Superintendent of Public Instruction.

(Signed) \_\_\_\_\_  
 Director, teacher, or authorized employee

Date:													Days of enrollment	Days of attendance	Remarks	
	M	T	W	F	M	T	W	F	M	T	W	F				M
1																
2																
3																
4																
5																
6																
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22																
23																
24																
25																
<b>TOTAL:</b>																

**KEY**

Ⓐ Absent Excused  
 A Absent Unexcused  
 E First day of enrollment  
 L Last day of enrollment



INSTRUCTIONS FOR USING FORM CD-8200, ENROLLMENT  
AND ATTENDANCE REGISTER FOR STATE PRESCHOOL PROGRAMS

The Enrollment and Attendance Register for State Prechool Programs is the document on which enrollment and attendance data are recorded. As such, it is a source document upon which reimbursement of programs is based. All agencies/districts must maintain this Register or a similar document containing the same information. The Register will contain data for each month of operation and must be completed in its entirety and signed by an authorized representative.

Identification of Document

Provide the name of the agency, teacher, and month.

Days of Operation

Use one Register (or more if needed) for each calendar month. Write in the date above each day the program will operate that month. Do not write the date above those days the program will not operate; this will facilitate the counting of days of operation and child days of enrollment at the end of the month.

Enrollment

Indicate a child's first day of enrollment in the program by writing the letter "E" on the first day the child is enrolled. Line out all days preceding the date of enrollment.

Withdrawal

Indicate a child's last day of enrollment in the program by writing the letter "L" on the last day of the child's enrollment. Line out all subsequent dates.

Attendance

When an enrolled child is present for any portion of a day, make no mark in the box for that child for that day. When an enrolled child is absent (i.e., is not present at all), write the letter "A" in the box for that child for that day. If the absence is determined to be excused, and documented as such, the letter "A" should be circled.

Days of Enrollment

Count the days on which the child was enrolled in the program for the month, including days present, absent excused, and absent unexcused. Enter the number of days in the column marked "Days of Enrollment."

Days of Attendance

Count the days on which the child was present or absent excused. Write this number in the column marked "Days of Attendance."

Record Retention

The Enrollment and Attendance Register must be retained for a minimum of three (3) fiscal years for audit purposes. If an audit is in progress at the expiration of the three-year period, the Register must be maintained until the audit is completed.

NOTE: Return original and 2 copies (Separate forms must be submitted for programs with separate contracts.)

**FISCAL REPORT FOR STATE PRESCHOOL PROGRAMS**  
CD-8501 (8/81)

**APPENDIX F**

SUBMIT TO:  
CALIFORNIA STATE DEPARTMENT OF EDUCATION  
OFFICE OF CHILD DEVELOPMENT  
1500 5TH STREET - 3RD FLOOR  
SACRAMENTO, CA 95814

REPORT FOR THE MONTH OF									
198									
PROJECT NUMBER									

FULL NAME OF CONTRACTING AGENCY OR SCHOOL DISTRICT

CONSULTANT

CERTIFICATION: I hereby certify that to the best of my knowledge and belief, the information contained in this report is correct and complete

SIGNATURE OF SUPERINTENDENT OR EFFECTIVE OFFICER

DATE

NAME OF PERSON RESPONSIBLE FOR COMPLETING FORM

TITLE

TELEPHONE

DATE

**SECTION I - STATE PRESCHOOL CERTIFIED CHILDREN** (See reverse for instructions)

	COLUMN 1	COLUMN 2	COLUMN 3
	CUMULATIVE— PRIOR PERIOD (Col. 3 prior report)	CURRENT PERIOD	CUMULATIVE— FISCAL YEAR (Col. 1 + Col. 2)
A. Days of enrollment for state preschool certified children			①
B. Days of operation			②
C. Days of Attendance			③
D. Number of state preschool certified children enrolled			
E. Enrollment on last day of current reporting period	F. Average daily enrollment		
	Cumulative days of enrollment (Section I, Item A, Col. 3) ④	DIVIDED BY: cumulative days of operation (Sec. I, Item B, Col. 3) ⑤	EQUALS: Average daily enrollment
	G. Percent of Attendance to Enrollment		
	Cumulative days of attendance (Sec. I, Item C, Col. 3) ⑥	DIVIDED BY: Cumulative days of enrollment (Sec. I, Item A, Col. 3) ④	EQUALS: Percent of attendance

**SECTION II - NON-CERTIFIED CHILDREN**

COMPLETE THIS SECTION ONLY IF APPLICABLE (SEE REVERSE FOR INSTRUCTIONS) If no non-certified children are enrolled in the program(s) covered by this report, check box to the right and go on to Section III <input type="checkbox"/>	COLUMN 1	COLUMN 2	COLUMN 3
	CUMULATIVE— PRIOR PERIOD (Col. 3 prior report)	CURRENT PERIOD	CUMULATIVE— FISCAL YEAR (Col. 1 + Col. 2)
A. Days of enrollment for non-certified children			
B. Number of non-certified children enrolled			
C. Parent fees for non-certified children	\$	\$	\$

— Continued on next page

## When and How is the Report Submitted?

The submission of this report is a responsibility of the contracting agency or school district. The principal administrative officer may delegate responsibility for completion of the report to staff members, but the agency board is responsible for the accurate and timely completion of the report. The agency designee must sign the report, and it must be received in Sacramento on or before the due date. Reports not received by the deadline will be considered delinquent, and the next apportionment may be delayed.

## INSTRUCTIONS

### Section I—State Preschool Certified Children

Report here only information about children who are receiving services provided by the California State Preschool Program. Report all other children served in Section II.

#### *Part A: Days of Enrollment for State Preschool Certified Children*

A family is considered to be enrolled in the State Preschool Program when the "Application for Enrollment in State Preschool Program" or equivalent form is completed, information is verified, and forms are signed. In column 1, report the cumulative total days of enrollment by copying from column 3 of the preceding period's report beginning with July 1. In column 2, report the total days of enrollment for the current reporting period. In column 3, report the total days of enrollment for the fiscal year by adding column 1 to column 2.

#### *Part B: Days of Operation*

A day of operation is a day on which the agency or district provides state preschool classes for one or more of the enrolled children. In column 1, enter the cumulative prior period days of operation since July 1 (copy from column 3 of the preceding period's report). Column 2 should show the total days of operation in the current reporting period. Column 3 is the total of columns 1 and 2.

#### *Part C: Days of Attendance*

A child is in attendance when he or she is present in the program for any part of a day or when he or she is absent because of illness of the child, illness of the parent, quarantine, family emergency requiring the parent and therefore the child to travel away from home, or time spent with a parent or other relative as required by a court of law or that is in the clear best interests of the child.

Column 1 is copied from column 3 of the prior period report beginning July 1. Column 2 should show the days of attendance generated in the current reporting period. Column 3 is the total of column 1 plus column 2.

#### *Part D: Number of State Preschool Certified Children Enrolled*

Column 1 is the cumulative number of certified children enrolled in the program beginning July 1. Copy this number from column 3 of the preceding period's report. In column 2, report the number of new children enrolled during the current reporting period. In column 3, report the cumulative number of certified children served during the program year-to date by adding columns 1 and 2.

#### *Part E: Enrollment on Last Day of Current Reporting Period*

Report the total number of certified children enrolled on the last day of the current reporting period.

#### *Part F: Average Daily Enrollment*

Complete the computation by inserting the totals referenced in the formula. The result is the program's actual average daily enrollment from July 1 through the end of the current reporting period. If this figure does not equal or exceed the average daily enrollment requirement as stated in the agency contract or consolidated application with the State Department of Education, reimbursement may be reduced.

#### *Part G: Percent of Attendance to Enrollment*

Complete the computation by inserting the figures referenced in the formula. The result is the program's actual percent of attendance to enrollment. If this figure does not equal 93 percent or more, reimbursement may be reduced.

### Section II—Noncertified Children

Report here all children who are not supported by State Preschool funds but are comingled with children reported in Section I. This category may include children supported by Title I funds, Head Start funds, and/or other funding sources including parent fees.

#### *Part A: Days of Enrollment for Noncertified Children*

Complete in the same manner as Section I, Part A.

FISCAL REPORT FOR STATE  
PRESCHOOL PROGRAMS

CD-8501 pg 2 (8/81)

REPORT FOR THE MONTH OF										198	
PROJECT NUMBER											

SECTION III - REVENUE (See reverse for instructions)

	COLUMN 1 CUMULATIVE— PRIOR PERIOD	COLUMN 2 CURRENT PERIOD	COLUMN 3 CUMULATIVE— FISCAL YEAR (Col 1 + Col 2)
<b>A RESTRICTED INCOME (Program)</b>			
Food Subsidy	\$	\$	\$
Non-Food Assistance			
Head Start Funds			
ESEA Title I funds			
Other (Specify)			
<b>TOTAL RESTRICTED INCOME (Program)</b>	\$	\$	\$
<b>B RESTRICTED INCOME (Other)</b>			
Building fund	\$	\$	\$
Other (Specify)			
<b>TOTAL RESTRICTED INCOME (Other)</b>	\$	\$	\$
<b>C LOCAL INCOME, NON-RESTRICTED</b>	\$	\$	\$

SECTION IV - EXPENSES (See reverse for instructions)

<b>A REIMBURSABLE EXPENSES</b>			
1000 Certified salaries	\$	\$	\$
2000 Classified salaries			
3000 Employee benefits			
4000 Books, supplies, and equipment replacement			
5000 Contracted services, and other operating expenses			
6000 Equipment (Program related)			
<b>B. DEPRECIATION OR USE ALLOWANCE</b>			
<b>C. SUB TOTAL</b>	\$	\$	\$
<b>D. Approved Indirect Cost Rate</b> _____ % of line C			
<b>E. Non-reimbursable Expenses</b>			
6100-6300 Non-reimbursable capital outlay			
Other - Non-reimbursable expenses (See instructions)			
<b>F. TOTAL EXPENSES</b>	\$	\$	\$

Comments:

## **INSTRUCTIONS—Continued**

### **Part B: Number of Noncertified Children Enrolled**

Complete in the same manner as Section I, Part D.

### **Part C: Parent Fees for Noncertified Children**

Report any fees collected for services to noncertified children. (NOTE: This section is for reporting fees paid for "private" or "full-cost" children. Funds provided by other programs, such as Head Start or Title I, should not be shown here but should be reported in Section III, below.) In column 1, report the cumulative total beginning July 1 by copying from column 3 of the preceding period's report. In column 2, report the total fees collected in the current period. Column 3 is the sum of columns 1 and 2.

## **Section III—Revenue**

Report all revenue for all facilities in which State Preschool-funded children are enrolled, including revenue from non-State Preschool portions of the program.

### **Part A: Restricted income (Program)**

### **Part B: Restricted Income (Other)**

Use these two parts to report all restricted revenue received for the operation of the program except funds from the State Department of Education. Food subsidy should be reported here.

Restricted income is that which is received for which the donor restricts the purpose(s) for which it may be used. It is considered to be *restricted income (program)* if it is used to cover current reimbursable expenses. It is considered to be *restricted income (other)* if the donor limits its use to past or future obligations or to current nonreimbursable expense.

### **Part C: Local Income, Nonrestricted**

Report here all revenue which is received without any restriction or specification of purpose by the donor.

## **Section IV—Expenses**

Report all expenses for all facilities in which State Preschool-funded children are enrolled, including expenses from non-State Preschool portions of the program.

### **Part A: Reimbursable Expenses**

Report all *reimbursable* expenses for the program. Include accrued liabilities (but not encumbrances) for the period reported.

For column 1, copy each corresponding line from column 3 of the preceding period's report beginning with July 1. Enter in column 2 the totals from your accounting records for the current reporting period. Column 3 is the sum of columns 1 and 2.

### **Part B: Depreciation or use allowance**

For information on calculating the depreciation or use allowance, see "Funding Terms and Conditions."

### **Part C: Subtotal**

Combine column totals for reimbursable expenses and depreciation or use allowance.

### **Part D: Approved Indirect Cost Rate**

Compute this amount only if you have prior approval from the State Department of Education or from the U.S. Department of Health and Human Services (formerly HEW) and only if the indirect cost benefits the State Preschool Program. Note that an indirect cost rate may only be applied against the total *reimbursable* expenses (Section IV-C).

### **Part E: Nonreimbursable Expenses**

Report here all *nonreimbursable* expenses for the program. Include accrued liabilities (but not encumbrances) for the period reported.

Capital outlay expenses are considered to be nonreimbursable unless they have received prior approval by the State Department of Education to be considered as reimbursable in category 6400. Other nonreimbursable expenses include but are not limited to out-of-state travel and legal fees unless approved in advance by the State Department of Education.

## **Comments Section**

Use this space to provide any information which will assist the Office of Child Development to understand unusual circumstances which are reflected in your report. Some items which you should explain are changes in days of operation, variations in enrollment or attendance, delays in expenditures being reflected, and changes in cash flow. Unexplained variances from typical patterns of enrollment or expenses (or both) may result in downward apportionment adjustments.



APPENDIX H

REQUEST FOR WAIVER OF TITLE 22 LICENSING REGULATION

AGENCY \_\_\_\_\_  
VENDOR NO. \_\_\_\_\_  
CENTER \_\_\_\_\_  
CENTER  
ADDRESS \_\_\_\_\_

NOTE: DO NOT REQUEST MORE THAN ONE WAIVER PER FORM.

Title 22-Section \_\_\_\_\_

Alternative plan to meet intent of regulation:

Justification for waiving Title 22 regulation:

53

Signed \_\_\_\_\_ Date \_\_\_\_\_



**FOR OFFICIAL USE ONLY:**

**Analyst Recommendation:**                      Yes                      No

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**Justification:**

**Manager's Recommendation:**                      Yes                      No

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**Justification:**

California State Department of Education  
 WAIVER REQUEST Form A-127W (Rev. 10-80)

# WAIVER REQUEST

F.Y. \_\_\_\_\_

1 original and two copies to:  
 Centralized Services Unit  
 Department of Education  
 721 Capitol Mall  
 Sacramento, CA 95814

CDS number \_\_\_\_\_  
 District/Co-op name \_\_\_\_\_  
 Date of request \_\_\_\_\_  
 District waiver number \_\_\_\_\_  
 District Contact \_\_\_\_\_

AUTHORITY	FUNDING SOURCE	FOR SDE USE ONLY
SECTION NUMBER (specify) _____		Stamp date received: _____
<input type="checkbox"/> Education Code <input type="checkbox"/> Title 5, California Administrative Code <input type="checkbox"/> Department administrative requirements (use the highest authority)	<input type="checkbox"/> School Improvement Program <input type="checkbox"/> EIA-SCE <input type="checkbox"/> EIA-LES/NES	<input type="checkbox"/> Miller-Unruh <input type="checkbox"/> Preschool <input type="checkbox"/> Other (specify) _____ SDE waiver number: _____

VERBATIM TEXT of law/regulation

PROPOSED PLAN

JUSTIFICATION

SCOPE	SIGNATURES		DISTRICT BOARD APPROVAL
	District level	School level	
<input type="checkbox"/> Districtwide <input type="checkbox"/> District in Cooperative	Grade span affected _____  • District/LEA representative	• Chairperson, school site council	• Date of district governing board approval of waiver request _____  SDE USE ONLY
	• Chairperson, district bilingual education committee	• Chairperson, bilingual advisory committee	BY _____ <input type="checkbox"/> State Board <input type="checkbox"/> Department
	• Chairperson, preschool advisory committee	• Cooperative Director	Date action taken _____

## Regulations of the Commission for Teacher Preparation and Licensing

The new Title 5 Children's Center Permit Regulations went into effect on January 1, 1979. The revised regulations represent a compromise between (1) the issues of quality and funding costs; (2) raising standards and lowering standards; (3) increasing early childhood/general education requirements and decreasing general education requirements; and (4) requiring a Bachelor of Arts degree and not requiring a Bachelor of Arts degree.

Some of the specific changes in the regulations are as follows:

1. The new regulations include different types of permits:
  - a. Instructional permit, which shall be either an Emergency, Regular, or Life
  - b. Supervision permit, which shall be Regular or Life. The old permit included the Instructional permit and Supervision permit with Postponement of Requirements options only.
2. The Regular Instructional permit now requires three components:
  - a. Twenty-four semester units of early childhood education/child development coursework while the old regulations required 12 semester hours in subject fields related to early childhood education.
  - b. An experience requirement which may be met in four different ways, but each requires experience in an instructional capacity.
  - c. Sixteen diversified semester units in general education while the general education requirements were not specifically defined under the old regulations.

The Bachelor of Arts degree is no longer a requirement under the Regular Children's Center permit, but the Supervision permit still requires the Bachelor of Arts degree.

For the reader's information, the amendments made to the California Administrative Code, Title 5, Chapter 1, by the Commission for Teacher Preparation and Licensing are presented in their entirety in the following paragraphs of this appendix.

- (1) Amend Section 80105 to read:

80105. *Definitions.* As used in this article, each of the following terms has the meaning herein shown:

(a) "Approved institution" means any collegiate institution approved by the Commission.

(b) "Course work" means course work successfully completed in an "approved institution."

(c) "A year of experience" means paid or volunteer services in an instructional capacity in a child development program for not less than two hours per day, for at least 100 days during not more than three school years; only one year of experience may be earned in a school year.

(d) "Child development program" means any type of group child care or early childhood education program for children operated by a person, association, organization or school district legally authorized to conduct such programs. Child development programs include but are not limited to the following:

(1) Children's center and child care programs for preschool and school-age children.

(2) Preschool programs for children under the minimum age for admission to public schools.

(3) Parent-cooperative nursery schools.

(4) Play groups for preschool children.

(5) Infant development programs.

(e) "General education" means college-level course work in subject areas other than early childhood education and/or child development.

NOTE: Authority cited: Section 8370, Education Code.

Reference: Sections 8363 and 8370, Education Code.

- (2) Amend Section 80109 to read:

80109. *Types of Permits.* The Commission for Teacher Preparation and Licensing shall issue permits of the following types for service in child development programs:

(a) (1) Supervision Permit

(2) Instructional Permit

(b) Instructional Permits shall be either:

(1) Emergency, or

(2) Regular, or

(3) Life

(c) Supervision Permits shall be either:

(1) Regular, or

(2) Life

(d) No permit is required for service as a nonteaching aide described in Education Code sections 44833 and 44835.

NOTE: Authority cited: Section 8370, Education Code.  
Reference: Sections 8363 and 8370, Education Code.

(3) Amend Section 80111 to read:

**80111. Regular Children's Center Supervision Permit.**

(a) Each applicant for a Regular Children's Center Supervision Permit shall comply with the procedure prescribed for application in Section 80167 and shall meet all of the following requirements:

- (1) A Regular Children's Center Instructional Permit.
- (2) Twelve semester units in early childhood education/child development at an advanced level.
- (3) Six semester units of course work in administration and supervision of child development programs.
- (4) Two years of experience as a teacher in a child development program.
- (5) A bachelor's or higher degree granted by an approved institution.

(b) *Term and Renewal.* Issued for five years. May be renewed for five year periods.

(c) *Authorization.* The Supervision Permit authorizes the holder to perform the following services in a child development program:

- (1) Supervise a child development program consisting of any number of children's facilities.
  - (2) Perform services in the care, development, and instruction of children in a child development program.
- NOTE: Authority cited: Section 8370, Education Code.  
Reference: Sections 8363 and 8370, Education Code.

(4) Adopt Section 80111.1 to read:

**80111.1 Life Children's Center Supervision Permit.**

(a) Each applicant for a Life Children's Center Supervision Permit shall comply with the procedure prescribed for application in Section 80107 and shall meet all of the following requirements:

- (1) A Regular Children's Center Supervision Permit.
- (2) Five years of full-time experience in the last 10 years, earned while possessing or eligible for the permit, at least two years of which have been continuous full-time employment while holding a Regular Supervision Permit.

(b) *Term and Renewal.* Issued for the life of the holder unless revoked or suspended.

(c) *Authorization.* A life supervision permit authorizes the services specified in 80111(c).

NOTE: Authority cited: Section 8370, Education Code.  
Reference: Sections 8363 and 8370, Education Code.

(5) Amend Section 80112 to read:

**80112. Emergency Children's Center Instructional Permit.** An Emergency Children's Center Instructional Permit may be issued or reissued to an applicant for a term of two years upon a written request submitted by the employer or prospective employer of the applicant, if the application

includes a statement that a diligent effort has been made to recruit a qualified holder of a regular credential or permit authorizing such service, and that no such person is available. Such application shall show that the applicant proposed to be employed on an emergency basis meets all of the following requirements:

(a) A minimum of 12 semester units of course work in early childhood education/child development (exclusive of field work).

(b) One of the following:

(1) One year of experience in an instructional capacity in a child development program;

(2) A supervised field work course from an accredited institution.

(3) Enrollment in an early childhood education/child development training program at an approved institution.

(c) *Authorization.* An Emergency Instructional Permit authorizes the holder to perform service in the care, development, and instruction of children in a child development program.

NOTE: Authority cited: Section 8370, Education Code.

Reference: Sections 8363 and 8370, Education Code.

(6) Amend Section 80114 to read:

**80114. Regular Children's Center Instructional Permit.**

(a) Each applicant for a Regular Children's Center Instructional Permit shall comply with the procedure prescribed for application in Section 80107 and shall meet all of the following requirements:

(1) Twenty-four semester units of course work in early childhood education/child development (exclusive of field work).

(2) One of the following:

(A) Two years of experience in an instructional capacity as a paid aide or assistant in a child development program; or

(B) A certificate from a Commission-approved field-based assessment system; or

(C) Three years experience as a volunteer in an instructional capacity in a child development program; or

(D) A supervised field work course from an accredited institution plus one year of experience in an instructional capacity in a child development program.

(3) Sixteen diversified semester units in general education (i.e., at least one course in each of the following areas: Humanities, Social Sciences, Math and Science, and English).

(b) *Term and Renewal.* Issued for five years. Renewable for successive five year periods (with no additional requirement).

(c) *Authorization.* An Instructional Permit authorizes the holder to perform service in the care, development, and instruction of children in a child development program.

NOTE: Authority cited: Section 8370, Education Code.  
Reference: Sections 8363 and 8370, Education Code.

(7) Adopt Section 80114.1 to read:

**80114.1. Life Children's Center Instructional Permit.**

(a) Each applicant for a Life Children's Center Instructional Permit shall comply with the procedures for application in Section 80107 and shall meet all of the following requirements:

- (1) A REGULAR Instructional Permit.
- (2) A bachelor's or higher degree granted by an approved institution; and,
- (3) Five years of full-time experience in the last ten years, earned while possessing or eligible for the permit,

at least two years of which have been continuous full-time employment while holding a REGULAR permit.

(b) *Term and Renewal.* Issued for the life of the holder unless revoked or suspended.

(c) *Authorization.* The Life Instructional Permit authorizes the service specified in Section 80114(b).

NOTE: Authority cited: Section 8370, Education Code. Reference: Sections 8363 and 8370, Education Code.

The Commission for Teacher preparation and Licensing has determined that, pursuant to Section 2231 of the Revenue and Taxation Code, no increased costs or new costs to local government will result from these orders.